Quick Reference Guide for Completing the 2022 Annual Disclosure

Click the “Action Items” icon from your Outside Professional Activity Certification System (OPACS) dashboard to navigate to your 2022 Annual Disclosure.

Click the “Complete Training” button to complete your mandatory COI training prior to starting your 2022 Annual Disclosure. Please note that it can take up to 10 minutes for the training status to sync with OPACS. Once the system is synced, you will be able to complete your annual disclosure.

If you attempt to start the 2022 Annual Disclosure prior to completing the mandatory training, you will receive the following error message.
If you click the OK button, the system will redirect you to the STARS system to complete your training.

Once you have navigated to the STARS training, please click the “Register” button.

On the next screen, please click the “Continue” button.
On the final screen, please click the “Launch” button.

Once the Training has been launched, if you need to pause your progress and return to complete it later, click the “EXIT/BOOKMARK” icon in the upper left of the screen.
Upon returning to the STARS training page, after you have already initiated your progress, please click the “STARS tab” and then click the “All Learning” icon.

You will then click the “Launch” button to re-enter the Conflicts of Interest and Commitment training.
Click the “Re-launch” button to restart the training where you left off.

Click the “Resume” button to restart the training.
Once your training is complete, and the OPACS and STARS system have synced, you may navigate back to your OPACS dashboard, click the Action Items icon, and click the Enter Response button for the 2022 Annual Disclosure.

If desired, review the relevant Research Policy Handbook links relating to your annual disclosure. Note that progress is saved by clicking the “Next” button on the bottom of each page.

I. Conflict of Commitment and Interest Disclosure

Annual reporting on outside professional activities and certification of compliance is required of all members of the Academic Council and University Medical Line faculty by Stanford's Policy on Conflict of Interest and Conflict of Commitment (Research Policy Handbook 4.1, 4.2 and 4.3). Clinician Educators and Instructors in the School of Medicine must also comply with this policy. Disclosures of outside professional activities related to your institutional responsibilities will be assessed to identify potential conflicts of interest. These reports are considered confidential and will be reviewed by the cognizant school Dean, the Dean of Research and designated individuals, who may include an Associate Dean, the Department Chair, senior administrative staff and University officials in Internal Audit and the Office of the General Counsel. Disclosures that are identified by the review as financial conflicts of interest (FCOIs) related to NIH (NIH)-funded research must be reported to the NIH and made available to the public. Depending on the funding source, some disclosures that meet federal criteria may be required to be reported to external funding agencies in accordance with their policies and may be made available to the public (see RPH 4.2 for additional information).

This disclosure is for the period of January 1, 2022, through December 31, 2022.

Disclosures are due Jun 16, 2023.

Please be familiar with the requirements of these policies before completing your Annual disclosure.

Policies

• Research Policy Handbook 4.1 - Faculty Policy on Conflict of Commitment and Interest
• Research Policy Handbook 4.2 - PHS and NSF Requirements Regarding Financial Disclosures and Agency Notifications
• Research Policy Handbook 4.3 - Consulting and Other Outside Professional Activities by Members of the Academic Council and Medical Center Line Faculty
• Research Policy Handbook 10.6 - Relationships between Students (Including Postdoctoral Scholars) and Outside Entities
• Faculty Handbook Section 2.7.7 Appointments at Other Institutions

NOTE: Your progress is saved by clicking on the Next button at the bottom of each page.

Complete “Conflict of Commitment and Interest Disclosure” Section.

Complete the “Outside Professional Activities and Maximum Consulting Days Policy” section. If you were on leave for part of the year, the date field will be required to be filled out.
A. During 2022, what was your position at Stanford?  
(check all that apply)  
- Faculty  
- Academic Staff  
- Medical Libr faculty  
- Clinician Educator  
- Postdoctoral Scholar  
- Other

This section applies to your absences from campus and your outside professional activities and interests that occurred during the 2022 calendar year

B. Active Duty and Leave Information

1. During 2022, was your appointment full-time or part-time and specify percent on active duty for each quarter.  
   Appointment:  
   - Full-time  
   - Part-time

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Active Duty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter</td>
<td>%</td>
</tr>
<tr>
<td>(1/3/2022 - 3/18/2022)</td>
<td>Sabbatical</td>
</tr>
<tr>
<td>Spring</td>
<td>%</td>
</tr>
<tr>
<td>(3/28/2022 - 6/8/2022)</td>
<td>Sabbatical</td>
</tr>
<tr>
<td>Summer*</td>
<td>%</td>
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<tr>
<td>(6/20/2022 - 8/13/2022)</td>
<td>Summer appt</td>
</tr>
<tr>
<td>Fall</td>
<td>%</td>
</tr>
<tr>
<td>(9/20/2022 - 12/16/2022)</td>
<td>Sabbatical</td>
</tr>
</tbody>
</table>

C. During 2022, did you have any of these administrative roles at Stanford?  
(check all that apply)  
- Chair  
- Division Chief  
- Dean  
- Senior Associate Dean or Associate Dean  
- University inter-disciplinary Institute or Independent Lab Director  
- Member of a Stanford IRB, APLAC or SRO panel  
- Other  
- None of the above
Complete the “Outside Activities Section”. If you answer “yes” to question D or E, regarding employment outside of Stanford, or participation in a foreign talent program, you will be required to create an entity for this activity in Section III.

Complete the “Outside Activity Policy” question and click “Next” in the lower right corner.
Complete “Free and Open Exchange of Research Results and Use of University Resources” Section. Click “Next” in the lower right corner of the screen when all answers are complete.
Complete “Outside Financial Interests and Commitments” Section.

The screening questions in this section are meant to determine if you have any outside professional activities to disclose in detail. This is a two-part question, and if the criteria from both a and b pertain to the entity you wish to disclose, you will click the “yes” button to add, modify, or remove entities. If the criteria in both a and b do not pertain to the entity you wish to disclose, you will click the “no” button and certify your annual disclosure.

Below are several examples of financial interests and how an interest may be related to a person’s research.

Click [here](#) for examples of circumstances when your interest may reasonably appear to be related.
Outside Interest Examples

- Royalties from intellectual property not owned by Stanford
- Salary for spouse/domestic partner or
- Income from foundations, scientific or professional societies, or for-profit companies or organizations
- In-kind support: Foundations, scientific or professional societies, foreign governments or for-profit companies or organizations
- Foreign Entities: Any interest (paid or unpaid) or in-kind support, title or position (including, e.g., honorary or other), from any foreign entity, whether private, public, for-profit, non-profit, professional (such as associations or societies) or governmental, including but not limited to any foreign institution of higher education, academic teaching hospital, medical center or research institute
  - If this is an NIH-funded project, and you have an employment relationship or a Scientific, Affiliate, or Academic Appointment with a non-US entity, you must disclose the relationship and provide copies of agreements for the appointment and other activities associated with this relationship, in English
- Participation in a foreign talent recruitment program with a non-US institution
- Roles/Appointments: Managerial roles, employment, an appointment, having principal investigator responsibility, or a faculty or administrative position outside of Stanford

Examples that **DO NOT** need Disclosure

- Salary or royalties paid to you by Stanford
- Royalties from textbooks or other scholarly publications
- Income from investment vehicles for which you do not directly control decisions, e.g. Mutual funds, income from seminar
- Lectures or teaching sponsored by a U.S. federal, state or local government agency, a U.S. institution of higher education, a U.S. academic teaching hospital, medical center or research institute affiliated with a U.S. institution of higher education or income from service on advisory or review committees for one of these entities
- Professional services as defined by activities that are both remunerated by no more than a modest honorarium or equivalent and involves service to US national commissions, US governmental agencies and boards, peer review panels and speaking engagements for agencies or state and local governmental entities within the US or US based philanthropic organizations or charities, US professional societies, visiting committees or advisory groups to other US universities, and analogous domestic bodies
If you click the “no” button indicating that the interests that you have are not related to your Stanford institutional responsibilities, a pop-up window will appear to alert you that all previously disclosed companies will be inactivated for this year’s disclosure.

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**Reasonably Appear to Be Related**

Listed below are some ways in which your interest in a company/organization might reasonbly appear to be related to your Research/Scholarship responsibilities.

The company/organization:

- Sponsors research at Stanford in which you are directly involved
- Has interests that could reasonably be considered to have a potential influence on the design, conduct or reporting of your research/scholarship
- Has a reasonable possibility of being affected by your research/scholarship
- Makes gifts to Stanford that benefits your research/scholarship (including equipment gifts or loans)
- Makes a product that is under study in research in which you are involved
- Licenses Stanford intellectual property in which you have an interest
- Has a Materials Transfer Agreement or Human Tissue Agreement (MTA/HTA) to provide materials used in your research or for materials provided by you to the company/organization
- Sponsors or makes a product that is under study in human subjects in which you are directly or indirectly involved
- Has interests that are related to your general scientific or scholarly expertise

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**sera-uat.stanford.edu says**

By checking No, all active previously-disclosed companies/organizations will be inactivated in this year’s Annual disclosure. Do you wish to continue?

[OK] [Cancel]
If you click the “yes” button, you will proceed to the next screen to add or modify the entities. A list of your current entities will appear on this first screen, but this is only for your reference. Click the “Next” button in the lower right corner of the screen to continue to Company Selection.

Company Selection

The next screen will be the company selection screen where you can add or modify an entity to disclose a new paid or unpaid relationship.

To add an entity to disclose a new paid or unpaid relationship, click the red “Add New Entity” button on the lower left of the screen. To Update an existing entity, click the blue “Update” button on the right side of the entity table.
Once you click the “Add New Entity” or “Update” button, you will be presented with a series of questions about your relationship with the entity to determine if the interest meets the definition of professional service and does not need to be disclosed, or if the interest is a short, one-time activity that is not related to your Stanford duties, allowing for a shortened disclosure form.

If you answer “yes” that the activity meets the definition of a professional service you may then click the red “Inactivate Entity” button to inactivate a previously disclosed entity, or click the “Return to Company Selection” page to continue.

If the interest does not meet the definition of a professional service, you will be asked another question to determine what sort of form the system will generate for you.
The correct form will be generated and ask the following questions:

1. Name of company or organization (foundation, society, other). Note: Each company, organization, law firm or other outside entity must be entered separately.

   The Entity table auto populates as you type. If you do not find the name, clear your typed entry, and you will see at the very top of the list "Companies not listed". Select this and then you will be able to type in a new name.

   a. The relationship is with:
      (check all that apply)
      - Self
      - Spouse/domestic partner
      - Other family member

   a1. If the relationship is yours, not your spouse/domestic partner or family member, how much time did you spend on this activity? (e.g., 3 hours a week, or 2 days per month per annum)

   a2. What is your planned time commitment per annum?
      days
A new question has been generated to determine if you are listed as a senior/key personnel on an award from certain funding agencies. This is not an exhaustive list of your funding sources, but rather four funding agencies that may require additional information. This information is pulled from our SeRA system. You are not required to fill out this information.

Note: If this interest is a Private/For Profit entity, you will need to note if you or any of your students are co-founders of the entity.

A new question has been generated to determine if you are listed as a senior/key personnel on an award from certain funding agencies. This is not an exhaustive list of your funding sources, but rather four funding agencies that may require additional information. This information is pulled from our SeRA system. You are not required to fill out this information.

2. Are you an investigator or senior/key personnel on any of the following proposed or funded awarding agencies?
   - NIH  Yes  No
   - NSF  Yes  No
   - DoE  Yes  No
   - DoD  Yes  No
3. What is the nature of your activity/financial interest with Company Y? (Check all that apply)

- Board of Directors membership
- Advisory Board membership
- Consultant (other than Advisory Board or Board of Directors membership)
- Licensing of intellectual property that you developed at Stanford to Company Y
- Ownership of Stock and/or Stock Options or other ownership interests
  (excluding investments for which you do not directly control investment decisions, such as mutual funds)
- Payment of royalties for inventions developed outside Stanford and licensed to Company Y
- Payment for lectures
- Payment for preparation of papers or reports
- Payment for product evaluation
- Legal consultant or expert witness
- Executive or other employee position
- Scientific, Research, or Academic Appointments
- Other

Note: In Kind Support refers to office/laboratory space, equipment, supplies, datasets or employees or students supported by an outside source

a. Is providing you any material data, in-kind support for your research endeavors?

- No
- Yes

4. During 2022, what is the total amount of your income and estimated value of your other financial interests (or that of your spouse/domestic partner or dependent children) in Apple?

a. Please enter specific dollar amount of Total Income (excluding stocks and/or stock options): $  

b. Ownership of Stock and/or Stock Options (except income from investment vehicles for which you do not directly control decisions, e.g. mutual funds)
- I own Stock and/or Stock Options: Yes  No
- Estimated value of Stock and/or Stock Options as of today: $  

c. Will you be using any Stanford resources, including facilities, personnel, equipment, or confidential information, except in a purely incidental way, as part of your outside professional activities or for any other non-University purpose?

- Yes  No
Federal Regulations for PHS-funded research states: Investigators must disclose the occurrence of any reimbursed or sponsored travel (i.e. that which is paid on behalf of the Investigator and not reimbursed to the Investigator), related to their Institutional responsibilities. The details of this must include the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution’s FCOI policy, the Institutional official(s) will determine whether the travel constitutes an FCOI with the PHS-funded research. This disclosure does not apply to travel that is reimbursed or sponsored by a U.S. Federal, state, or local government agency, a U.S. Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

If you receive or will receive sponsored research funding from PHS/NIH you must report travel related to your institutional responsibilities that was paid for by an external organization.

This is your previously reported value of reimbursed or sponsored travel for this period from Company Y: $0 (View current PHS Travel):

Update your travel status by selecting one of the following:

- Add New PHS Travel
- Did not Travel during this period
- All travel reported for this period
- Not Applicable. As I have no PHS/NIH proposals or funding

5. If you are entering into a consulting or non-disclosure agreement with an outside entity, you are required to provide the entity with a copy of the Stanford University Required Addendum to Consultancy or Related Agreement.

- I have or will provide this addendum to the entity
- Not applicable to this type of relationship

Research and Scholarship

You will be asked if the entity that you are reporting may reasonably appear to be related to your research/scholarship responsibilities. If the answer is no, click the “no” button and then click the “Next” button on the lower right.

Would this financial interest reasonably appear to be related to your research/scholarship responsibilities?

- No
- Yes
If you answer yes, check the box for all instances that would apply to this entity.

![Image of Yes or No selection box]

1. Listed below are the ways in which your financial interest in Company Y may reasonably appear to be related to your research/scholarship. Please check all that apply:
   - Sponsors research at Stanford in which you are directly involved
   - Has commercial interests that could reasonably be considered to have a potential influence on how you design, conduct or report your research/scholarship
   - Has a reasonable possibility of benefiting financially from the results of your research/scholarship
   - Makes gifts to Stanford that benefit your research/scholarship (including equipment gifts or loans)
   - Makes a product that is under study in research in which you are involved
   - Licenses Stanford intellectual property in which you have a financial interest
   - Has a Materials Transfer Agreement, Human Tissue Agreement or Data Use Agreement (MTA/HTA/DUA) to provide materials or data used in your research or for materials provided by you to Company Y
   - Sponsors or makes a product that is under study in human subjects in which you are directly or indirectly involved
   - Has commercial interests that are related to your general scientific or scholarly expertise.
   - None of the above

If you are named as a senior/key personnel on any grants, contracts, or subawards, you will need to provide details about how the entity could reasonably be related to the research.

![Image of Grants, Contracts, and Subawards]

2. Listed below are the grants, contracts, and subawards for which you are included in key personnel. Please check the box if the aims of any of these research projects reasonably appear to be related to your activities/relationship with Company Y. Check all that apply and review or update as needed.

No grants, contracts or subawards found.

If you are named as a researcher on any protocols, you will need to answer how the entity could reasonably be related to the research.
If you have a Veterans Affairs (VA) appointment, answer “yes” in question 4, otherwise, answer “no”.

4. If you have a Veterans Affairs (VA) appointment, do you have any federally funded research through PAVIR or the VA that might reasonably appear to be related to your activities with Company Y?
   - No
   - Yes

If you have PHS funding, answer “yes” and complete any missing travel reporting for the year; or if you have PHS funding, and have not traveled this year, state this. If you do not have any PHS funding, answer “no”.

5. If you do not have PHS funding, please disregard the following section.

\[ \text{PHS Travel Reporting} \]

Federal Regulations for PHS-funded research states: Investigators must disclose the occurrence of any reimbursed or sponsored travel (i.e. that which is paid on behalf of the Investigator and not reimbursed to the Investigator), related to their Institutional responsibilities. The details of this must include the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution’s FCOI policy, the Institutional official(s) will determine whether the travel constitutes an FCOI with the PHS-funded research. This disclosure does not apply to travel that is reimbursed or sponsored by a U.S. Federal, state, or local government agency, a U.S. Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

During 2021, if you were the recipient of any sponsored or reimbursed travel related to your PHS-funded research, paid by any entity (see exceptions above) then you must complete a PHS Travel Report. This link is also at the end of your Annual disclosure and on your ORACS dashboard.
Teaching and Education

You will be asked if the entity that you are reporting may reasonably appear to be related to your teaching and educational responsibilities. If the answer is no, click the “no” button, skip question 1 and then click the “Next” button on the lower right.

If the answer is yes, you will click the “yes” button and check the box for all entities that could reasonably be related to your teaching and educational responsibilities. Then click the next button in the lower right.
Administrative Duties
You will be asked if the entity that you are reporting may reasonably appear to be related to your administrative responsibilities, including procurement of goods and services, oversight of personnel who have an outside interest, or other administrative activities. If the answer is no, click the “no” button, skip questions 1, 2, and 3, then click the “Next” button on the lower right.
If the answer is yes, you will click the “yes” button and answer the three questions regarding how the entity could reasonably be related to your teaching and educational responsibilities. Then click the “next” button in the lower right.

Clinical Duties
You will be asked if the entity that you are reporting may reasonably appear to be related to your clinical duties and responsibilities. If the answer is no, click the “no” button, skip question 1, review the Stanford policies, and then click the “Next” button on the lower right.
If the answer is yes, you will click the “yes” button, check the boxes for all ways that the entity could reasonably be related to your clinical duties and responsibilities, review the two Stanford policies regarding clinical duties, then click the “next” button in the lower right.
When you have successfully completed the entry for the entity that you were disclosing, you will get the following notification.

Add Another Entity or Modify Another Existing Entity

You may now enter another entity or modify an existing entity for additional outside professional activities. Repeat the steps above, as needed. When your entities are complete and up to date, click the red “Next Step: Review & Submit” button above the entity table, or in the upper right of the screen to the certification step.
Certification – Final Step

Once you have completed the 2022 Annual Disclosure, review the certification statement and click the red “Certify” button on the lower left.

Choose “Save Without Certifying” if you would like to save your progress without certifying. You can provide additional information by starting the disclosure again and updating the information as needed.

If you would like to review/print your disclosure, please click the “Review/Print Disclosure” button. You can also view your disclosure online at any time.