RUTGERS

THE STATE UNIVERSITY OF NEW JERSEY

eCOI Department Reviewer

User Guide

Using the Department Reviewer Workspace

In This Section:

✓ Learn about the workspace

Learning about the workspace

Use the following picture to identify tools in the Disclosure Certification Workspace.

Workspace Tabs

Item	Description
1	My Inbox - This tab displays a set of items that require your attention. More specifically, it displays all projects that are in a state where you are responsible. If you see an item in your Inbox, you should open it and complete all required tasks. Click on the name of an item to open it.
2	Department Review - Response Pending – This tab list all of the Disclosure certifications which are pending response from the Discloser.
3	No review Required - This tab displays a listing of financial disclosure certifications in the "No Review Required" state. To re-open a disclosure certification record for review: select the Execute Activity option, and click on the "Forward for further review" activity. This will move the submission into your inbox for further review.
4	Review Complete - This tab displays a listing of financial disclosure certifications in the "Review Complete" state. To re-open a disclosure certification record for review: select the Execute Activity option, and click on the "Forward for further review" activity. This will move the submission into your inbox for further review.
5	Under Management / Mitigation Plan – This tab displays a listing of items which indicate all disclosure certifications that are being monitored for continued compliance. A management plan defines conditions that a researcher must comply with in order to uphold the integrity of his/her work within the institution.

Within these tabs you can search for the items that you want to review or view. You can search by using the **Filter By** option and entering your text in the text search box:

My Inbox:

Your inbox will display all items requiring action.

To begin: Click on the **name** link below.
To filter or search: Type in the name of the individual. Use the % symbol as a wildcard. Example: %Smith

My Inbox		
Filter by ⓘ ID ⌄	sample text ×	Go	Clear	Advanced
	ID	**Name**
📁	DC00000021	Subrecipient Certification for John Doe: 123465789
📁	DC00000038	Update to Sue Doe's disclosures 9.3.2014
📁	DC00000035	Research Initiated Certification for John Doe: Pro20140000189

To filter or search: Type in the name of the individual. Use the % symbol as a wildcard. Example: %Smith

You can Filter by the follow options:

ID
Name
Date Created
Date Modified
State
Discloser First Name
Discloser Last Name
COI Admin

Reviewing the Disclosure

When someone submits a disclosure for review and certification, you should receive an e-mail. To review the disclosure, log into the COI system and click on its name in your Inbox to open it.

Tip

You can quickly view individual forms from your personal page using the drop-down arrows in your Inbox. In the SmartForm column, click the arrow and select the form you want to view. As you become familiar with the system, these shortcuts will save you time and help you work more efficiently.

Review the disclosure

From the project workspace, click on the View Disclosures button to open the SmartForm. Use the Continue and Back buttons to move through the forms.

On the Disclosure Details form, click the View button next to each disclosure in the Disclosures Under Review section. Be sure to review all disclosures included in the certification project.

Request changes to the disclosure

If you can identify anything in the submission that requires follow up with the discloser, do the following:

From the certification workspace, click the Request Changes activity to send the submission back to the discloser for modifications.

While you wait for the discloser's response:

If you have communications with the discloser (e.g. phone calls, email correspondences etc.) that should be noted in the system, you can open the disclosure and complete the Log Comments activity. Remember, these notes are tracked in the History Log tab and are visible to the submitter.

You will receive a notification once the discloser has submitted their changes.

Disclosure Certification Workspace

Department Review

Type: Research Initiated Update | ID# DC00000035

Discloser: **John Doe** | Phone: 123-456-7890

My Current Actions

[View Disclosures]

[Printer Version]

[View Differences]

➡ Forward to COI Committee

⬅ Request Changes by Department

📝 Create or Upload Management Plan

❌ Remove Management Plan

✍ Log Comment
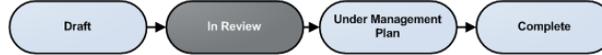
✍ Log Private Comment

☑ No further review required

✉ Notify Department Chair

| Summary | History | Disclosures | Private Review Information | Disclosure Admin Info | Reviewer Notes | Discloser Certification History |

Draft → In Review → Under Management Plan → Complete

Research Certification Instructions

You must recertify that all of your financial disclosures are up-to-date in the system because of your involvement in the following research project(s):

Research Project ID: Pro20140000189
Research Project Name: SHORT TITLE GOES HERE
Project Role: Principal Investigator
Project Type: IRB
PI Name: John Doe
Project Description: SUMMARY OF THE RESEARCH GOES HERE
Project Full Title: IRB PROJECT TITLE GOES HERE
Sponsors on Research:
There are no items to display

Remember that you must disclose any financial interests that could be reasonably construed as related to the design, conduct, recruitment, or enrollment of subjects in the above research.

Notes to Discloser

Your disclosures are currently under review. Please check your email account, listed in the system as cortezpe@rutgers.edu , for any communication regarding the status of review. If further action is required, you will be notified at the above listed email address, and will have to log back into this system.

Summary

Last COI Training Date: 5/1/2014
Management Plan:
Snapshot:
Date Submitted: 9/2/2014
Review Due Date: 11/1/2014

Routing Information

Discloser has a Significant Financial Interest: yes
Discloser involved in Research: yes
Discloser has Institutional Responsibilities: yes
Needs Review: yes

My Disclosures

Department Review

The yellow box will display the current state of the disclosure

My Current Actions

View Disclosures

Printer Version

View Differences

Under My Current Actions you will find various viewing options for the disclosure

Forward to COI Committee

Request Changes by Department

Create or Upload Management Plan

Log Private Comment

No further review required

Notify Department Chair

Under My Current Actions you will also find a selection of actions which you can take on the disclosure

The current stage of the review process can be tracked using the flow chart

Draft → In Review → Under Management Plan → Complete
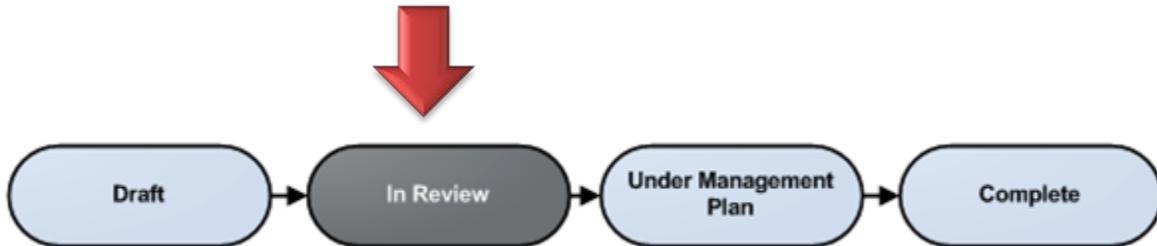
The type of disclosure, ID and discloser name and phone number can be found on the top box of the screen
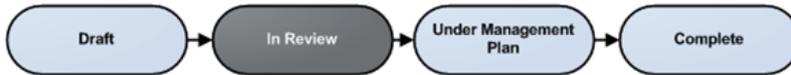
Type: Disclosure Update | ID# DC00000017   Discloser: Rebecca Simms | Phone:

You can view information about the disclosure under the each of the tabs

| Summary | History | Disclosures | Private Review Information | Disclosure Admin Info | Reviewer Notes | Discloser Certification History |

The **Summary Tab** will provide you with a summary of the disclosure certification:

Draft → In Review → Under Management Plan → Complete

Notes to Discloser
Your disclosures are currently under review. Please check your email account, listed in the system as demo@huronconsultinggroup.com, for any communication regarding the status of review. If further action is required, you will be notified at the above listed email address, and will have to log back into this system.

Summary
Last COI Training Date: 1/8/2013
Management Plan:
Snapshot:
Date Submitted: 4/10/2013
Review Due Date:

Routing Information
Discloser has a Significant Financial Interest: yes
Discloser involved in Research: no
Discloser has Institutional Responsibilities: yes
Needs Review: yes

My Disclosures

Organization	Publicly Traded?	Relationships	Disclosure Types	Significant?	Total Value	Last Updated
Baxter International	yes	none specified	none specified			7/11/2013 10:54 AM
Genentech	yes	Self	▪ Consulting,	yes	$6,500.00	4/10/2013

The Notes to Discloser, Summary, Routing Information and disclosures can be found in this section.

The **History Tab** will allow you to view a list of all of the activities performed on the disclosure:

	Summary	History	Disclosures	Private Review Information

Filter by	Activity	▼		Go	Clear	Advanced

	Activity	Author	▼ Activity Date
🔍	Forwarded for Further Review	Ing (dept), Richard	9/19/2013 1:32 PM EDT
📝 Requires further review			
✉	Correspondence Sent	Armstrong (coia), Jane	4/10/2013 1:28 PM EDT
📝 View Correspondence Letter (html) View Snapshot			
➡	Department Review Completed	Ing (dept), Richard	4/10/2013 1:17 PM EDT
📝 approved			
➡	Submit Certification from Form	Simms, Rebecca	4/10/2013 1:09 PM EDT
ℹ	Disclosure Removed: *Emily's Co.*	Simms, Rebecca	4/10/2013 1:09 PM EDT
📝 SmartForms			
ℹ	Disclosure Created: *Emily's Co.*	Simms, Rebecca	4/10/2013 1:03 PM EDT
📝 SmartForms			
💲 New Disclosure	Disclosure Created	Simms, Rebecca	4/10/2013 1:03 PM EDT
ℹ	Disclosure Created: *Genentech*	Simms, Rebecca	4/10/2013 1:01 PM EDT
📝 SmartForms			
💲 New Disclosure	Disclosure Created	Simms, Rebecca	4/10/2013 1:01 PM EDT

The **Disclosures Tab** will list of the disclosures included:

Summary	History	Disclosures	Private Review Information

Organization	Compensation Type	Dollar Amount
Baxter International	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: **Total Value:**	*none specified*
Genentech	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: **Total Value:**	$4,000.00 $2,500.00 **$6,500.00**
Huron Consulting Group	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: **Total Value:**	 $100,000.00 $100,000.00 $100,000.00 $10,000.00 $45.00 $4,000.00 $100.00 **$314,145.00**
Emily's Co.	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: **Total Value:**	 $0.00

The **Private Review Information Tab** will allow you to view the COI Private information and the Administrative Review Information:

| Summary | History | Disclosures | Private Review Information |

COI Private Information

Committee: Disclosure Review Committee   **Meeting:**
Draft Management Plan:

Administrative Review Information

1. Do the outside interests and activities fall within Institutional Policy?
   ● Yes ○ No

2. Is there a possible bias or correlation between outside interests and/or financial disclosures and institutional responsibilities?
   ○ Yes ● No

3. **Administrative Determination:**
   ●
   ○ No Issues Found
   ○ Management Plan Required
   ○ Mitigation Plan Required
   ○ Changes/Information Required

4. **Recommended Management Plan Topics:**
   ☐ Public disclosure of financial conflicts of interest (e.g., when presenting or publishing the research; to staff members working on the project; to Institution's IRB)
   ☐ For research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants
   ☐ Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the Financial Conflict of Interest
   ☐ Modification of research plan
   ☐ Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research
   ☐ Reduction or elimination of the financial interest (e.g., sale of an equity interest, or placed in blind trust)
   ☐ Severance of relationship that create financial conflicts
   ☐ Restrict or prohibit any participation in any financial action related to Financial Conflict of Interest
   ☐ Place copies of research data with neutral third-party
   ☐ Other

5. **Plan Monitor:**

6. **Review Frequency:**

7. **Management / Mitigation Plan Notes:**

8. **Related Attachments:**

name	description
There are no items to display	

9. **Related Web Links:**

Link	Description
There are no items to display	

The **Disclosure Admin Info** tab will list three sets of disclosures.

- Disclosures added or modified as part of this disclosure certification. These disclosures are highest priority to review.

- Disclosures that are new/under modification by a separate disclosure certification process.

- A list of all disclosures that are not currently being modified.

The **Reviewer Notes** tab will list all of the reviewer notes that were created.

The **Discloser Certification History** tab displays a listing of all previous electronic disclosure certifications.

| Type: Subrecipient Certification | ID# DC00000021 | | Discloser: **John Doe** | Phone: 123-456-7890 |

| Summary | History | Disclosures | Private Review Information | Disclosure Admin Info | Reviewer Notes | **Discloser Certification History** |

Discloser Certification History

Displays a listing of all previous electronic disclosure certifications

Discloser Certification History

Filter by ⓘ [ID ▼] [   ] [Go] [Clear] Advanced   [Export]

ID	Name	Discloser	Discloser	Project State	Date Submitted	Modified Date	Plan	
DC00000021	Subrecipient Certification for John Doe: 123465789	Doe	John	Under Management/Mitigation Plan		9/8/2014 3:12 PM	monitoringPlan.docx (0.01)	🔍
DC00000035	Research Initiated Certification for John Doe: Pro20140000189	Doe	John	Department Review	9/2/2014	9/3/2014 8:52 AM		🔍
DC00000033	Subrecipient Certification for John Doe: 123456	Doe	John	Department Review	7/18/2014	7/18/2014 3:06 PM		🔍
DC00000030	Research Initiated Certification for John Doe: Pro20140000177	Doe	John	Draft		7/17/2014 3:17 PM		🔍
DC00000027	Research Initiated Certification for John Doe: Pro20140000176	Doe	John	Withdrawn		7/17/2014 2:27 PM		🔍
DC00000025	Subrecipient Certification for John Doe: 1234	Doe	John	Draft		7/15/2014 11:42 AM		🔍
DC00000012	Update to John Doe's disclosures 5.1.2014	Doe	John	Scheduled for Meeting	5/1/2014	6/5/2014 10:26 AM		🔍

◁◁ ◁ [1] to 7 of 7 ▷ ▷▷   [10] / page

Please Note: The options and information available may differ depending of type of disclosure certification.

For example here is the workspace for an Annual Certification, note the actions available: