

## HOW TO PROCESS A COI / COC UNIT REVIEW

Last updated 11/04/2022

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

### OVERVIEW

All unit reviews will be reviewed as follows:

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

A full list can be found [here](#).

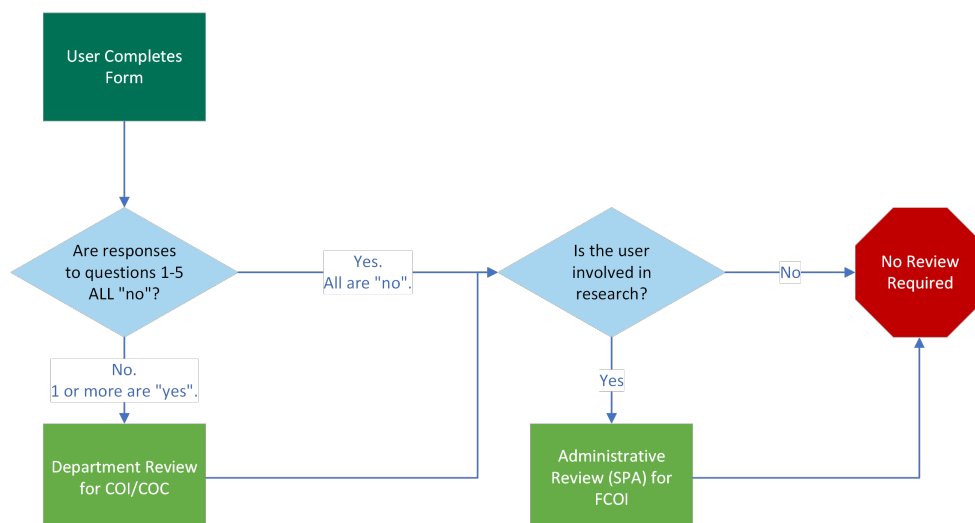
If any of the first 5 questions on the disclosure form are noted as “Yes”, or if there is a noted disclosure, the submission will be sent into a department review status and an email notification will be sent to the assigned reviewer as listed above.

If all of the first 5 questions on the disclosure form 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 department reviewers will not be notified of the submission. No action is needed from the unit reviewer for those disclosure forms that have a “no” response for the first 5 questions.

Once the unit review is completed, if there is also a financial conflict of interest (FCOI) 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 has a disclosure form in their queue that requires review, they will receive an email notification from the UVMClick system. That is the trigger for them to login (see “How to Login” at the end of this document for guidance) and begin their review.

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



## NOTIFICATION TO REVIEW

When a disclosure form is submitted that requires review, unit reviewers will receive an email notification from the UVMClick system. Inside the email will be a link to the disclosure form that requires their review. Clicking the link will bring the reviewer to that specific disclosure form.

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, the disclosure form also requires a review by SPA. Therefore, it is CRITICAL 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 link provided in the email received from the UVMClick system.
2. View the COI/COC submission details, options include:
  - a. Click “Printer Version” to view the full disclosure form.

### Next Steps

Printer Version

b. Click the "Summary" tab (default) to view a summary 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.						
<b>Last COI training date:</b> 11/15/2018 <b>Management plan:</b> Snapshot: <b>Date submitted:</b> 1/31/2019 <b>Review due date:</b> 4/1/2019						
<b>Discloser has a significant financial interest:</b> Yes <b>Discloser involved in research:</b> Yes <b>Discloser has institutional responsibilities:</b> No <b>Needs review:</b> Yes						
<b>My Disclosures</b>						
<b>Export</b>						
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"> <li>Editorial compensation</li> <li>Sponsored Travel</li> <li>Consulting, advisory, or speaking compensation</li> <li>Equity (shares / options) in external company</li> </ul>	yes	\$315,000.00	1/22/2019 1:25 PM

c. Click the "Disclosures" tab to quickly view all reported disclosures along with each compensation type and dollar amount:

Summary	History	Disclosures	Private Review Information	Disclosure Admin Info	Documents	
Organization	Compensation Type		Dollar Amount			
	Stock Equity: Options Equity: Consulting, Advising, and Speaking: Editorial: License and Royalty: Reimbursements: Sponsored Travel: Board of Directors: <b>Total Value:</b>		\$5,000.00			
3M Company			\$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 <input type="text" value="Activity"/> <input type="text" value="Enter text to search for"/> <input type="button" value="Q"/> + Add Filter ✕ 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

In order to move the disclosure form along in the process, you must complete this step. If this step has not been completed, disclosure forms will remain open and will show as not reviewed.

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

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✓ Department Review Complete

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↶ 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 step 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 or if comments are needed 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:**

+ Add

Name	Description
There are no items to display	

**2. Attachments:**

This is 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.

OK

Cancel

**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.*

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 including the discloser.

### Log Private Comment

This section functions similar to the Log Comment activity. However, this will only log private correspondence that is viewable by the COI office staff and by 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 discloser.

Once the unit 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 a need for SPA to review for FCOI) or Review Complete.
- 2) The disclosure form will automatically be removed from the unit 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, Chief Officers, 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
- For Designees – to the Dean, Vice President, Vice Provost, or Chief Officer to whom they administratively report

Follow these steps:

1. Dean/Vice President/Vice Provost/Designee completes their disclosure form in UVMClick.
2. Click on “Printer Version” and print the document to PDF.
3. Using UVM’s [File Transfer Service](#) (if the form contains sensitive information) or email (if it does not), send the PDF to the individual responsible for the review of the disclosure form. If unsure who this is, contact [coi.coc@uvm.edu](mailto:coi.coc@uvm.edu) to find out who the reviewer is.
4. Reviewers will review the form outside of the UVMClick system. Once complete, they will provide their acknowledgment and any other relevant information via email back to the discloser.
5. Upload a copy of the email from the reviewer into the UVMClick system. Reviewer’s own disclosure forms that are acknowledged without this supporting documentation are not acceptable.
6. Once the supporting documentation has been uploaded, acknowledge the disclosure form in the UVMClick system.

## HOW TO LOGIN

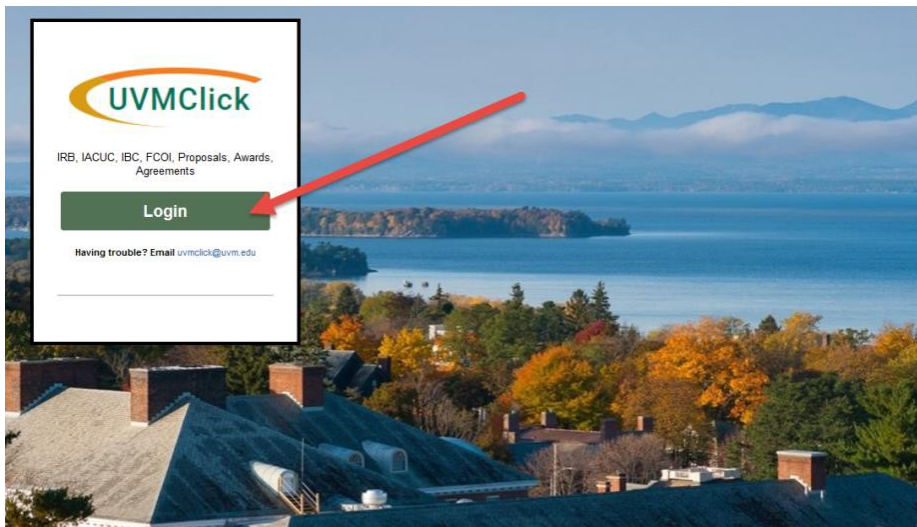
The UVMClick-COI system is secure, which means only authorized individuals have access to it.

When logging into the system, reviewers have authority to see all certifications in UVMClick-COI for which they have been assigned. 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>

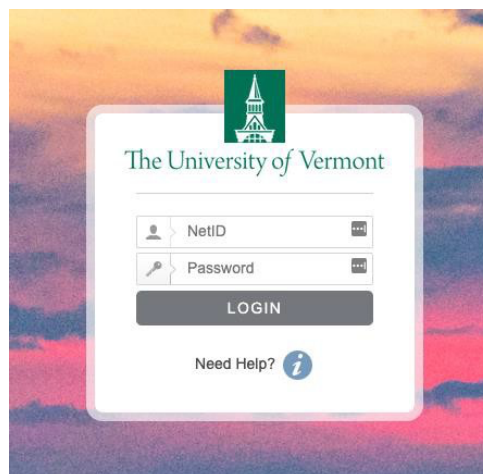
NOTE: A UVM Net ID and password is required to login

If your login screen looks like this:



Then:

- Click the green "Login" button. You will be brought to UVM's Single Sign-On Login page that looks something like this:



- Enter your UVM Net ID and password.
  - If you do not know your UVMNetID, go to [www.uvm.edu](http://www.uvm.edu) and click the search button on the top right. Under "Search Directory", type your name, and hit enter. Your NetID is displayed.
  - If you do not know your UVM password, go to UVM's [Network ID and Account Management](#) page and click on "Reset a forgotten or expired NetID password."
  - If you are still having trouble, contact the Tech Team at 802-656-2604, [helpline@uvm.edu](mailto:helpline@uvm.edu), or submit a [Help Request](#).