

How to Process a COI / COC Unit Review

Last updated 02-17-21

<https://coi.connect.uvm.edu/COI>

Overview

All unit reviews will be reviewed as follows:

- Academic Units – Dean, Vice Provost or designee
- Administrative Units – Vice President or designee

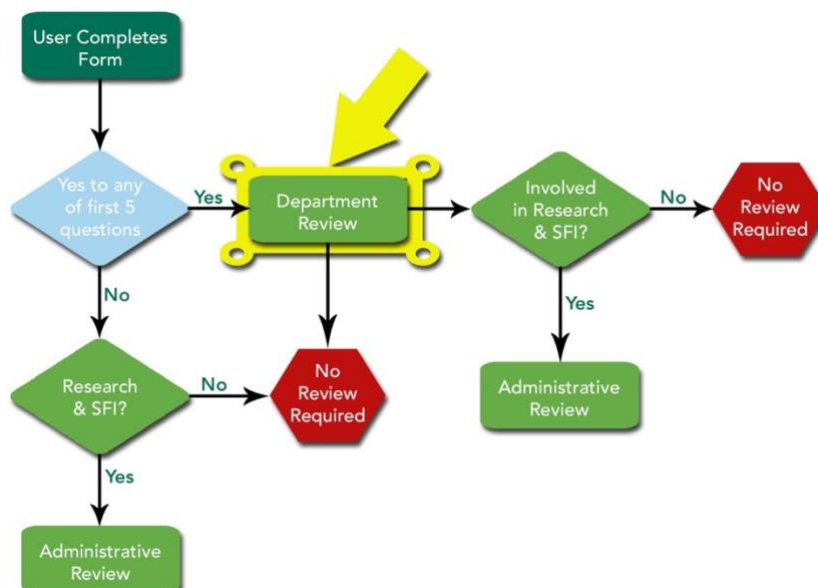
If any of the first 5 questions on the first smartform screen are noted as “Yes”, or if there is a noted disclosure, the submission will be sent into a department review and an email notification will be sent to the assigned reviewer as listed above.

If all of the first 5 questions on the first smartform screen are noted as “No” and there are no noted disclosures, the submission will be retained in the UVMClick system; however, it will not require a unit review and reviewers will not be notified of the disclosure. No action is needed from the unit reviewer.

Once the unit review is completed, if there is also a financial conflict of interest disclosure, it then will move on to the financial COI administrator (Research Compliance Officer, Office of Research Integrity) for an administrative review. Otherwise it will be logged as “No Review Required”. NOTE: “No Review Required” references the research financial step.

Here is a high level visual of the UVMClick-COI / COC workflow steps:

WORKFLOW:



When a unit reviewer receives an email notification, they will need to login to the UVMClick system (see “How to Login” at the end of this document for guidance).

Once in the UVMClick system, the discloser certification will always be in the “Unit Review” status with the “In Review” bubble highlighted.



Notification to Review

When being asked to review a COI/ COC certification, reviewers will receive an email notification. Inside the email will be a live link to the specific certification submission in UVMClick-COI. Click the live Link and the COI / COC submission will display.

NOTE: The system may require a login. See “How to Login” at the end of this document for guidance.

VERY IMPORTANT – As shown in the workflow diagram on page 1, if the discloser is involved in research with a significant financial interest (SFI) it needs to also be reviewed by SPA. Therefore, it is very important for a unit reviewer to complete their review as quickly as possible so it can be moved forward to SPA. Delays in review can delay the processing of an award.

Reviewing a COI / COC Submission

To VIEW a COI / COC submission in UVMClick:

1. Click the live link provided in the email received from the system
2. To view the COI / COC submission details, options include:
 - a. Click “Printer Version” to view all answers to all smartform questions.

Next Steps

Printer Version

b. Click the Summary tab (default) to view a summary level of all reported disclosures:

Summary History Disclosures Private Review Information Disclosure Admin Info Documents

Your disclosures are currently under review. Please check your email account, listed in the system as Catherine.Ruley@uvm.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.

Last COI training date: 11/15/2018
 Management plan:
 Snapshot:
 Date submitted: 1/31/2019
 Review due date: 4/1/2019

Discloser has a significant financial interest: Yes
 Discloser involved in research: Yes
 Discloser has institutional responsibilities: No
 Needs review: Yes

My Disclosures

Organization	Publicly Traded?	Relationships	Disclosure Types	Significant?	Total Value	Last Updated
3M Company	yes	Self	Equity (shares / options) in external company	yes	\$5,000.00	1/24/2019 2:36 PM
Sony Corporation of America	yes	Self	<ul style="list-style-type: none"> Editorial compensation Sponsored Travel Consulting, advisory, or speaking compensation Equity (shares / options) in external company 	yes	\$315,000.00	1/22/2019 1:25 PM

c. Click the Disclosures tab to quickly view all reported disclosures and, compensation types and dollar amounts.

Summary History **Disclosures** Private Review Information Disclosure Admin Info Documents

Organization	Compensation Type	Dollar Amount
3M Company	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: Total Value:	\$5,000.00 \$5,000.00

d. Click on the History tab to view any comments and history of the submission activity

Summary **History** Disclosures Private Review Information Disclosure Admin Info Documents

Filter by Activity + Add Filter x Clear All

Activity	Author	Activity Date
Private Comment Logged	Tracy, Lynn R	2/1/2019 12:57 PM
Emailed Board Members on 2/1/2019 asking for their feedback on a management plan.		
Disclosures Submitted	Weiss, Catherine	1/31/2019 12:46 PM

Completing a COI / COC Submission

Process Summary: After reviewing the submission details, to move it forward in the workflow the reviewer must click the “Unit Review Complete” activity.

These are the activities available to a reviewer:

Department Review

Next Steps

- View Disclosures
- Printer Version
- Department Review Complete**
- Request Changes by Department
- Create or Upload Management Plan
- Log Comment
- Log Private Comment

NOTE: This checkmark symbol in front of Department Review Complete is a system default and DOES NOT indicate that this step has been completed. YOU MUST complete this step in order to complete the review.

Unit Review Complete

This activity will acknowledge the submission and move it forward in the workflow.

Department Review Complete

1. Additional comments:

1. Additional comments:

If there are any outstanding issues or decisions/comments to clarify the acknowledgement of this review, enter those here. All comments entered in this field are viewable by anyone with access to this record, including the discloser.

2. Attachments:

Name	Description
There are no items to display	

2. Attachments:

Optional. Attach any document related to this review. This is where copies of communication emails and final monitoring/management plans need to be uploaded. Some other examples may include supporting documentation, related emails, or agreements with the discloser. This is accessible to anyone with access to the submission including the discloser.

3. Click OK.

Other Activities

Request Changes by Unit

Do not use this activity.

While the functionality of this activity will send the submission back to the discloser for further actions, it is recommended that any clarifications be handled outside of UVMClick. Therefore, this activity need not be used.

Create or Upload Management Plan

Do not use this activity. It is specific to a future path of the workflow.

Log Comment

This section functions similar to the Unit Review Complete activity however, it will NOT move it forward in the workflow. This activity will simply log comments and attachments. All comments entered are viewable to anyone with access to the submission.

Log Private Comment

This section functions similar to the Log Comment activity. However, this will only log private correspondence to the COI office staff and institutional reviewers. Use this private comment field to communicate any information that you would like the Research Compliance Officer to be aware of or that may be relevant to the FCOI review. These comments will not be viewable to the original discloser.

Once the reviewer finishes processing the “Unit Review Complete” activity, a couple things will happen:

- 1) The status will change to either Administrative Review (if there is significant financial disclosure) or Review Complete
- 2) The certification will automatically be removed from the reviewer’s inbox

DONE! The reviewer can now log out of UVMClick.

SPECIAL PROCESS FOR THE REVIEW AND ACKNOWLEDGMENT OF DEANS/VICE PRESIDENTS/VICE PROVOSTS (DESIGNEES) DISCLOSURE FORMS:

Deans, Vice Presidents, Vice Provosts, and Designees themselves may not review and approve their own COI COC Certifications.

Approvals must be provided by the following:

- For Academic Units – to the Office of the Provost
- For Administrative Units – to the Vice President for Finance and Administration

Follow these steps:

1. Dean/Vice President/Vice Provost/Designee completes their disclosure form.
2. Click on “Printer Version” and print the document to PDF.
3. Email the PDF to the individual responsible for the review of your form. If you are unsure who this is, contact coi.coc@uvm.edu to find out who your reviewer is.
4. Email the PDF using UVM’s [File Transfer Service](#) to your reviewer. You can also email directly to your reviewer if there is no sensitive or protected information in your form.
5. The reviewer will provide their acknowledgment via email back to you.
6. At this point, you are not acknowledging your own disclosure form but you are responsible for documenting the review in UVMClick. You do this by acknowledging your form and uploading a copy of the email from your reviewer.

How to Login

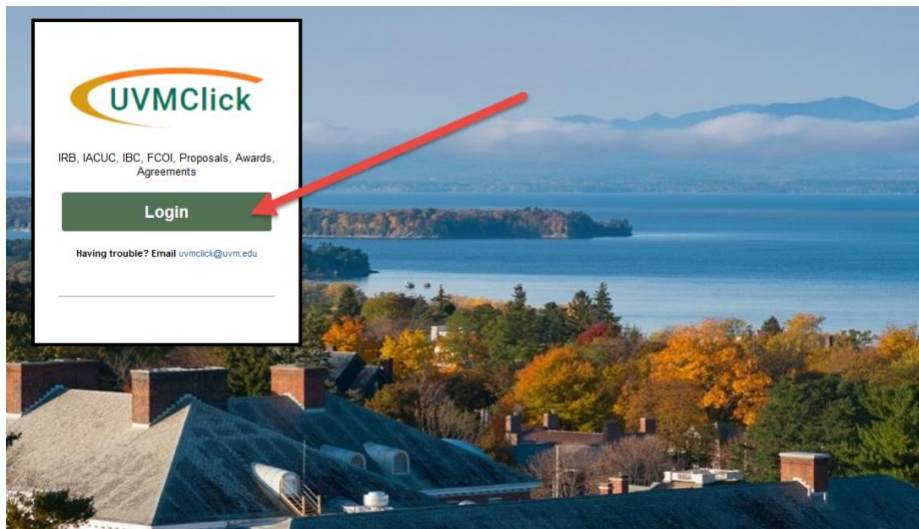
The UVMClick-COI system is secure, which means only authorized individuals have access to it.

When logging into the system, reviewers have authority to see all certifications in UVMClick-COI. By accessing UVMClick-COI via a live link from within in an email notification, once logged in, the system takes the reviewer straight to the certification requiring review.

Click the live link provided in the email notification. It will transition to <https://coi.connect.uvm.edu/coi>

NOTE: A UVM Net ID and password is required to login

If your login screen looks like this:



Then:

- Click the green “Login” button
- Enter your UVM Net ID and password
If you do not know your UVMNetID or your password, contact us for assistance (see page 1 header)

After you click on the big green “Login” button, you will be routed to the UVM Login page. Enter your UVM login and password here.

