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 Complete  When 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 Report  If 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 Report  If 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**. |