

1. Login to [eDisclosure](#) with your Northwestern NetID and Password

2. Click on 'COI Reviewer' page link on the left-hand side of the screen, and then refer to the annual disclosures pending review.

| ID | Name | Execute Activity | Discloser's First Name | Discloser's Last Name | Date Submitted |
|------------|---|------------------|------------------------|-----------------------|----------------|
| DC00033629 | Annual Disclosure for Ursula Porod 2017 | Quick Review | Ursula | Porod | 1/30/2017 |
| DC00032535 | Annual Disclosure for Kenneth Poeppelmeier 2017 | Quick Review | Kenneth | Poeppelmeier | 1/30/2017 |

Disclosures pending review will appear here in a list, meaning at least one positive response on the disclosure. Disclosures with no positive responses do not require review, but are accessible in the "All Disclosures" tab

3. Each annual faculty disclosure requiring review will appear in the "Faculty Annual Disclosures: Need Review" tab. Click on the link to perform a review.

| ID | Name | Execute Activity | Discloser's First Name | Discloser's Last Name | Date Submitted |
|------------|---|------------------|------------------------|-----------------------|----------------|
| DC00033629 | Annual Disclosure for John Smith 2017 | Quick Review | John | Smith | 1/30/2017 |

4. Upon clicking the person's disclosure link, you will be taken to the review workspace; review information in "Disclosure Information" tab and then click "Record School Review"

Key instructions to complete review

Completing your Review:

- Please refer to the "Disclosure Information" tab below, which displays a summary of the annual disclosure responses, or click "Snapshot: View" to view the entire detailed disclosure form.
- To complete your review, click "Record School Review" in the left-hand navigation menu.

Description of tabs below:

- The "Disclosure Information" tab displays the summary information of this disclosure *as it was submitted*.
- The "Activity History" tab displays all "Payment for Services" and/or "Sponsored/Reimbursed Travel" activities related to this discloser.
- The "Active Relationships" tab shows the *current* state of the totality of a this discloser's disclosed interests/relationships (whether disclosed during the annual process or disclosed in updates made throughout the year; it does not display interests/relationships that have been removed by the discloser).
- The "Previous Relationships" tab shows interests/relationships that have been *removed* by this discloser (whether removed during the annual process, or in a subsequent update made throughout the year).
- The "Review History" tab displays the chronological history of this disclosure and its review by you or others (if any), including any comments. Note: "Log Comment" leaves a public comment that the discloser can see, whereas "Log Private Comment" allows reviewers to communicate privately, without the discloser seeing it.
- The "All Related Disclosures" tab includes any annual disclosures on file for this discloser (including previous annual disclosures, previous determinations made relative to previous annual disclosures, and management plans associated with previous annual disclosure reviews (if applicable)).

Information from disclosure summarized here

| | |
|--|--|
| Discloser Name: John Smith | |
| Have financial interests? | Yes |
| Number of entity: 1. | |
| 1) La Porte Regional Health System (Total for Entity: \$50,000.00) | |
| Relationships/Interests: Other Activities, Ownership or Equity Interest(s) | |
| Ownership/Equity | - Stock purchased on open market: \$50,000.00 Comment: 100,000 shares |
| | Relationship: Spouse |
| Ownership/Equity - Family | - Stock purchased on open market: |

This grid shows all relationships/interests disclosed by the individual by entity name (i.e. company), if applicable, as well as any other responses to the disclosure questions. This table includes all relevant disclosure information, however, if you would like to review the individual's full detailed disclosure (each question asked and each response), click the "Snapshot: View" text in the table at the top of the page

Description of other tabs and information that may be helpful or relevant to your review; for example, review last year's disclosure, last year's review determination, and any active management plans for the individual by selecting the "All Related Disclosures" tab.

5. Upon clicking “Record School Review”, perform your review, selecting a determination and rationale for your determination. Then click ‘OK’. Determinations and what happens next on next page.

* Determination:

- No Conflict
 - Conflict Identified; Create or Apply Management Plan
 - Conflict Resolved Without Formal Management
 - Need More Information
 - Potential Conflict; Refer Review (to next review level or NUCOI)
 - Refer to Committee
- [Clear](#)

Select a COI determination based on your review of the individual’s disclosed interests with respect to their Northwestern responsibilities; then, select the rationale/explanation for your determination below (or select “Other” if no category is appropriate and/or you would like to provide additional information)

* Rationale:

- No Conflict: Disclosed relationship(s)/interest(s) do not relate to/impact faculty member’s Northwestern responsibilities and do not present conflict of interest or conflict of commitment concerns
- No Conflict: Disclosed relationship(s)/interest(s) within the 20% of allowed time for external activities (for full faculty only)
- No Conflict: Disclosed relationship(s)/interest(s) known and addressed; do not present conflict of interest or conflict of commitment concerns that require management
- Potential Conflict/Conflict: Disclosed relationship(s)/interest(s) relate to faculty member’s Northwestern responsibilities (intersect with academic and/or research area) and should be managed
- Potential Conflict/Conflict: Disclosed relationship(s)/interest(s) involve an entity engaged in Northwestern research and should be managed
- Potential Conflict/Conflict: Disclosed relationship(s)/interest(s) involve use of Northwestern resources (space, equipment, personnel, etc.) and should be managed
- Potential Conflict/Conflict: Disclosed relationship(s)/interest(s) presents conflict of commitment concerns that should be managed
- Potential Conflict; Refer Review: Disclosed relationship(s)/interest(s) present conflict of interest or conflict of commitment concerns – additional review requested
- Potential Conflict; Refer Review: Disclosed relationship(s)/interest(s) present conflict of interest or conflict of commitment concerns – guidance on how to manage/mitigate this situation
- Other

Additional Comments:

Related Attachments:

| Name | Description |
|-------------------------------|-------------|
| There are no items to display | |

You have the ability to add documents relative to your review if you would like (e.g., email exchanges with the faculty member or others)

OK Cancel

| COI Determination | What this means | What happens next |
|---|--|--|
| No Conflict | No conflict with disclosed interests and person's Northwestern responsibilities | Nothing – you are done! |
| Conflict Identified; Create or Apply Management Plan | <ul style="list-style-type: none"> • An actual or perceived COI exists for this person with respect to his or her Northwestern responsibilities • You would like to create a new management plan for this person, OR this person has a management plan already in place around the relationship presenting a COI, and you would like to apply the management plan to this year's disclosure with no changes | <ul style="list-style-type: none"> • The review will go to status of <i>"Review Complete – Preparing Correspondence"</i>; you will need to take 3 steps to complete this review: <ul style="list-style-type: none"> ✓ Create/Upload Management Plan (your own document, or prepare new management plan from system template; edit as needed) ✓ Prepare Correspondence (from system template; edit as needed) ✓ Send Correspondence • Correspondence and management plan will be routed to disclosure • Discloser will either "accept" plan or "request changes" (in either case, you will receive email notification) <p>Upon discloser acceptance of plan, you are done!</p> |
| Conflict Resolved Without Formal Management | <ul style="list-style-type: none"> • An actual or perceived COI existed but has been eliminated, or it is not a traditional COI that should go through full COI management plan workflow in system • You would just like to document that a discussion occurred or issue was resolved (e.g. a situation that is more than a "no conflict" but less than needing a management plan) | <ul style="list-style-type: none"> • This review will go to a status of <i>"Review Complete – Preparing Correspondence"</i>; you will need to either, <ul style="list-style-type: none"> ✓ Prepare & send correspondence (from system template; edit as needed); or ✓ "Log Communication" where you can enter comments documenting your communication with the person and/or why the conflict has been resolved. |
| Need More Information | <ul style="list-style-type: none"> • You need more information and do not want to complete the review; you may wish to seek more information from the discloser, a colleague, or NUCOI before completing your review. • This will essentially will put the review on hold until you re-enter the review and document a response (e.g., obtained more information); it assumes you are reaching out to the discloser or others for more information | <ul style="list-style-type: none"> • This review will go to status of <i>"Under Review: Response Pending"</i> • Once you have what you need to complete review, select "Document Response" to document any new information received, then select "Record School Review" to complete your review as normal, selecting a final determination. |
| Potential Conflict; Refer Review (to next review level or NUCOI) | Allows you to refer a review to the next level of School approver (if there is one designated) or NUCOI | Disclosure will be referred to designated next level for review and will no longer be in your inbox |
| Refer to Committee | Allows you to send to designated committee for review | Disclosure will be referred to designated committee and will no longer be in your inbox |

**For specific guidance in management plan development, workflow, and monitoring, referring items to committee, and other functionality in the system not specified here, please contact NUOI:*

nucoi@northwestern.edu or 847.467.4515