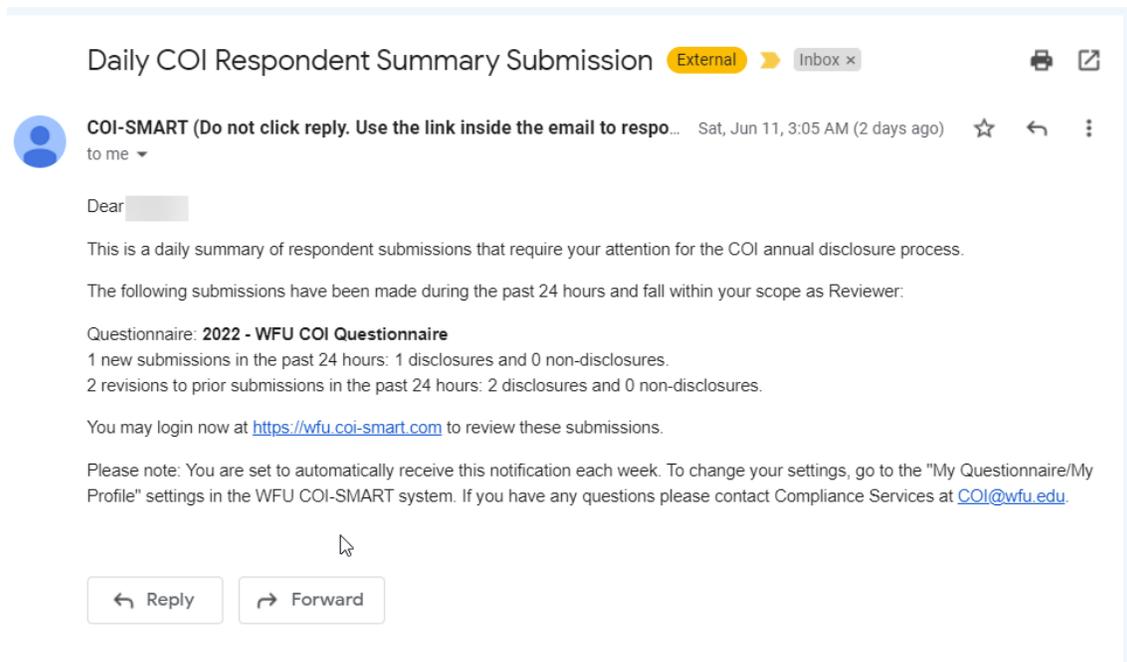


Conflict of Interest (COI) Reviewer Instructions

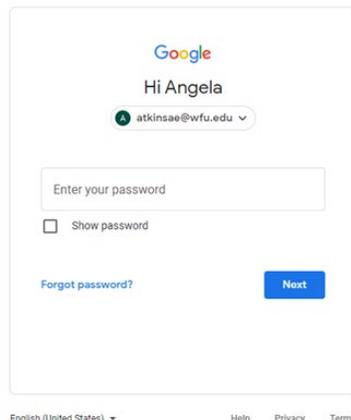
Reviewers are responsible for working with their direct reports (per the Workday Org chart) when a disclosure is made or a management plan is necessary. As their leader, it is important for you to be aware of and manage potential conflicts of interest. Reviewers will receive notifications when a person reporting to them submits a COI questionnaire with disclosure, or when a questionnaire is revised. (If your direct report does not report any disclosures of potential conflicts, the questionnaire will be treated as 'auto-approved' and will not route to your queue.)

Summary completion reports will be provided to you through your Cabinet leader to assist you in ensuring all surveys have been completed.

Logging in – If you are a reviewer, you will receive a notification message when a direct report has completed or updated a survey.

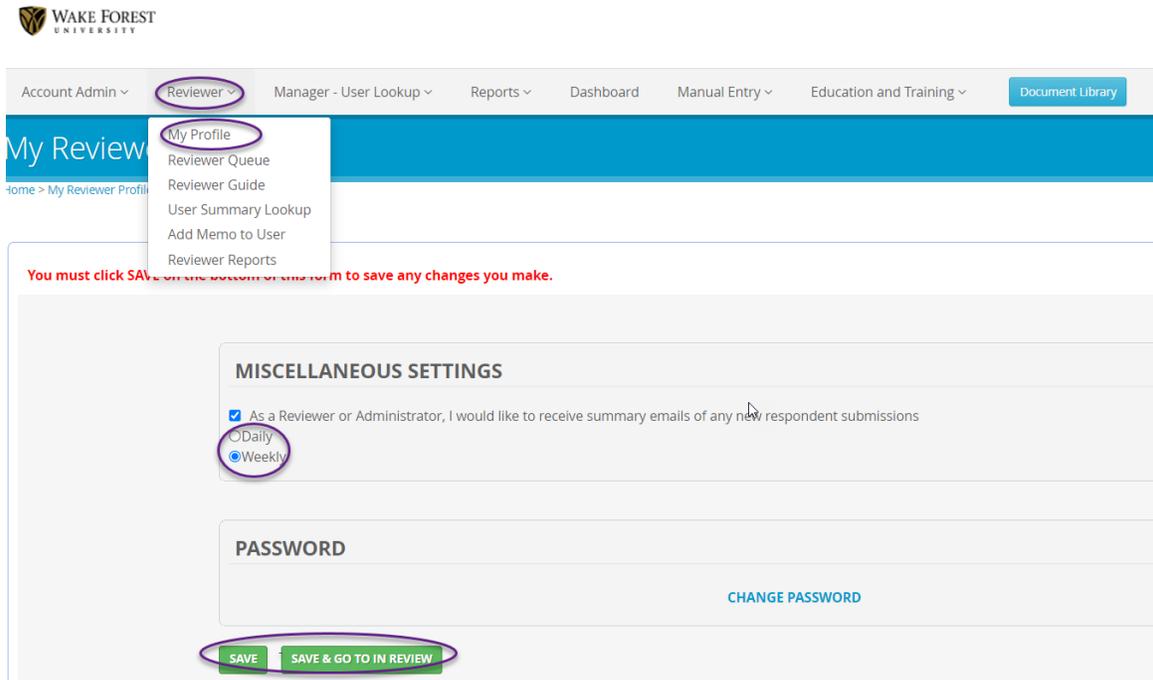


The website is tied to your WFU credentials through single-sign on; if you are already logged in, the application should open without further input. If you are not already logged in, simply use your WFU Google account and password to log in.



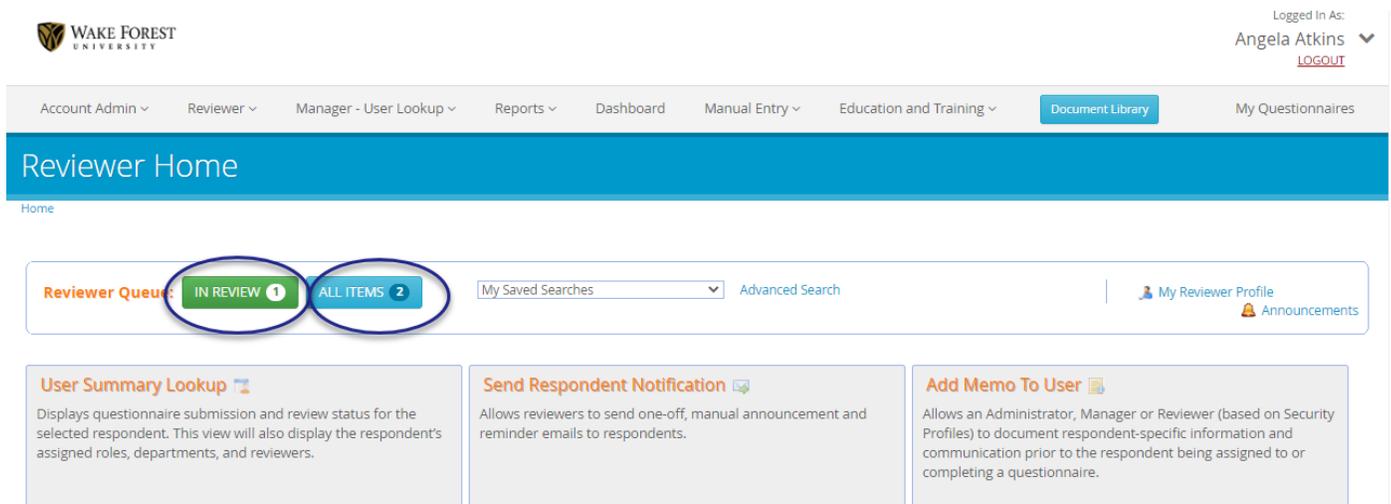
WFU Conflict of Interest Process

You can change the timing of summary emails for any new respondent submissions, selecting either Daily or Weekly in the COI Smart settings menu (under Reviewer, My Profile), then Save at the bottom of the screen.



To access submitted disclosures,

- choose the green IN REVIEW button for new submissions, or
- choose the blue ALL ITEMS button to see all questionnaires in your review queue.



WFU Conflict of Interest Process

The Reviewer Queue will list any submitted questionnaires. The overall status of each questionnaire will display in the center column.

Choose the questionnaire(s) you wish to review, then click on the green Perform Review button to start the review process.

Reviewer Queue

Home > Reviewer Queue

Reviewing Instructions

Quick Search: User Summary Lookup

Advanced Search ?

Perform Review View History User Memos View Responses (PDF) Archive

Show 10 entries

Reviewers Queue							
Year - Name	First Name	Last Name	Questions	Overall Status	Last Submission Date	Last Review Action Date	Transaction
2022 - 2022 - WFU COI Questionnaire	Angela	Atkins	5	Reviewer/Respondent: Submitted Draft plan(s) to Compliance	06/15/2022 11:30 AM ET	06/16/2022 12:44 PM ET	
2022 - 2022 - WFU COI Questionnaire	Angela	TEST	2	In Review	06/21/2022 9:57 AM ET	06/21/2022 9:57 AM ET	

Showing 1 to 2 of 2 entries

First Previous 1 Next Last

In review mode, you can see the disclosed response information for each question by selecting the + under each question.

- You have the option to view answers to **All Questions**, or **Disclosures Only**. (Choosing **Disclosures Only** may streamline the review process, but you can opt to see all questions and responses.)
- You have the option to view **All Responses**, or only the **Most Recent Responses**. (Choosing **Most Recent Responses** may help streamline review if the survey respondent has made one or more revisions to their initial response to a question.)

Reviewer Queue

Home > Reviewer Queue > Search Results > Angela TEST > Perform Review

Angela TEST User Details

Faculty | Staff

2022 - WFU COI Questionnaire

In Review

View History View Responses (PDF) User Memos Archive

Review Mode: Questionnaire Question(s)

View: **Disclosures Only** All Responses

Question 4 **In Review**

Do you have, or does a member of your family have, a consulting relationship, executive position, or a financial interest with an outside entity as described below?

+ INITIAL RESPONSE:

Question 8 **In Review**

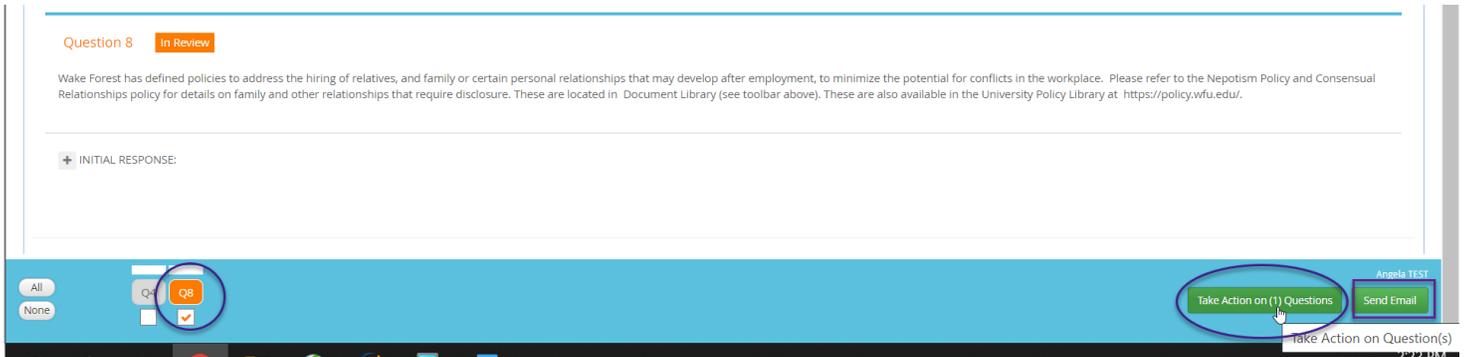
Wake Forest has defined policies to address the hiring of relatives, and family or certain personal relationships that may develop after employment, to minimize the potential for conflicts in the workplace. Please refer to the Nepotism Policy and Consensual Relationships policy for details on family and other relationships that require disclosure. These are located in Document Library (see toolbar above). These are also available in the University Policy Library at <https://policy.wfu.edu/>.

+ INITIAL RESPONSE:

WFU Conflict of Interest Process

If you have questions or want to discuss the response to a question further, you can select the question and choose the Send Email button to contact the respondent (or others) directly from the system. This has the advantage of logging the communication in the History log for the question.

IMPORTANT: After review of each question with a disclosure, at the bottom of the screen you will need to click the checkbox under the question (Q8 in this example), then choose the Take Action button. (You can select multiple questions if you want to apply the same action to each.)



On the **Take Action** popup screen (below), you can attach a draft Management plan (developed from templates in the Document Library) or other documentation for review by the Compliance office. Click on Attach One or More Files, Choose File, then Upload File. **Please do not use the Add Management Plan function.**

A screenshot of a 'Take Action On Question 8' popup window. The window title is 'TEST' and 'Take Action On Question 8'. It features a 'Review Action *' dropdown menu with a list of options: '1 - Reviewer action: Discuss with discloser', '2 - Reviewer action: Develop Plan', '3 - Reviewer action: Escalate for Compliance assistance', '4 - Reviewer action: Escalate proposed Plan(s) for Compliance review', '5 - Reviewer action: No plan needed, Escalate for Compliance review' (highlighted in blue), '6a - Compliance action: Assess further', '6b - Compliance action: Assist with Plan development', '7a - Compliance action: Submit for COI Committee review', '7b - Compliance action: Refer to HR', '8a - Compliance action: No plan needed', '8b - Compliance: Management plan accepted', '8c - COI Committee: Approved plan', and 'Internal Communication'. Below the dropdown is a 'Review Level:' section with checkboxes for 'Escalate' and 'Archive on Save'. There are two buttons: 'Add Management Plan' (with a red asterisk indicating it is required) and 'Attach One or More Files' (highlighted with a red box). At the bottom are 'Save Action' and 'Cancel' buttons.

Next, choose a Reviewer Action (numbers 1 thru 5). **Please DO NOT select Archive on Save.**

- Select **options 1 or 2**, then **Save Action** to set an interim status if the disclosure is still under discussion or a proposed plan is still under development. You can set a reminder date, for notification to revisit the item.
- Once discussion or development is complete, you will need to return to the Questionnaire to complete the review process.

WFU Conflict of Interest Process

To complete your review and route the disclosure to the Compliance Office:

- Select **option 3, Escalate**, then **Save Action** to request assistance assessing the potential conflict or with plan development.
- Select **option 4, Escalate**, then **Save Action** to submit a draft management plan for review.
- Select **option 5, Escalate**, then **Save Action** if you have concluded no management plan is needed.

The screenshot shows a web interface for a review action. At the top, it says "TEST" and "Take Action On Question 8". Below this is a "Review Action *" dropdown menu. The dropdown is open, showing a list of options. Option 3, "Reviewer action: Escalate for Compliance assistance", is highlighted with a blue box. Other options include "1 - Reviewer action: Discuss with discloser", "2 - Reviewer action: Develop Plan", "4 - Reviewer action: Escalate proposed Plan(s) for Compliance review", "5 - Reviewer action: No plan needed, Escalate for Compliance review", and several "Compliance action" options (6a-8c). Below the dropdown is a "Review Level:" section with radio buttons for "Escalate" (which is selected and circled in blue) and "Archive on Save". There are also links for "Add Management Plan" and "Attach One or More Files". At the bottom, there are "Save Action" and "Cancel" buttons, with "Save Action" circled in blue. A red asterisk indicates that the "Review Action" field is required.

The Compliance office will take it from here, working with you, the respondent and the COI Committee as needed, to ensure identified conflicts are managed and monitored appropriately.

Once a completed plan is reviewed and accepted, by either the Compliance office or the COI Committee, we will email it to you and the respondent for final acceptance in the system.