# AURA COI-COC Fundamentals Quick Reference Guide (QRG)

## Table of Contents

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Log into AURA COI-COC</td>
<td>2</td>
</tr>
<tr>
<td>Save vs. Continue buttons</td>
<td>3</td>
</tr>
<tr>
<td>Dynamic chooser list</td>
<td>4</td>
</tr>
<tr>
<td>Save a PDF copy of your disclosure</td>
<td>5</td>
</tr>
<tr>
<td>Calendar</td>
<td>8</td>
</tr>
<tr>
<td>Additional Functionality</td>
<td>10</td>
</tr>
<tr>
<td>Hide/Show Errors</td>
<td>11</td>
</tr>
</tbody>
</table>
Log into AURA COI-COC

- Click AURA COI-COC Login on the AURA Homepage (http://aura.uchicago.edu)

Log in with your CNetID or a UCHAD network ID.
Save vs. Continue buttons

The **Save** button saves the information you have entered on a single view so that you may **Exit** without losing your work.

The **Continue** button saves the information and advances you to the next view.

---

### University of Chicago Medicine - IRS Questions

You are receiving these questions because you are an officer or key employee at the University of Chicago Medicine, which must report certain information to the Internal Revenue Service.

#### Transactions and Relationships

These questions focus on transactions with the University of Chicago Medicine, and with its affiliates, which are called "Related Organizations."

<table>
<thead>
<tr>
<th>University of Chicago Medicine</th>
<th>The Quadrangle Club</th>
<th>University of Chicago Booth School of Business in the U.K., Ltd. (UK)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARCH Development Corporation</td>
<td>The University of Chicago Cloisters Club</td>
<td>University of Chicago Booth School of Business, Ltd. (Singapore)</td>
</tr>
<tr>
<td>Chicago Tumor Institute</td>
<td>The University of Chicago Foundation in Hong Kong Ltd. (Hong Kong)</td>
<td>University of Chicago Cancer Research Foundation</td>
</tr>
<tr>
<td>Court Theatre Fund</td>
<td>The John Crerar Foundation</td>
<td></td>
</tr>
<tr>
<td>Farm Research Alliance, LLC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lake Park Associates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maroon Investments, LLC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Opinion Research Center</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phoenix Overlay Fund Ltd.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Southeast Chicago Commission</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The questions also seek information about related organizations and other entities.

### Definition of Transaction

The term “Transaction” refers to a sale, purchase, lease, license, service agreement, insurance, joint venture (in which each party has a capital interest or interest in profits that in either case exceeds 10%), or similar arrangement or agreement, including providing employment or independent contractor services. Individual payments made under the same agreement or the same transaction are treated as a single transaction. An arrangement or agreement that began before the period being reported, but that involved payments made during the period being reported, is treated as a transaction.

Answer these questions to the **best of your knowledge**. If you need assistance understanding a question, call the University of Chicago Medicine Office of Legal Affairs at extension 2-5275.

#### Example:

1. **At any time from July 1 of last year to the present, did you or a family member participate in a new or ongoing transaction with either the University of Chicago Medicine or a related organization?**

   Example: Your son is an independent contractor of UChicago Argonne, which is a related organization. Identify the date his services began, his relationship to you as child, and his name as Stephen Perrinian. Identify UChicago Argonne as the related organization, the transaction as independent contractor and the amount of your son’s compensation. Answer yes in the last field if his compensation is based upon a percentage of revenue of UChicago Argonne.

   © Yes  ☐ No  ☐ Clear

   **1.1** If yes, click Add to provide the details of each transaction:

   | Add |
Dynamic Chooser Lists

Annual Disclosure for Jane Doe 2015

UC - Disclosure Details

You are seeing this page because you indicated in the previous page that you, or a family member, have significant financial interests or outside professional or commercial activities with outside organizations or companies to disclose to the University.

Disclosure details are collected per organization. Click the New Disclosure button to add an organization. Once you have answered the questions for the first organization, you'll be directed back to this page where you can click on New Disclosure again to add additional organizations. You must repeat this process for each organization in which you have something to disclose to the University.

1. Previously Submitted Financial Interests - This section lists financial interests that you submitted last year.

If any of the listed Financial Interest(s) are applicable to the current reporting in Section 2.

2. New/Current Financial Interests

Type in the first few letters of the Organization or Financial Interest and the selection will appear. If it does not appear, simply click the “Select” button to make your selection.
Save a PDF copy of your disclosure

1)

Enter your Annual Disclosure workspace and click Printer Version.
Introduction

The University of Chicago Annual Conflict of Interest System.

Discloser Name: Robert McDonald

Welcome to the University of Chicago AURA Conflict of Interest System. You will be asked to respond to a variety of questions in the following views based on the Conflict of Interest policy(s) and regulatory reporting requirements that apply to you.

Participation in outside professional or commercial activities makes important direct and indirect contributions to the strength and vitality of the University and the medical center. It is essential, however, to have policies in place to guard against inappropriate or excessive outside interests or participation. It is also essential to protect the integrity and objectivity of our work, whether research and scholarship carried out at the University or the decisions made by leadership of the medical center.

Additionally, the University of Chicago Medicine requires actual and potential conflicts of interest to be disclosed annually in compliance with the Conflict of Interest Policy and to meet reporting requirements for the IRS Form 990 and Medicare Cost Report. This system integrates the University and University of Chicago Medicine disclosure requirements into one disclosure process.

Click CONTINUE to confirm you are ready to complete your Disclosure.

View: SF: Cost Report Questions

University of Chicago Medicine - Introduction and Conflict of Interest Questions

You are receiving these questions because you have a role at the University of Chicago Medicine and one or both of the following policies apply to you.

University of Chicago Medicine Officer, Employee and Influential Medical Staff Member Conflict and Vendor Relationship Policy (A00-12)
3) Make sure Destination is set to ‘Save as PDF’ and click Save.
The questions also seek information about business and family relationships among the University of Chicago Medicine leadership. Finally, the questions seek information about compensation from related organizations and grants and other assistance from the University of Chicago Medicine.

"Family Member" is defined as:

- Spouse or domestic partner
- Child, grandchild, great-grandchild, siblings, or domestic partners (e.g., father-in-law)

1) Transactions

Definition of Transaction: The term “Transaction” means the sale or purchase of goods, services, or property that either party has an interest in or profit-sharing agreement in the other party’s business or other similar interest. A transaction is treated as a transaction if any interest or profit-sharing agreement is made during the period being reported, is treated as a transaction.

Answer these questions to the best of your knowledge.

1.0 At any time from July 1 of last year to the present, did you have, or did any entity (including a family member) have, an ownership or control interest in or with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.

1.1 At any time from July 1 of last year to the present, did you have, or did any entity (including a family member) have, an ownership or control interest in or with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.

1.1.1 At any time from July 1 of last year to the present, did you have, or did any entity in which you have, or a family member has, an ownership or control interest engage in a new or ongoing transaction with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.

2.0 At any time from July 1 of last year to the present, did any entity in which you have, or a family member has, an ownership or control interest engage in a new or ongoing transaction with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.

2.1 At any time from July 1 of last year to the present, did you have, or did any entity (including a family member) have, an ownership or control interest in or with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.

2.1.1 At any time from July 1 of last year to the present, did you have, or did any entity in which you have, or a family member has, an ownership or control interest engage in a new or ongoing transaction with the University of Chicago Medicine or a related organization?

Example: Your son is an independent contractor, and his relationship with you as a client has been ongoing for the past 5 years. He is independent in his relationship with you as a client in your capacity as independent contractor based upon a percentage of revenue.
2) Find/Click the appropriate date and it will auto-populate the field.
Additional Functionality

Inside buttons advance/retreat one month. Outside buttons advance/retreat one year.

Hold button(s) to jump multiple months/years at a time.
Click the Hide/Show Errors button to verify that all required questions have been answered.

Any errors will appear at the bottom on the screen.

Clicking the blue link will take you directly to the view where the outstanding question(s) can be answered.