InfoEd
Financial Interests System Training & Demo
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Hosts & Panelist Presenters
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To Ask a Question, use Q&A Panel
Use the WebEx Q&A panel to ask questions.
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Objectives

• Raise awareness of financial interest disclosure policies and procedures at UConn Health.
• Provide a step-by-step demonstration of the InfoEd Financial Interests [FCOI] module whereby investigators, clinical practitioners and institutional/covered officials will submit their financial disclosures electronically.

Who Must Disclose?

• Individuals at UConn Health who are subject to the Individual, Clinical, and/or Institutional conflict of interest policies, which require Investigators, Clinical Practitioners, and certain identified Institutional/Covered Officials to complete an annual financial disclosure will need to use the new InfoEd FCOI system to submit it.
When to Disclose?
Disclosures must be filed:
• During the open disclosure season (April-June 2018)
• Once every 12 months;
• Within 30 days of acquiring or discovering a new financial interest;

What is Disclosed?:
Significant Financial Interest (SFI)
Your, your spouse’s, and your dependent children’s SFIs have to be disclosed if they are
• Related to your institutional responsibilities, and
• Include:
  o Remuneration from publicly traded or non-publicly traded companies or non-profit organizations;
  o Equity interests in publicly traded or non-publicly traded companies;
  o Intellectual property;
  o Appointments; or
  o Travel reimbursement/sponsorship.

SFI Disclosure Thresholds
• SFIs must be disclosed when they meet or exceed the following thresholds:
  – Remuneration: $5000
  – Equity in publicly-traded companies: $5000 or 5% or more of the equity in a single entity
  – Equity in non-publicly traded companies: Any
  – Intellectual Property: Any rights/interests possibly related to your institutional responsibilities
  – Appointments to serve in a personal or representative capacity with an entity
  – Reimbursed or sponsored travel: $5000 from a single entity or if value unknown
SFI Examples Requiring Disclosure

• A faculty member owns 40% of the stock of a non-publicly traded company. The company sells a widget that has been co-invented by the faculty member, patented by the university and licensed to the company. Her funded research is in an area that is related to the widget.
• A post-doctoral fellow’s spouse is a paid consultant for a pharmaceutical company that has developed a new anti-depressant. The compensation is about $8,000. The post-doc is an investigator on a research project that evaluates a drug from that company.

SFI Examples Requiring Disclosure

• A surgeon owns $120,000 of stock from a publicly traded company that manufactures medical devices. The surgeon, as part of her clinical responsibilities at UConn Health, implants those devices into her patients.

Non-Reportable Financial Interests

• A faculty investigator in the medical school regularly plays at a piano bar on Saturday nights and earned $7,500 in the past 12 months.
• A dentist owns mutual fund shares worth $50,000 through the Alternate Retirement Program. The mutual fund includes several companies related to his clinical responsibilities.
• A faculty member received $90,000 last year in salary from UConn Health – more than half is from research grant support.
How to Disclose

• Complete the electronic financial disclosure form within the UConn Health InfoEd system to satisfy your disclosure and training requirements as required by federal regulations and UConn Health policy.

Note: We have moved to a new vendor and are no longer using COI-SMART.

Top 5 Benefits of Disclosing Electronically

1. Fulfill your training and disclosure requirements quickly and easily – on campus, at home, or while traveling.
2. Quickly carry forward information from a prior disclosure (e.g. year two) – saving you time.
3. Minimize project approval delays as the OVPR can quickly tell at time of proposal submission that a submission is on file.
4. Receive automatic notifications when annual updates are required.
5. Research investigators, clinical practitioners, and covered Institutional Officials only need to complete one disclosure – more efficient.

Questions?

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Demonstration of Financial Interests Module

Filing A Financial Disclosure Step-By-Step: 1. Login to InfoEd

- https://uchealth.infoed.uconn.edu
- Enter your UConn NetID (e.g. abc12345) username and password
- For NetID assistance, please visit https://netid.uconn.edu/
2. Go to Financial Interests [FCOI]

4. Answer Questions About Your Role, Read FCOI Training (if presented) and Check Box in Lower Right to Continue

5. Answer Required Screening Questions and Check Complete & CONTINUE to advance
6. Answer All Additional Questions on Each Additional Section Page: Entities

- To add an entity, begin typing entity name.
- Select the name from the InfoEd drop-down menu (use the scroll bar on the menu, if needed) and click the "Add" button.
- If the entity name is not in the drop-down list, use "_Other" as the name (you will then be asked to enter the actual name on its detail page) and click the "Add" button.
- To provide details about each entity, click its Open folder icon on that particular row.
- If you no longer have an SFI for an entity that you have listed previously or if there are duplicate or blank rows in the Entity table, click the delete trash can icon on that particular row to remove it and delete the associated entity detail responses.
- Confirm each Entity is marked “Completed" (green checkmark) then check the "COMPLETE & CONTINUE" box to finish the page and advance.

7. Answer All Additional Questions on Each Additional Section Page: Intellectual Property (IP)

- Answer IP question.
- Click the Add Hyperlink (if applicable).
- Click the Open folder icon to report details about the IP.
- Complete all fields.
- Confirm each IP is marked “Completed" (green checkmark).
- Remove any blank rows by clicking the delete trash can icon.
- Check the "COMPLETE & CONTINUE" box to finish and advance.
- If you are resubmitting a previous disclosure form, please carefully review and edit/update accordingly.

8. Answer, 9. Certify, & 10. Click Submit to send the Financial Disclosure to us

- Complete all fields.
- Confirm each section is marked “Completed" (green checkmark).
- Remove any blank rows by clicking the delete trash can icon.
- Check the "COMPLETE & CONTINUE" box to finish and advance.
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11. If Desired, Print/Download the Last Disclosure for Your Records

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What Happens if SFIs are Identified?

- Investigators and Institutional/Covered Officials: OVPR Research Compliance Services (RCS) and the Financial Conflict of Interest Committee (FCOIC) will review financial interest disclosures and determine if a Significant Financial Interest (SFI) is related to a research project and/or whether a management plan is necessary.

- Clinical Practitioners: The Clinical Conflict of Interests Committee (CCoI) will review your disclosure and determine if any Significant Financial Interests (SFIs) are related to your institutional responsibilities and, if so, whether they constitute an FCOI. In appropriate cases, the CCoI will also determine whether an FCOI management plan is necessary.

Support Resources

- InfoEd Training & How To Materials: http://research.uchc.edu/rcs/fcoi/howto/
- OVPR Research Compliance Services FCOI Website: http://research.uchc.edu/rcs/fcoi/

Support Contacts

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Technical Issues Using the Financial Interest System
eRA Help Desk
Office of the VP for Research
eRA-support@uconn.edu
860-486-7944

Desk Staffed
Monday - Friday
8:30 AM - 4:30 PM
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Thank You for Your Participation

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