Convey

A Global Financial Interest Disclosure System

Heather H. Pierce, JD, MPH
Senior Director, Science Policy
Association of American Medical Colleges
June 9, 2016
# Coauthor Disclosure Form:

**Abstracts that report on clinical trials**

This form is provided to assist in gathering disclosure information from coauthors. It may not be submitted directly in ASCO by coauthors or institutions. Completed forms should be sent to the first author, and should be disclosed in the abstract if deemed relevant. Forms must be submitted electronically through the ASCO website. Coauthors must disclose all financial relationships with commercial interests. Each coauthor must complete their disclosure form.

### Section 1.

**1. Give Name for Remarks**

**2. Are you the corresponding author?**

**3. Principal investigator**

**4. Mail address**

**5. Name of Institution/Company**

**6. Section 2.**

**4. OTHER REQUIREMENTS (other than above)**

**5. CURRENT FINANCIAL INTERESTS (cont.)**

**6. CERTIFICATION STATEMENT**

**7. EXPERT WITNESS (last 12 months or under regulation)**

**8. STRAYING, WRITING, EDITING (last 12 months or under regulation)**

**9. PAST FINANCIAL INTERESTS**

### Section 3.

**Relevant financial activities outside the submission**

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (indicated by “Disclosures” below) that have been discussed in the instructions. Use one line for each entry, add as many lines as you need by placing a check in the appropriate boxes. Note that compensation (with amounts) should be provided under each financial relationship type. Each coauthor must complete their disclosure form.

<table>
<thead>
<tr>
<th>Disclosures</th>
<th>Amount (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

C1st author: Signature: Date:  
C2nd author: Signature: Date:  
C3rd author: Signature: Date:  
C4th author: Signature: Date:
ICMJE Form for Disclosure of Potential Conflicts of Interest

Section 1. Identifying Information

1. Given Name (First Name) Kermit
2. Surname (Last Name) Frog
3. Date 25-April-2013

4. Are you the corresponding author? ☑ Yes ☐ No
   Corresponding Author's Name Miss Piggy

5. Manuscript Title
   The effects of Sunstop on the function of sunlight on frog skin slime

6. Manuscript Identifying Number (if you know it)
   KF-34567

Section 2. The Work Under Consideration for Publication

Did you or your institution at any time receive employment or services from a third party (government, commercial, private or not-for-profit) related to any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)?

Are there any relevant conflicts of interest? ☑ Yes ☐ No

If yes, please fill out the appropriate information below. If you have more than one entity press the "ADD" button. Excess rows can be removed by pressing the "X" button.

<table>
<thead>
<tr>
<th>Name of Institution/Company</th>
<th>Grant</th>
<th>Personal Fees</th>
<th>Non-Financial Support</th>
<th>Other</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sunlight Stop, Inc.</td>
<td>☑</td>
<td>☐</td>
<td>☑</td>
<td>☐</td>
<td>Provided funds and the analysis</td>
</tr>
</tbody>
</table>

Section 3. Relevant financial activities outside the submitted work.

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of compensation) with entities as described in the instructions. Use one line for each entity; add as many lines as you need by pressing the "ADD" button.

<table>
<thead>
<tr>
<th>(1st author):</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>(2nd author):</th>
<th>Signature:</th>
<th>Date:</th>
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</table>

<table>
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<th>(3rd author):</th>
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<table>
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<th>(4th author):</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>(5th author):</th>
<th>Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>
Convey: The Goal

• To provide individuals with a web-based repository to enter and maintain records of financial interests and allow them to disclose directly to any organization.

• To build a streamlined, standardized system that sets and adopts national standards but allows organizations to tailor the disclosure process to get the information they need.

The Creation of Convey

• Based on 2009 IOM recommendation
• Built on consensus data standards through MedBiquitous®
• Developed by the AAMC with the input of dozens of stakeholder organizations and individuals

Pilot Partners

• New England Journal of Medicine
• American Society of Clinical Oncology
• Cleveland Clinic
• Johns Hopkins
Convey: The Concept

First Disclosure

Create an Account

Find Subscribing Organization (or follow link)

Review Organization’s Requirements

Enter financial interest information to disclose

Review, certify, submit

Second Disclosure

Login to Account

Find Subscribing Organization (or follow link)

Review proposed disclosure

Enter additional financial interest information if needed

Review, certify, submit
Welcome to Convey

Convey is designed to reduce the amount of time you spend making required disclosures of financial interests. The system simplifies the process of disclosing required information by maintaining a repository for your financial interest records so you can easily disclose to any organization that uses Convey.

Disclose to an Organization

Search for an Organization

Build my Repository

Add a Financial Interest
View my Financial Interests

View Recently Submitted Disclosures

University of AAMC
May 16, 2016
University of AAMC
May 13, 2016
Convey Demo Journal
May 12, 2016

View All Disclosures >
Step 1: Organization Policy and Tailored Instructions

Sending Disclosure To: University of AAMC

Policy & Instructions

The University of AAMC Conflict of Interest Policy was developed to ensure integrity in research and patient care that occurs at our institution. All individuals who participate in research or clinical care activities are required to submit to the University a disclosure of all financial interests that relate to that person's institutional responsibilities, as well as those financial interests of the person's spouse or dependent children. Individuals disclosing to the University of AAMC are expected to disclose all required financial interests within the last 12 months and over a threshold of $5000. See any additional criteria and details at our website.

The Discloser Identifier is unique to you and is used by the University of AAMC to match your disclosure to your institutional records. Please type your University of AAMC employee ID into the box for this disclosure. Contact the organization if you are unsure of your employee ID number.

The Disclosure Purpose is the reason that you are making the disclosure. Please type in 'General Annual' or 'Update' into the box to specify to the University of AAMC which type of disclosure you are making. Please contact the organization if you are unsure which to use.

This organization accepts ORCID iD as your Discloser ID. If you already have an ORCID iD or would like to obtain one, you can retrieve or create it by clicking the ORCID icon above the Discloser ID field. If Convey has previously saved your ORCID iD, it has been used as your Discloser ID. To learn more about ORCID, visit http://orcid.org.

Discloser Identifier

Create or Connect your ORCID iD

1234-5678

Disclosure Purpose

General Annual
Step 2: Entering Financial Interests

Sending Disclosure To: University of AAMC

Do you have anything to disclose?

Add a Financial Interest

Nothing to Disclose
Step 2: Entering Financial Interests

Sending Disclosure To: University of AAMC

Is this financial interest related to …

- a Company or Organization
  - Stock, Employment, Ownership, Consulting, Board Membership, Grant, etc.

- Intellectual Property
  - Patent: Copyright, Trademark
  - Other Intellectual Property
Step 2: Entering Financial Interests

Sending Disclosure To: University of AAMC

Policy Details  | Enter Interests  | Additional Questions  | Review and Send

1. Search for and select an entity
2. Select a Financial Interest type
3. Add details for the selected interest

Select an Interest Type: Agua Pharma

<table>
<thead>
<tr>
<th>Professional Services</th>
<th>Financial Stake</th>
<th>Financial Support</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment</td>
<td>Stock</td>
<td>Gift</td>
</tr>
<tr>
<td>Fiduciary Officer</td>
<td>Stock Option</td>
<td>Travel</td>
</tr>
<tr>
<td>Independent Contractor</td>
<td>Other Securities</td>
<td>Grant / Contract</td>
</tr>
<tr>
<td>Consultant</td>
<td>Other Business Ownership</td>
<td>Royalty Revenue</td>
</tr>
<tr>
<td>Data and Safety Monitoring</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

AAMC
Step 2: Entering Financial Interests
Requested fields are flagged
Step 2: Reviewing Financial Interests

Sending Disclosure To: University of AAMC

<table>
<thead>
<tr>
<th>Entity</th>
<th>Type</th>
<th>Interest Held By</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>180 Medical, Inc.</td>
<td>Grant / Contract</td>
<td>Self</td>
<td>Do Not Include</td>
</tr>
<tr>
<td>Amgen Inc.</td>
<td>Fiduciary Officer</td>
<td>Self</td>
<td>Do Not Include</td>
</tr>
<tr>
<td>Biogen Idec Inc.</td>
<td>Grant / Contract</td>
<td>Self</td>
<td>Do Not Include</td>
</tr>
<tr>
<td>Laboratorios Pfizer Lda.</td>
<td>Stock</td>
<td>Self</td>
<td>Do Not Include</td>
</tr>
</tbody>
</table>

The financial interests you have stored in Convey have been placed into the list of currently included financial interests or those interests excluded from this disclosure, based on the requirements of the organization listed above. You can include or exclude any financial interest from this disclosure.
Before Continuing, Individuals are Told Which Interests are Missing Requested Fields

The organization to which you are disclosing has identified the specific information that will be included with each financial interest. Some information requested by this organization is missing from the following financial interests which you have indicated you will be disclosing:

<table>
<thead>
<tr>
<th>Type</th>
<th>Entity / Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiduciary Officer</td>
<td>Pfizer Inc.</td>
</tr>
<tr>
<td>Grant / Contract</td>
<td>Takeda California, Inc.</td>
</tr>
<tr>
<td>Grant / Contract</td>
<td>180 Medical, Inc.</td>
</tr>
<tr>
<td>Patent</td>
<td>New antibiotic</td>
</tr>
<tr>
<td>Stock</td>
<td>Smith &amp; Nephew, Inc.</td>
</tr>
<tr>
<td>Stock</td>
<td>Pfizer AG</td>
</tr>
<tr>
<td>Stock</td>
<td>Laboratorios Pfizer Lda.</td>
</tr>
<tr>
<td>Patent</td>
<td>Analgesic</td>
</tr>
<tr>
<td>Grant / Contract</td>
<td>Biogen Idec Inc.</td>
</tr>
</tbody>
</table>

Review / Enter Missing Data  Continue to Additional Questions
## Smith & Nephew, Inc.: Stock

### Number of Shares
- 530

### Percentage Ownership
- %
- Typically used for privately-held corporations

### Security Value
#### Estimated Value
- USD ($) 9500

#### Valuation Date
- November 11, 2015
- Clear

#### Acquisition Date
- January 1, 2012
- Clear

#### Divestment Date
- Clear

### Interest held by (Required)
- Self
- Spouse/Partner
- Dependent Child
- Other
Step 3: Organization-Specific Additional Questions

Sending Disclosure To: University of AAMC

Policy Details  Enter Interests  Additional Questions  Review and Send

The questions on this page have been requested by the organization identified above, and your answers are specific to this disclosure. In the future, you will be able to see your answers by reviewing this submitted disclosure, which can accessed through your History. Any information that you enter here will not change or add to the interests saved in My Financial Interests for future disclosures.

Additional Questions

1. Do you serve on the institution’s Pharmacy and Therapeutics Committee?
   - Yes
   - No

2. Please answer the following question for each of the following entities. Are your significant financial interests in this entity related to research you are conducting that is funded by the Public Health Service?
   A significant financial interest is considered related to PHS-funded research when the significant financial interest:
   - could be affected by the PHS-funded research; or
   - is in an entity whose financial interest could be affected by the research.
   (For more guidance on this question, refer to our policy FAQs.)

   Amgen Inc.
   - Yes
   - No

   AstraZeneca Pharmaceuticals LP
   - Yes
   - No
Step 4: Review, Certify, and Send

Sending Disclosure To: University of AAMC

Policy Details → Enter Interests → Additional Questions → Review and Send

Review Disclosure Being Sent to: University of AAMC

Please review carefully the information on this page that will be submitted to the organization identified at the top of the page. You can return to any step in this disclosure to make changes or click the Edit button next to any section on this page. The section entitled "Interests Not Included in this Disclosure" shows the financial interests that you have saved in Convey that will not be disclosed to this organization.

Once you submit your disclosure, it cannot be modified or revoked. For questions about making changes to disclosure information after submitting a disclosure through Convey, please refer to the FAQ section.

<table>
<thead>
<tr>
<th>Discloser Name</th>
<th>Discloser Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>David Discloser</td>
<td><a href="mailto:csteele@aamc.org">csteele@aamc.org</a></td>
</tr>
</tbody>
</table>
Financial Interest Repository: Created and updated through the process of disclosing.
The Second Disclosure: Journal
Same individual, same process
New policy, new recipient

Step 1: Organization Policy and Tailored Instructions
Step 2: Review and update Financial Interests

Using the Organization’s rules and policy, Convey helps authors determine which financial interests to consider.
Step 3: Organization-Specific Additional Questions

Sending Disclosure To: Convey Demo Journal

Policy Details  Enter Interests  Additional Questions  Review and Send

Additional Questions

1. What is the manuscript title?

2. What is the manuscript Identifying Number (if you know it)?

3. Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

[ ] Yes  [ ] No
Step 4: Review, Certify, and Send

Sending Disclosure To: Convey Demo Journal

Policy Details | Enter Interests | Additional Questions | Review and Send

Review Disclosure Being Sent to: University of AAMC

Please review carefully the information on this page that will be submitted to the organization identified at the top of the page. You can return to any step in this disclosure to make changes or click the Edit button next to any section on this page. The section entitled “Interests Not Included in this Disclosure” shows the financial interests that you have saved in Convey that will not be disclosed to this organization.

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<td><a href="mailto:csteele@aamc.org">csteele@aamc.org</a></td>
</tr>
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</table>
Convey: Subscriber Tools

From the subscriber-side interface, organizations can:

• Revise disclosure process text, rules, certification language, and additional questions

• Upload a list of individuals to invite through Convey

• Generate an organization-specific URL

• View and download any disclosure

• Manage disclosures and run reports on information submitted
Subscriber Interface

Convey Demo Journal

Requesting Disclosures
- Generate Disclosure Link
- Create Disclosure Invitation List
- Manage Disclosure Invitation Lists

Managing Submitted Disclosures
- View or Download Submitted Disclosures
- Track Submitted Disclosures
- Create Disclosure Reports

Adjusting Your Organization’s Settings
- Modify the Disclosure Requirements
- Add or Remove Authorized Representatives

Current Activity
- Disclosures In Progress: 6
- Disclosures Submitted: 21

Resources
- Contact Convey
  Convey Support Contact Form
  (202) 999-2001 / conveyargs@aamc.org
  Monday - Friday 8am - 6pm ET
- Participating Organization User Guide
- FAO Document for Organizations
- Discloser User Guide
Subscriber Actions

Requesting Disclosures

- Generate Disclosure Link
- Create Disclosure Invitation List
- Manage Disclosure Invitation Lists
Subscriber Actions

Managing Submitted Disclosures

- View or Download Submitted Disclosures
- Track Submitted Disclosures
- Create Disclosure Reports
Subscriber Actions

Adjusting Your Organization’s Settings

Modify the Disclosure Requirements

Add or Remove Authorized Representatives
Subscriber Controls – Disclosure Process

Convey Demo Journal

The screen below displays the information that individuals disclosing to your organization will see in the first step of the disclosure. The first box explains the Discloser ID and Disclosure Purpose fields. The lower box contains information about your organization's policy and instructions to individual disclosers. Any of this information may be edited by contacting us at ConveyAdmin@aamc.org.

Sending Disclosure To: Convey Demo Journal

Policy Details Enter Interests Additional Questions Review and Send

The Discloser Identifier is unique to you and used by Convey Demo Journal to match your disclosure to your institutional records. The Convey Demo Journal uses ORCID® to identify you in the journal records. If your ORCID identifier is already in your personal profile, it will be included here. If you do not yet have an ORCID number, you can sign up through the link in Convey or at www.orcid.org/register.

The Disclosure Purpose is the reason that you are making the disclosure and has been selected by the journal based on your manuscript type. It may differ depending on the link that you were provided or followed from the Convey Journal website.

The ORCID ID is the preferred Discloser ID for your organization. Individuals who do not have an ORCID ID or who do not wish to use it may enter another Discloser ID in accordance with the instructions you provide.

Discloser Identifier Disclosure Purpose
Modify the Policy and Instructions

Sending Disclosure To: Convey Demo Journal

Policy Details Enter Interests Additional Questions Review and Send

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Discloser Identifier Disclosure Purpose

Policy & Instructions

The purpose of this disclosure is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. Each author should submit a separate form and is responsible for the accuracy and completeness of the submitted information.

You should disclose the following types of information and visit this site: www.conveyjournal.org/DisclosurePolicy for more information.

- Payment or services received at any time by you or your institution from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)
- Financial relationships (regardless of amount of compensation) that were present during the 36 months prior to publication with entities in the bio-medical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer.
- Intellectual Property: any patents, whether planned, pending or issued, broadly relevant to the work.
Add or Edit Additional Questions

1. What is the manuscript title?  
   [Text field]

2. What is the manuscript Identifying Number (if you know it)?  
   [Text field]

3. Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?  
   [Yes/No]  
   [Text field]

1. Please describe those relationships.  
   [Text field]
### Subscriber Controls – Requested Fields

#### Available Interest Types

<table>
<thead>
<tr>
<th>Professional Service</th>
<th>Financial Stake</th>
<th>Financial Support</th>
<th>Intellectual Property</th>
</tr>
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<tbody>
<tr>
<td>Employment</td>
<td>Stock</td>
<td>Grant / Contract</td>
<td>Patent</td>
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<tr>
<td>Fiduciary Officer</td>
<td>Stock Option</td>
<td>Travel</td>
<td>Trademark</td>
</tr>
<tr>
<td>Independent Contractor</td>
<td>Other Securities</td>
<td>Gift</td>
<td>Copyright</td>
</tr>
<tr>
<td></td>
<td>Other Business Ownership</td>
<td></td>
<td>Other Intellectual Property</td>
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**Sending Disclosure To:** Convey Demo Journal
### Subscriber Controls – Requested Fields

<table>
<thead>
<tr>
<th><strong>Gift</strong></th>
<th><strong>Travel</strong></th>
<th><strong>Grant / Contract</strong></th>
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</thead>
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<td>Entity</td>
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<td>Estimated Gift Value</td>
<td>Travel End Date</td>
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<td>Estimated Gift Value</td>
<td>Estimated Value</td>
<td>Grant / Contract Purpose</td>
</tr>
<tr>
<td>Valuation Date</td>
<td>Valuation Date</td>
<td>Other Purpose</td>
</tr>
<tr>
<td>Interest held by</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Attribution Rules

Your organization requires that individuals disclose financial interests attributed to the following individuals: **SELF**
This attribution rule applies to all disclosed interest types.

### Value/Threshold Rules

Your organization requires that individuals disclose certain financial interests with a value equal to or greater than $0.
This Value Threshold rule applies to all interest types.

Additionally, your organization has requested that if individuals have entered a value for a financial interest in Convey, this value will not be displayed in the disclosure and will not be transmitted to your organization.

Your organization has requested that individuals disclose certain financial interests regardless of the value of the interest and has not requested that the individuals disclose the value of those interests. If individuals have entered a value for a financial interest in Convey, this value will not be displayed in the disclosure and will not be transmitted to your organization.

### Time (lookback)

Your organization requires that individuals disclose certain financial interests from the following time period:

**The 36 month period from the date of disclosure.**

This rule applies to all interest types.
Next Steps

Convey is in late stage system testing

AAMC is currently engaging with the first organizations planning on using Convey as their disclosure source this year

Organizations working with AAMC now include:

• Academic institutions
• Health systems
• Journals and Peer review managers
• Government agencies
• CME Providers

How can you be involved? Contact us to:

• Have a WebEx demo for your institution
• Volunteer as a tester to provide input on the system
• Join the institutions engaged in technical conversations with AAMC about how information from Convey can integrate with their commercial or home-grown COI management systems
Convey
Global Disclosure System

Email for more information or a demonstration: convey@aamc.org
or visit www.aamc.org/convey