e-COI Report Status Descriptions

**Administrator Pulled Back:** the COI office is working on technical aspects of the report and it is not available to the reporter for updates.

**Compensation Below Significant Financial Interest — No FCOI Exists:** when the financial compensation from outside interests is below the threshold for a significant financial interest (defined as annual compensation over $5K, 5% equity in a publicly traded company, or any equity in a privately held company), but the entity is in some way related to the reporter’s role at Cornell (for example the relationship derives from the reporter’s Cornell responsibilities and expertise, as is the case in many speaking engagements). This interest does not present the potential for a COI except in exceptional circumstances, such as when human participants are involved in research that is related to the outside interest.

**Disclosable Interest Eliminated:** this status is never used. It would be used in cases when a reporter had an outside interest but has since divested. Our current practice is that in these cases, the reporter will update their report, any discussions will be documented, and one of the other statuses, such as “No Conflict Exists,” “No Review Required,” etc. will be used.

**Disclosable Interest Managed:** the reporter has disclosed an outside relationship that presents a real or apparent conflict of interest, and that COI is managed with a management plan. This status indicates that the management plan has been agreed to and signed by all parties.

**Disclosable Interest Unmanageable:** this status is never used. It would be used to indicate that the financial interest disclosed presents a conflict that cannot be managed. Since unmanageable conflicts are not allowed, the outcome of such a situation would be that the reporter eliminates the outside interest or terminates their engagement in related research. The reporter would update their report and relevant discussions would be documented. The final outcome would then be “No Conflict Exists,” “No Review Required,” or some other status that indicates the appropriate outcome.

**Disclosed Interest Review Complete:** this status is used in special cases when there is a non-standard resolution or when the individual’s report is not reviewed by the COI office (such as for employees of the BTI).

**FCOI Review:** the internal reviewer has closed their review. Next steps vary and are addressed on a case-by-case basis.

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**No Conflict Exists:** the reporter has disclosed a relationship with an outside interest, but that relationship is not related to the reporter’s role at Cornell or does not present any potential for a conflict of interest with their Cornell duties. No special guidance is needed to address these relationships. Example: the primary appointments of visitors and adjuncts, paid hobbies (part-time work at a ski resort, selling hand-made crafts, etc.) which are wholly unrelated to a reporter’s Cornell work.

**No FCOI: Guidance on External Relationships Applies:** when the outside interest reported constitutes a significant financial interest, and that interest is indirectly related to or is derived from the reporter’s Cornell responsibilities (such as consulting, expert witness, speaking arrangements), but the relationship does not present a conflict of interest. Guidance that includes university policies on commitment, use of resources, student involvement, etc. is provided to the reporter to inform them of these policies.

**No Review Required:** when the reporter responds with a “no” to ALL of the screening questions in the form - indicating that they have no outside interests to report - the eCOI system automatically puts the report in this status and informs the reporter via email. In some cases, if a reporter reports ONLY interests that they did not need to include (such as unpaid or volunteer work, work with a U.S. government agency, Cornell, or unrelated employment of a spouse), the COI office will put the report in this status upon finishing their review.

**Request Information/Update:** the COI office has requested that the reporter edit information in the report. The reporter has access to their report and should edit and resubmit it. Usually this status transition is the result of a phone or email conversation between the COI office and the reporter, and the reporter knows what information they need to edit or update.

**Review Required:** the reporter has disclosed an outside interest and the COI office has not yet assigned the report for review.

**Under Review:** the COI office has assigned the report to an internal reviewer for review.

**Unfinished:** the reporter has started their report but has not yet completed or submitted it.

**Unstarted:** the reporter has been asked to disclose their external relationships and financial interests but has not yet started their report.