Administrator
Reference Guide

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COI

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Click COI – Administrator Quick Reference

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| Navigation and Basic Tasks |
| When you first log in, you will be on the My Inbox page.This topic lists where to find certifications and the basic tasks you will perform. |
|  | Where Do I Find? |
| From **My Inbox**, you can find:1. **Certifications** that require you to take action.
2. **Actions** you can perform, such as creating an annual certification for someone to complete.
3. **Shortcuts** to other items, such as reports or documentation.
 |
| What Do I Do? |
| 1. Review the state of the certifications. The state tells you where the certification is in the review process and provides a clue as to what to do next. For example, a status of **Administrative Review** means that you need to review the certification.
 |
| Create a Certification for a Discloser to Complete |
| 1. From **My Inbox**, click the appropriate **Create…** button to create either a team member or research-initiated certification.
 |
| Open a Certification |
| 1. From **My Inbox**, click the certification’s **Name**.
2. The certification Workspace appears.
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|  | View Certification History |
| 1. From the certification Workspace, click the **History** tab.
2. The **History** lists the activity taken and any comments, attachments, or correspondence added.
 |
| Run a Report |
| 1. From **My Inbox**, click **Reports**.
2. Under **COI Reports**, click the **Reports** link.
3. Click the report name.

The data shows in a table. To find specific data, see **Filter Data**.**Tip:** To export data for use in another application, such as Excel, click **Export** in the top right corner of the table. |
| Filter Data |
| Many pages contain tables that you can filter to show specific data.1. Select the column to **Filter by**.
2. Type the beginning characters for the items you want to find. You can also type a % symbol as a wildcard before the characters. For example:
* 71 shows all items beginning with 71
* %71 shows all items containing 71
1. For a list of operators that you can type in the text box, click the **Help** icon.
2. Click the **Go** button to apply the filter.
3. To combine multiple filter criteria, click **Advanced** and then click **Add Another Row**.
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| Workflow States and Transitions |
| The diagrams below show three basic workflows a certification may go through, each resulting in a different review determination—**No Issues**, **Management or Mitigation Plan Required**, or **Changes Required**. The table on the following page lists all activities roles can perform in each state and the activities that cause state changes (**🡺**). See [User Roles](#_User_Roles) for a description of each role. |
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| Actions and State Transitions |
| In this state… | These roles… | Can perform these actions… | Changing the submission state to… |
| **(No State)** | COI Discloser | Submit Disclosures (for review) **🡺** | The system evaluations the certification based on the review criteria to determine if a review is required, and if so, which one. The certification moves to the appropriate state:* No Review Required
* Department Review (optional)
* Administrative Review
 |
| Edit the Certification |  |
| Log Comment (available in all states) |  |
| **Department Review** | COI Department Reviewers | Department Review Complete **🡺** | Administrative Review |
| Request Changes by Department **🡺** | Department Review: Response Pending |
| Create or Upload Management Plan |  |
| Log Private Comment (available in all states) |  |
| **Department Review: Response Pending** | COI Discloser | Submit Changes | Department Review |
| **Administrative Review****Administrative Review (cont.)** | COI Administrator | Administrative Review CompleteWhen the COI Administrator performs this action, they select one of the following options, which moves the certification to the appropriate state:* Send to Committee **🡺**
* Administratively Disposition **🡺**

**Note:** The Administrator must record an administrative review before selecting the Administratively Disposition option. | * Scheduled for Meeting
* Review Complete: Preparing Correspondence
 |
| Withdraw **🡺** | Withdrawn |
| Assign Committee |  |
| Record Administrative Review |  |
| Create or Upload Management Plan |  |
| Log Comment (available in all states) |  |
| Log Private Comment (available in all states) |  |
| **Scheduled for Meeting** | COI Administrator | Record Committee Decision **🡺** | Review Complete: Preparing Correspondence |
| Withdraw **🡺** | Withdrawn |
| Remove From Agenda **🡺** | Administrative Review |
| Create or Upload Management Plan |  |
| **Review Complete: Preparing Correspondence** | COI Administrator | Send Correspondence**Note:** The COI Administrator must prepare correspondence before sending it. If the Committee or Administrative Review decision was:* No Issues Found **🡺**
* Management Plan Required or Mitigation Plan Required **🡺**
* Changes/Information Required **🡺**
 | * Review Complete
* Discloser Review of Plan
* Administrative Review: Response Pending OR Meeting Complete: Response Pending
 |
| Prepare Correspondence |  |
| Record Committee Decision |  |
| Create or Upload Management Plan |  |
| **Administrative Review: Response Pending** **Meeting Complete: Response Pending** | COI Discloser | Submit Changes **🡺** | Administrative Review |
| **Discloser Review of Plan** | COI Discloser | Submit Response Plan **🡺*** Accept
* Request Further Clarification
 | * Under Management/Mitigation Plan
* Administrative Review
 |
| **Under Management/Mitigation Plan** | COI Administrator | Plan Satisfied **🡺** | Management/Mitigation Plan Satisfied |
| Reassign Monitor |  |
| Log Sponsor Notification |  |
| COI Monitor | Complete Monitor ReportIf report indicates:* Compliance **🡺**
* Non-Compliance **🡺**
 | * Under Management/Mitigation Plan
* Administrative Review
 |
| Log Sponsor Notification |  |
| Site Manager | Monitor Reminder (Monitoring Interval) |  |
| COI System | Monitor Report Overdue (runs nightly) **🡺** | Monitor Report Overdue |
| **Monitor Report Overdue** | COI Monitor | Complete Monitor ReportIf report indicates:* Compliance **🡺**
* Non-Compliance **🡺**
 | * Under Management/Mitigation Plan
* Administrative Review
 |
| Reassign Monitor |  |

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| User Roles |
| User roles determine what appears in My Inbox as well as user access to certifications (including disclosures), actions, and activities in the system. |
| **Position** | **Typical Activities** |
| **COI Discloser** | Individuals that must disclose their financial interest (and conflicts of commitment) in the COI system. This may include researchers, staff, faculty members, etc. |
| **COI Department Reviewer** | Individuals that review the certification on behalf of a department. Department reviews are optional. |
| **COI Administrator** | Individuals that perform an Administrative Review of a certification on behalf of an institution or organization. This role may make a review determination about the certification or determine that it should be reviewed by a COI Committee. This role can also create or upload management/mitigation plans to the certification, if required. |
| **COI Committee Member** | Individuals on the COI Committee that review certifications when the COI Administrator has determined that a Committee Review is required. |
| **COI Monitor** | Individuals that monitor whether a management or mitigation plan assigned to a COI Discloser is being followed or completed. The monitor logs regular reports indicating whether or not the COI Discloser is in compliance with the plan. |
| **Site Manager** | Individuals that have system-wide access. This includes complete access to security and system settings, and all data, workspaces, activities, and actions in the system. |
| **COI System** | System background tasks that run automatically (not a user role). |

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| Review the Certification |
| This section explains where to look for information when performing a Department, Administrative, or Committee Review. |
|  | Review Certification Details |
| 1. From **My Inbox**, click the certification **Name**.
2. From the certification Workspace, review the following information:
	1. **Summary** tab provides a summary of the certification and the amounts disclosed by the organization.
	2. **Disclosures** tab shows the amounts disclosed for each organization by compensation type.
	3. **View Disclosures** button shows all certification pages, including the disclosure pages.
 |
| View Changes Between Disclosure Versions |
| 1. Administrative and Committee reviewers can see what changed between current disclosures and previous versions.
	1. Click the **Disclosure Admin Info** tab.
	2. Click the **View Differences** button for a disclosure and then select the version to compare against.
 |
| **Next Step:** After reviewing the certification:* **Department Reviewers:** See [Complete the Review](#_Complete_the_Review)
* **Administrative Reviewers:** Go to [Record an Administrative Review](#_Record_an_Administrative)
 |

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| Record and Complete Your Review |
| After you have reviewed the certification, complete your review in the system.Administrative reviewers will record an Administrative Review prior to completing their review. |
|  | Record an Administrative Review |
| If you are a Department Reviewer, go to [Complete the Review](#_Complete_the_Review). 1. In the certification Workspace, click **Record Administrative Review**.
2. Complete the form. Select the determination and include any management or mitigation plan details, if applicable.
3. Click **OK** when done.
 |
| Complete the Review |
| 1. In the certification Workspace, click **… Review Complete**.
2. Complete the form and click **OK** at the bottom when done.
* **Department Reviewers:** (optional) Add any notes or attachments to be included in the certification History.
* **Administrative Reviewers:** Determine if the certification should be reviewed by a committee. If so, select the Meeting to add the certification to the agenda.
 |
| **Next Step (Administrative Reviewers):*** For Committee Reviews, see [Record Committee Decisions](#_Record_Committee_Decisions).
* For administrative dispositions, see [Prepare and Send Correspondence](#_Prepare_and_Send).
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| Record Committee Decisions |
| After a Committee Meeting, record the committee’s decision for each certification reviewed in the meeting. |
|  | Find the Certification |
| 1. From **My Inbox**, click **Meetings**.
2. On the **Past Meetings** tab, click the **Name** of the **Meeting** to open it and see the list of agenda items.
 |
| Record the Committee’s Decision |
| 1. In the meeting Workspace, click an agenda item to open it in a new browser tab.
2. Click **Record Committee Decision**.
3. Select the motion and complete the remainder of the form. Click **OK** when done.
* **For Management or Mitigation Plan Required:** Select a plan monitor and review frequency. Go to [Create or Upload a Management or Mitigation Plan](#_Create_or_Upload).
* **For Changes/Information Required:** Type the change or information required in the Comments box.
 |
| **Next Step:** [Prepare and Send Correspondence](#_Prepare_and_Send) |

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| Create or Upload a Management or Mitigation Plan |
| If a Management or Mitigation Plan is required, add a plan to the certification. |
|  | Create or Upload a Plan |
| 1. In the certification Workspace, click **Create or Upload Management Plan**.
2. To upload a plan, click **Choose File**, select the file, and then click **Open**.
3. To create a plan from a template, select the plan from the list and then click **Generate**.
4. Click **OK** when done.
 |
| **Next Step:** [Prepare and Send Correspondence](#_Prepare_and_Send) |

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| Prepare and Send Correspondence |
| After a review determination is made, prepare and send the correspondence letter to the COI Discloser. |
|  | Prepare Correspondence |
| 1. In the certification Workspace, click **Prepare Correspondence**.
2. Select the letter template from the list.
3. Click **OK** to create the letter.
 |
| Send Correspondence |
| 1. In the certification Workspace, click **Send Correspondence**.
2. Click **OK** to send the letter.
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| Monitor Management Plans |
| To ensure management/mitigation plans are completed, monitors will complete a monitor report periodically.If reports are not completed in a timely manner, you can reassign the certification to another monitor.Once the management/mitigation plan is satisfied, you can indicate this to complete the review process. |
|  | Reassign a Plan Monitor |
| 1. In the certification Workspace, click **Reassign Monitor**.
2. Select a different monitor for the management/mitigation plan and click **OK**.
 |
| View Monitor Report Details |
| 1. From **My Inbox**, click the **COI** tab.
2. Click the **Under Management Plan** tab.
3. Click the certification **Name** to open it.
4. Click the **History** tab and then the **Monitor Report Completed** activity to see details.
 |
| Indicate a Plan is Satisfied  |
| 1. In the certification Workspace, click **Plan Satisfied**.
2. Add any comments, if appropriate, and then click **OK**.
 |