To: NYU Community  
From: Office of Sponsored Programs  
May 23, 2014  

Dear Colleagues:

As you know, the Provost's office sent faculty an email (below) on May 7, 2014 regarding their obligation to disclose outside activities and interests for the 2013/2014 academic year by completing a disclosure via NYU’s new integrated system for reporting and storing information found at: https://coi.nyu.edu/coi. Such disclosures are necessary to meet the requirements of the NYU policy on Academic Conflict of Interest and Conflict of Commitment.

As the email states, a major benefit of this new system is that the information populated for the annual disclosure is then available for Investigators to use to complete the project-specific disclosure required concurrent with the submission of each proposal for external funding.

The Provost's Office of Academic Appointments and the Office of Sponsored Programs have hosted demonstrations of the system for academic and research Deans during the past month. In addition, departmental administrators who participated in the Office of Sponsored Programs' recent Research Administrator's Forum were introduced to both the annual and project-specific disclosure process via the new system. This process replaces the paper based Investigator Disclosure forms previously completed and uploaded to CAYUSE SP with each proposal submission. Because the transactional/project-specific disclosures rely upon the information contained in the annual disclosure, Investigators are strongly encouraged to complete the annual disclosure as soon as possible, but certainly by June 7, 2014 as requested by the Provost's office. As of June 9, 2014, Investigators will be expected to utilize the system in order to make project-specific disclosures.

We continue to look for opportunities to streamline processes in order to reduce administrative burden on Investigators while meeting sponsor and regulatory compliance requirements. The tool (Click COI) is designed to assist Investigators with the submission of project-specific disclosures as required per NYU’s policy and its Addendum on Conflicts of Interest in Research and Other Sponsored Projects.

We look forward to your feedback.
May 7, 2014

To: Faculty
Subject: Annual Disclosure Certification

Dear Faculty:

As you may recall, in 2012 a new Annual Faculty Disclosure Form was developed in collaboration with Academic Appointments, General Counsel, and Research Compliance and Administration in order to comply with the university’s updated Policy on Academic Conflict of Interest and Conflict of Commitment which can be found at www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/academic-conflict-of-interest-and-conflict-of-commitment.html.

The disclosure form implements the Policy, which can be found in the Faculty Handbook and addresses the increasingly stringent regulatory environment, including recent federal regulations and concerns about conflict of interest, and articulates University policy on conflict of commitment. As an NYU faculty member or Investigator, you are subject to the Policy and it is your obligation to be familiar with it.

In past years the “annual survey” and research-specific Investigator Financial Interest Disclosure forms were administered using paper forms accessible online. Effective this year, faculty must disclose their Outside Activities and financial interests related to research using NYU’s new integrated system for reporting and storing information found at: https://coi.nyu.edu/coi.

Features of this system include:
- Automated access to submit disclosures about activities outside of NYU and those relevant to your research portfolio
- Automated transmittal of disclosures for review by the school dean
- Ready access to historic data, eliminating the need to report the same disclosure if no changes have taken place
- Email reminders when disclosures are due
- Secure retention of data

We know that these disclosure requirements impose a burden on our faculty. Many faculty will have nothing or little to report and will find it takes only a few minutes to answer the questions and complete the certification/submission process. One of the greatest benefits of this new system is that the information populated in the system initially for the annual disclosure process is then available for Investigators to use for the completion of the research project-specific disclosure required concurrent with the
submission of each proposal for external funding. Finally, the information will reside in
the system and only changes to existing or new reportable items will require additional
time.

Please follow the link above to log in and complete your Annual Certification and be sure
to certify and submit your disclosure by June 7, 2014. Remember to save and print a copy
of the report for your records.

In addition to your Chair or Dean, the following individuals are available to help you
through this process and answer any questions you may have.

Questions about the Annual Disclosure process may be addressed to Peter Gonzalez,
Assistant Provost for Academic Appointments at peter.gonzalez@nyu.edu or (212) 998-
2275.

Questions about disclosures related to research in particular should be addressed to Marti
Dunne, Associate Vice Provost for Research Compliance and Administration at
marti.dunne@nyu.edu or (212) 998-2115.

Questions related to the Policy can be addressed to Carrie Trowbridge, Associate General
Counsel at carrie.trowbridge@nyu.edu or (212) 998-2242.

Thanks for your cooperation and forbearance.