

Reviewing & Approving Annual Disclosures

Detailed full instructions on following pages – including steps to log into Streamlyne.
Approver Overview:

- 1. Disclosure \rightarrow Reporter Panel: Review the individual's CITI Training status.
- 2. Disclosure \rightarrow Screening Questionnaire Panel: Review the individual's answers.
- 3. Disclosure \rightarrow Questionnaire Panel: Review the individual's answers.
- 4. Disclosure → Notes & Attachments Panel: Check for Notes or Attachments. Review if present.

If there are no discrepancies or issues or missing information, then...

Disclosure Actions \rightarrow Administrator Actions \rightarrow Click Approve.

Disclosure	∀ ≈	• 0	Document was successfully	saved.
Disclosure Actions	Reviewer Actions	5		
	✓ Administrator Ac	tions		
	Add Reviewers A	ction 🎯		
Finding the 'Approve' button	* User Name	Full Name	Reviewer Type	Lead Ur
Left-Hand Navigation Tab: 'Disclosure Actions'	dd:		Assigned Reviewer v	
Panel: Administrator Action	Financial Entity	Status Review ((Grouped by Projects) 🧿	
	Event	Project Id	Project Title	Disposition
	Review Status @			
		Reviev	v Status : select	~
	Approval Action @)		
	Disclosure Status	s is set to ' Annu	al Only based on the Pr	oject-Financial
			Approve	

If there are discrepancies or issues or missing information, then... Disclosure \rightarrow Scroll to the bottom of the page \rightarrow Click Disapprove.

Disclosure	× *	* Indicates
Disclosure Actions	> Document Overview	
	> Reporter	
	Screening Questionnaire	
	> Questionnaire	
	Project & Financial Entity Relationships	
	> Notifications	
	> Notes & Attachments	
	> Certification	
	> Data Validation	
	> Ad Hoc Recipients	
	> Route Log	
	Send Notification Send AdHoc Save Reload Disapprove C	Close

Not sure? Need someone else to take a look? Review instructions on Page 4: *Additional Review Required.*

COI/COC Review and Approval



Detailed Instructions

Log into Streamlyne w/ SSO credentials: <u>https://research.whoi.streamlyne.org</u>

- Action Item List will be displayed
- Select ID# with an Action = (APP) (approve) & Type = [KC COI Disclosure]

TIP: The Action column (and the other columns) may be used to sort the List by clicking the column heading.

Action	List								Refresh	Filter
	Apply Defaul									
	Action	ld	Туре	Title	Route Status	Delegator	Date Created	Group Request	Actions	Log
Show	FYI	14259	Streamlyne Research Notification	Assigned Review Complete	FINAL		10:48 AM 12/11/2020		NONE 🗸	
Show	EYD	14269	Streamlyne Research Notification	Assigned Review Complete	FINAL		10:48 AM 12/11/2020		NONE ¥	
Show	FYD	14279	Streamlyne Research Notification	New Financial Entity Created	FINAL		10:48 AM 12/11/2020		NONE 🗸	
Show	EYD	14289	Streamlyne Research Notification	Assigned Review Complete	FINAL		10:49 AM 12/11/2020		NONE ¥	
	АРР	14366	KC COI Disclosure	KC COI Disclosure - 2020 Annual Col - TEST epeacock	ENROUTE		10:00 AM 12/14/2020			
	FYI	14369	Streamlyne Research Notification	Reviewer Assigned	FINAL		10:04 AM 12/14/2020		NONE ¥	

• The Annual Disclosure will open

Reviews on the Disclosure Tab

- In Reporter panel Review Reporter's Training
 - Click on **Show** next to Training to review if their CITI Conflict of Interest Training has been completed and is not past expiration.

Show	Unit Details		
Hide	Training		
	Training Details for	I	
Description		Date Completed	Expiration Date
CITI, Conflicts of Inte	rest (COI), Conflicts of Interest (COI), Refresher Course, 2	2020-01-08	2023-01-07

- In the *Screening Questionnaire (Financial Entities Screening)* panel, click the **Show** button to note whether the reporter responds Yes or No to disclose any potential Financial Interest related to his or her Institutional Responsibilities.
 - For this Screening Questionnaire and the Questionnaire below (Annual Disclosure), look for inconsistent responses; e.g., a Yes response in the Screening Questionnaire and No responses in the Annual Disclosure Questionnaire or vice versa. Inconsistencies should result in the program rejecting a Reporter's attempt to submit the Certification and require the Reporter to correct the responses. Thus, inconsistent responses should not be presented at this Approval stage.
 - The reporter will have to address and correct any inconsistency. If inconsistencies are present, you will disapprove the Annual Disclosure, which will result in notification of Disapproved status to the reporter.
 - The reporter then must correct the disclosure and resubmit by recertifying. Approval and disapproval steps are reviewed below.





• In the *Questionnaire* panel, click the **Show** button to view the responses to the Annual Disclosure Questionnaire for possible inconsistency as noted above.



• In the Notes & Attachments panel, check if the reporter added any notes or attachments.

Notes (0) Ø		
Add	Note Topic	Project Mane Braticiad View Salved Transcial Early action
New Attachment @		Nac
* Attachment Type : select Contact Name :	~	Attached Items (1) O
Uploaded By : Posted Timestamp : Comments :	~6	Sort By: None
* File Name : Choose	File No file chosen	
		Show test: WHOI.jpg: Updated by:

- Select Show to display attachment
- If the reporter indicated **NO** COI in their Screening Questionnaire/Financial Entities
 Screening and Questionnaire/COI Annual Disclosure, navigate to Disclosure Actions
 tab at the top left of screen.
 Disclosure



- Select Administrator Actions panel
- Click Approve

>	Reviewer Actions								
•	Administrator Actions								
	Add Reviewers Action	0							
	* User Name	Full Name	Reviewer Type	Lead Unit	Date Assigned	Actions			
Add:	Q		Assigned Reviewer V			Add Reset			
	Financial Entity Statu	s Review (Grouped by Proje	ects) 🕜						
	Event	Project Id	Project Title	Disposition Status		Disclosure Status			
	Review Status 🎯								
	Review Status : select Submit								
	Approval Action 🔿								
	Disclosure Status is set	to ' 2020 Annual ' based on	the Project-Financial Entity	y conflict status.					
			Approve						

 If, as described above, there appear to be inconsistent answers or missing information, the action to Disapprove is available at the <u>bottom</u> of the Disclosure tab (not Disclosure Actions).



Additional Review Required

- If you are uncertain whether to Approve or Disapprove a submitted Disclosure based on Financial Entity Screening and COI Annual Disclosure Questionnaire responses, or for other reasons believe higher review is necessary, navigate to Disclosure Actions tab at the top left of screen
 - Proceed with the steps listed below.



TIP: Because the Questionnaire responses and Financial Entity information are – at this first Annual disclosure stage – simply information that is not yet cross-checked for potential or actual conflicts that may be present for a specific proposal, most appropriate Administrator Actions will be to "Approve"

- Navigate to the Disclosure Actions tab and select the subsection of the Administrator Actions panel – Add Reviewers Action
- Select the Magnifying Glass to search for Reviewer this will open Person Lookup

>	Reviewer Actions						
~	Administrator Actions						
	Add Reviewers Action 👩						
	* User Name	Full Name	Reviewer Type	Lead Unit	Date Assigned	Actions	
Add:	۹ 🖌		Assigned Reviewer 🗸			Add Reset	
	Financial Entity Status	Review (Grouped by Pr	ojects) 🧿				
	Event	Project Id	Project Title	Disposition Status		Disclosure Status	
	Review Status 📀						
			Review Status : select	~			
	Approval Action ⊘						
	Disclosure Status is set to ' 2020 Annual ' based on the Project-Financial Entity conflict status.						
			Approve				

• In the Last Name field enter your department chair or director & click Search

Person Lookup				
Person Id:	Q 🔳	Last Name:	Dept Chair or Director)
First Name:		User Name:		
Email Address:		Office Phone:		
Active:	● Yes ◯ No ◯ Both	Home Unit:		9
Campus Code:	9			
	>	Search Clear Cancel		

- Select Return Value from results at left below Person Lookup
- Once Dept. Chair or Director is returned Click ADD at right and leave Reviewer Type as "Assigned Reviewer"

Return Valu



Save



- Once Reviewer is added, click Save at the bottom of the page.
- An FYI notification will be sent to the Assigned Reviewer to review further. The Assigned Reviewer may Approve the disclosure, or take other actions.
- Click **Close** to exit disclosure.

TIP: Following any "Close" you will be asked "Would you like to save this document before you close it?" We recommend always selecting "Yes" even if you saved the document immediately before clicking "Close."