

## COI Form User Guide

### 2019-2020 Disclosure Period

### Current as of 1-9-20

Using a web browser, navigate to the COI Disclosure Form.

[https://radapps.duke.edu/coi\\_form](https://radapps.duke.edu/coi_form)

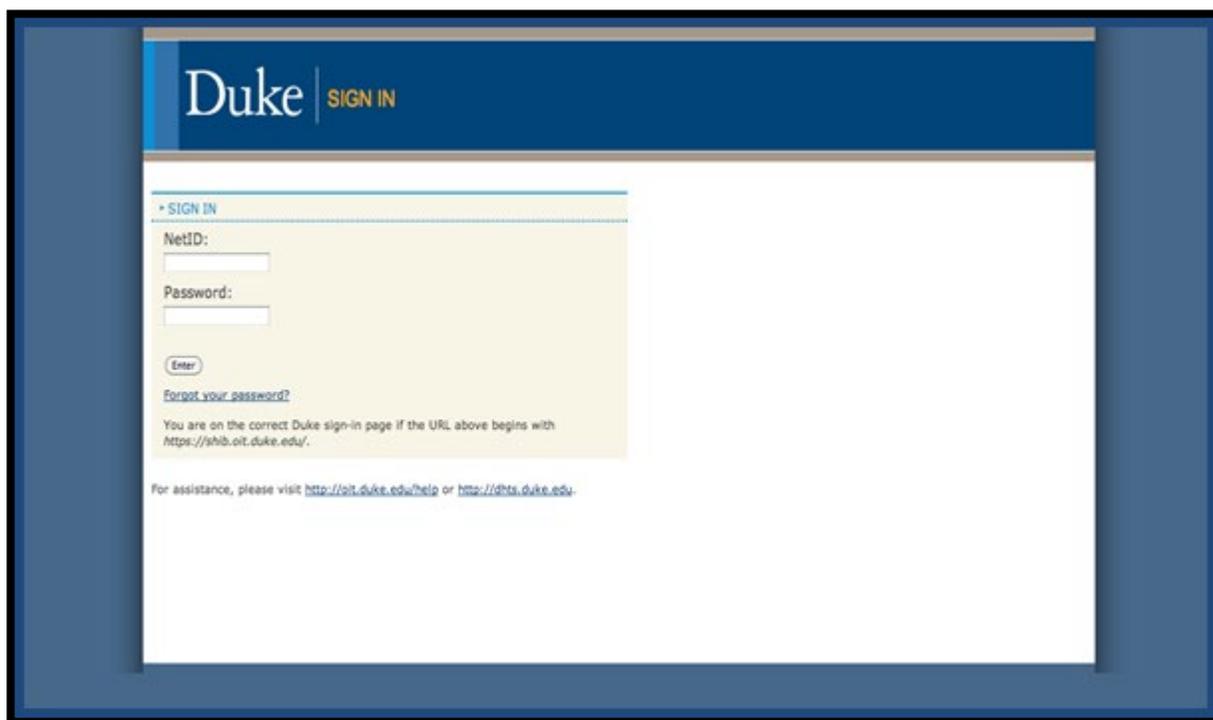
#### *Login:*

Enter your NetID and password to log in to the system.

The COI Form Application uses Shibboleth with Multifactor Authentication (MFA). If you are unsure of your Net ID/password, or need assistance with MFA, please contact the appropriate helpdesk.

DHTS: 919-684-2243

OIT: 919-684-2200



Duke | SIGN IN

• SIGN IN

NetID:

Password:

[Forgot your password?](#)

You are on the correct Duke sign-in page if the URL above begins with <https://shib.oit.duke.edu/>.

For assistance, please visit <http://oit.duke.edu/help> or <http://dhts.duke.edu>.

The COI Annual Disclosure Welcome page displays your current disclosure status and identifies your next step in the disclosure process. Follow the instructions on the screen to start entering your disclosure.

Create my 2019 - 2020 Conflict Of Interest (COI) Annual Disclosure form.

[Go](#)

Other actions related to my COI disclosure

I want to...

- [Receive previously-reported foreign activities via email](#)
- [View a copy of my previous disclosure -- \(none on file\)](#)
- [Review Training Slides](#)
- [View COI Policy](#)

You have training slides to review before entering the form.

**Outside activities and financial interests**

As part of the annual disclosure process, you will be asked to disclose any outside interests, activities, work, or relationships that relate to, or are similar to your Duke work, research, responsibilities or area of scholarship. You = you, your spouse, domestic partner, and/or dependents.

You do NOT have to disclose salary, grants, contracts, or sponsored activities that you receive from or through **Duke University**. Any questions about what you should disclose can be directed to [dosicoi@duke.edu](mailto:dosicoi@duke.edu).

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**Paid or unpaid outside activities (including foreign affiliations and employment) should be disclosed.**

**Outside activities and financial interests must be disclosed at least annually and within 30 days of a change.**

1 of 4

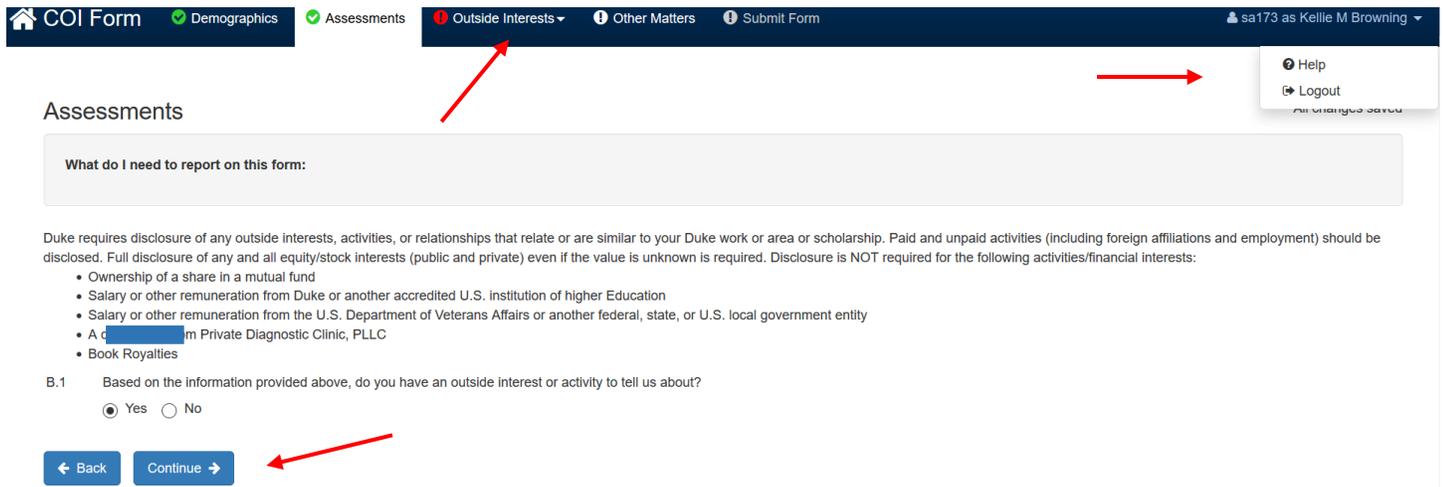
[← Previous](#) [Continue →](#)

## The Navigation Menu:

The Navigation Menu serves as a point of reference during the disclosure process. It tracks the status of each section of the disclosure form. Once you have completed all sections of the form, you will be prompted to submit your form.

There are two ways to navigate to the various sections of the wizard.

- Click the section names on the Navigation Menu
- Click the Continue and Back buttons as they are made available



The screenshot shows the top navigation bar of the COI Form application. The navigation menu includes: Home (COI Form), Demographics (completed), Assessments (completed), Outside Interests (current section, indicated by a red arrow), Other Matters, and Submit Form. In the top right corner, there are links for Help and Logout, with a red arrow pointing to them. Below the navigation bar, the 'Assessments' section is displayed. It contains a heading 'What do I need to report on this form:' followed by a paragraph of instructions and a bulleted list of items to report. The list includes: Ownership of a share in a mutual fund, Salary or other remuneration from Duke or another accredited U.S. institution of higher Education, Salary or other remuneration from the U.S. Department of Veterans Affairs or another federal, state, or U.S. local government entity, A c [redacted] in Private Diagnostic Clinic, PLLC, and Book Royalties. Below the list, there is a question 'B.1 Based on the information provided above, do you have an outside interest or activity to tell us about?' with radio buttons for 'Yes' (selected) and 'No'. At the bottom left, there are 'Back' and 'Continue' buttons, with a red arrow pointing to the 'Continue' button.

Links to Logout and the Need Assistance webpage are available in the top right corner of the page.

**Notice:** If you submitted a form last year, you will see a link to that form in the bottom right hand corner of the screen. Just click on the link to view last year's submitted form.

## View the form I submitted last year

## Demographics:

On the Demographics page, certain fields will already be pre-populated. You will be required to fill in the remaining fields before submitting.

**Notice:** The Print Preview link, at the top of the page, allows you to look at your form in a printable format. Also notice that fields shaded in **RED** are required. You will not be able to submit your form without completing required fields.

A.7 Phone +1 919 668 4605

A.8 Email susan.aldridge@duke.edu

A.9 Position(s)
Faculty
Staff (non-faculty)
Student/Resident/Fellow
Post-doc
Other

A.11 If you are married, is your spouse employed by Duke?
Yes No N/A

A.12 List his/her name as it is listed in the Duke Directory.
(If your spouse is required to complete a COI form, then you don't need to include details about his/her entity relationships. We will refer to his/her COI form.)

Continue

View the form I submitted last year

Assessment:

The Assessment page displays information related to COI reporting. Your answer to the question will determine the rest of the sections and questions you will receive. Upon completion of the Assessment section, the Continue button will direct you to your next required section.

Assessments

All changes saved

What do I need to report on this form:

Duke requires disclosure of any outside interests, activities, or relationships that relate or are similar to your Duke work or area or scholarship. Paid and unpaid activities (including foreign affiliations and employment) should be disclosed. Full disclosure of any and all equity/stock interests (public and private) even if the value is unknown is required. Disclosure is NOT required for the following activities/financial interests:

- Ownership of a share in a mutual fund
Salary or other remuneration from Duke or another accredited U.S. institution of higher Education
Salary or other remuneration from the U.S. Department of Veterans Affairs or another federal, state, or U.S. local government entity
A distribution from Private Diagnostic Clinic, PLLC
Book Royalties

B.1 Based on the information provided above, do you have an outside interest or activity to tell us about?
Yes No

Back Continue

View the form I submitted last year

## Outside Interests:

Based on your previous responses, you may or may not receive Section C – Outside interests - to list the details of your outside interests. A standard list of entities is provided for you. You should select an entity from the standard list whenever possible. Once you find your entity in the entity search box, continue to answer questions about that entity. If you do not see your entity in the list, type the full name and complete the required fields.



### Outside Interests

[Print Preview](#)  
All changes saved

#### Special Instructions

Outside professional interests/activities are non-Duke activities within a faculty member or employee's area of professional and/or academic expertise, whether paid or unpaid, and whether the company/organization/entity is for profit, not-for-profit, or non-profit.

You/Your = refers to you or any [immediate family member](#) (as applicable).

Current refers to the following time period = did have in calendar year 2019 or anticipate having in calendar year 2020.

Please disclose your current outside professional interests/activities below:

**C.1 Please identify the name of the entity/organization of your outside interest/activity in the space below:**

Your entity may appear as you type; select it if it does. Otherwise, just type its full name and proceed.

TEST

**Entity Profit Type:**

For-Profit

Not-For-Profit

**Entity Location Type:**

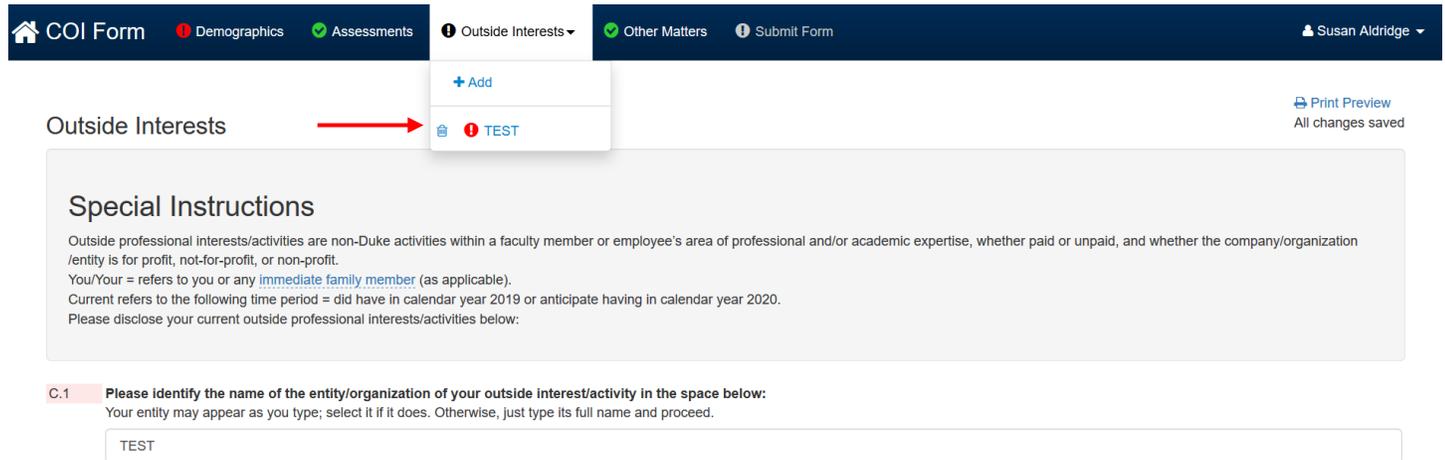
US

Global

Unknown

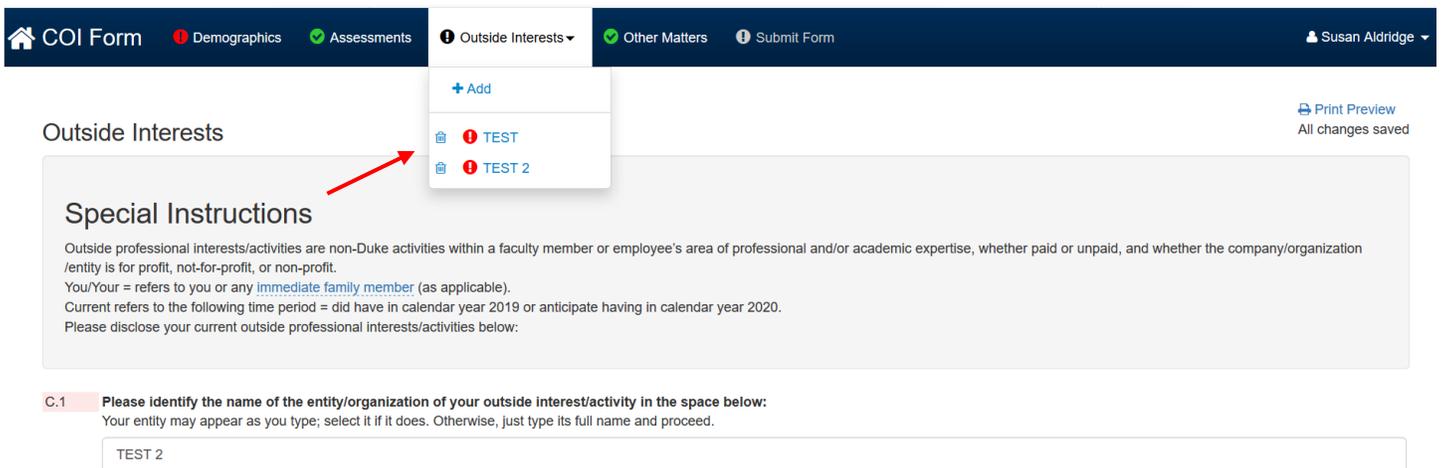
**Notice:** If you had relationships with entities last year, and the answers on your form show that you may have a relationship this year, the COI Forms application will pre-populate your COI form with the names of the entities that you listed last year.

To delete an entity, use the trashcan icon located in the navigation menu beside the entity name. A button to delete entities is also located at the bottom of the Outside Interests dropdown.



The screenshot shows the top navigation bar of the COI Form with tabs for Demographics, Assessments, Outside Interests, Other Matters, and Submit Form. The 'Outside Interests' dropdown menu is open, showing a '+ Add' button and a single entry 'TEST' with a trashcan icon. A red arrow points to this trashcan icon. Below the dropdown, the 'Special Instructions' section is visible, followed by a form field containing 'TEST'.

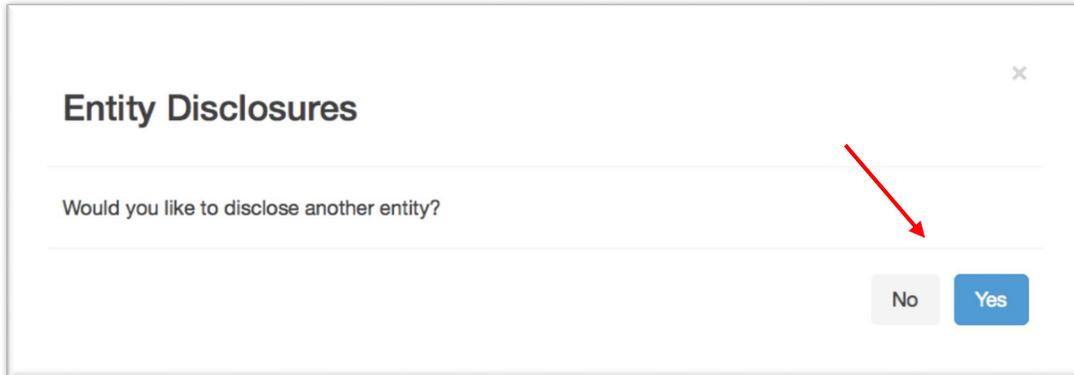
**Notice:** Customers can navigate between their companies by clicking on the name in the sub-navigation menu.



This screenshot is similar to the first one but shows two entries in the 'Outside Interests' dropdown: 'TEST' and 'TEST 2', each with a trashcan icon. A red arrow points to the trashcan icon for 'TEST 2'. The form field below now contains 'TEST 2'.

## Outside Interests cont'd:

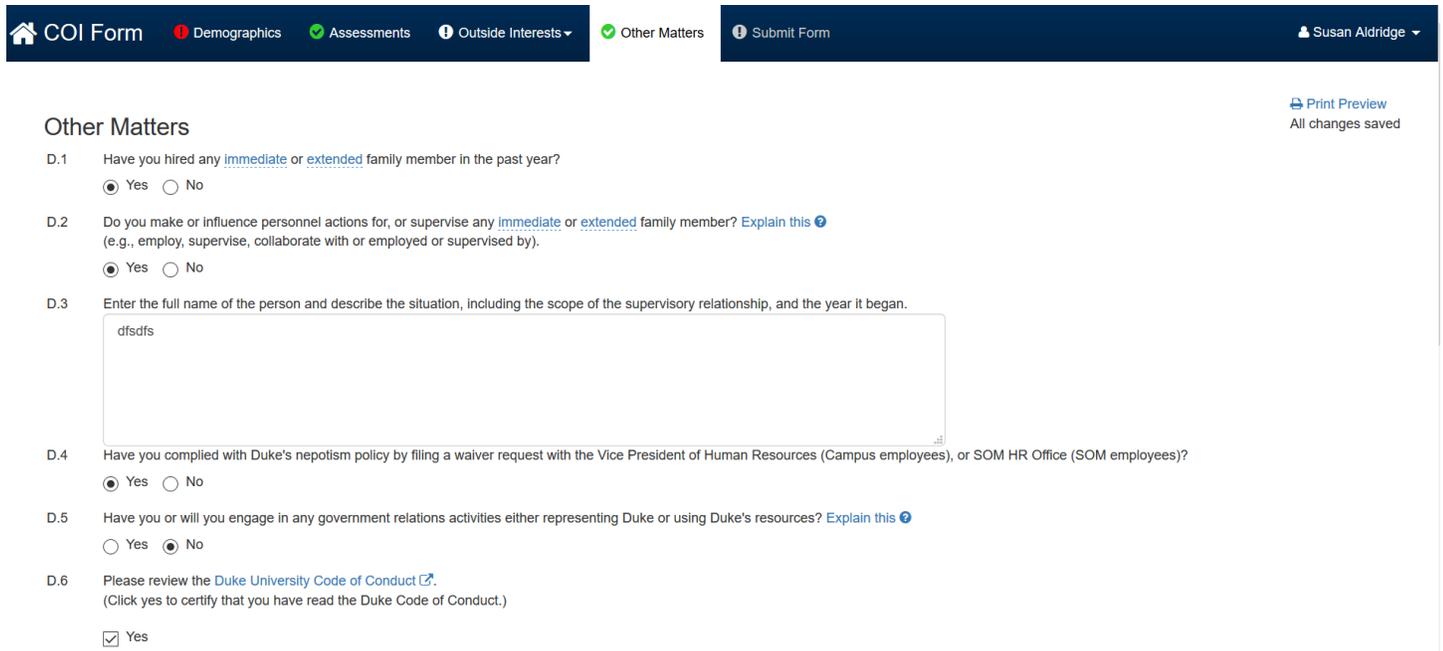
After adding an entity and answering questions about your relationship, you will be asked if you need to add another entity. To add additional entities, you can either click the 'Add' link in the navigation menu, or the application will ask you if you need to add another entity before continuing on to the next section.



The image shows a dialog box titled "Entity Disclosures" with a close button (X) in the top right corner. The main text asks, "Would you like to disclose another entity?". At the bottom right, there are two buttons: "No" (light gray) and "Yes" (blue). A red arrow points from the top right towards the "Yes" button.

## Other Matters:

The Other Matters page displays additional questions that must be answered. Once you complete this page, the Continue button will take you to the Submit section.



The screenshot shows the "Other Matters" section of a form. The navigation bar at the top includes "COI Form", "Demographics", "Assessments", "Outside Interests", "Other Matters", and "Submit Form". The user's name "Susan Aldridge" is in the top right. The "Other Matters" section contains six questions (D.1 to D.6) with radio button or checkbox options. A "Print Preview" link is in the top right corner.

**Other Matters** [Print Preview](#)  
All changes saved

D.1 Have you hired any [immediate](#) or [extended](#) family member in the past year?  
 Yes  No

D.2 Do you make or influence personnel actions for, or supervise any [immediate](#) or [extended](#) family member? [Explain this](#) ⓘ  
(e.g., employ, supervise, collaborate with or employed or supervised by).  
 Yes  No

D.3 Enter the full name of the person and describe the situation, including the scope of the supervisory relationship, and the year it began.

D.4 Have you complied with Duke's nepotism policy by filing a waiver request with the Vice President of Human Resources (Campus employees), or SOM HR Office (SOM employees)?  
 Yes  No

D.5 Have you or will you engage in any government relations activities either representing Duke or using Duke's resources? [Explain this](#) ⓘ  
 Yes  No

D.6 Please review the [Duke University Code of Conduct](#) ⓘ.  
(Click yes to certify that you have read the Duke Code of Conduct.)  
 Yes

### Submit Form:

For each completed section, you will see green checkmarks signifying that all sections of the form are complete.

Submit Form [Print Preview](#)  
All changes saved

You are almost ready to submit! We just have a few more questions.

Do you need to disclose any other relationships?

Yes  No

[Back](#)

[View the form I submitted last year](#)

Next you will receive verification questions to ensure that you are finished disclosing information. After completing all questions, a button to submit your form will appear. Click this button to submit your COI form.

Submit Form [Print Preview](#)  
All changes saved

You are almost ready to submit! We just have a few more questions.

Do you need to disclose any other relationships?

Yes  No

Do you have anything else to disclose?

Yes  No

[Submit your form](#)

[Back](#)

[View the form I submitted last year](#)

Once you click submit, you will see a popup window. Click “OK” to attest that all the information you entered is true. Then you will get a status page reporting that the form has been submitted.

## Submit Form cont'd

**Submission** ×

Selecting the Submit button conveys the same personal and institutional obligations as a signature. By selecting Submit, you attest that the information reported is true and accurate.

You also attest that you agree to abide by the terms of the Duke University Code of Conduct.

At this point, your form has been submitted.

## COI Form

# You have submitted your 2019 - 2020 Conflict of Interest Disclosure.

 **Receipt Number:** 121543

If you wish to return to the [starting page](#), you can print your submission and/or re-file your form.

**Thank you.**

Returning to the starting page by clicking the provided link will route you back to the page that shows your submission status and your recent form activity. From this screen, you can log out, view other options, view your submission, or make changes to your form if needed.

## COI Form

sa173 as Lori Evans ▾

I have already submitted a 2019 - 2020 form, but I need to change something on it.

Work on my form.

 Go

Other actions related to my COI disclosure

I want to...

[Receive previously-reported foreign activities via email](#)

[View a copy of my previous disclosure -- \(none on file\)](#)

[Review Training Slides](#)

[View COI Policy](#)

Recent Form Activity ( 2019 - 2020 ) ⤴