UNIVERSITY OF ILLINOIS
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START myDisclosures UEO Reviewer Guide
Guide for Unit Executive Officers and Facilitators/Assistants

This guide provides step-by-step instructions for using START myDisclosures to review Report of Non-University Activity disclosures submitted to you as a Unit Executive Officer (UEO), departmental RNUA facilitator, or a second level reviewer.

I. Roles

START myDisclosures serves the needs of users who have different roles in the Report of Non-University Activities (RNUA) process.

Disclosers

> Disclosers include all academic staff required to complete the RNUA. Disclosers are able to submit, edit, view, delete, print, and save PDF versions of their own disclosures. Lists of disclosers in each department are generated through a Banner query.

Facilitators/Assistants

> Facilitators/Assistants are named by the Unit Executive Officer (UEO) and can help streamline the review process for the UEO. Each unit can have more than one facilitator/assistant, and one facilitator/assistant can fill that role for more than one unit. If a unit needs to change the named facilitator(s)/assistant(s), please contact your campus COI office.

> Facilitators/Assistants are able to view all disclosures within the unit(s) to which they are assigned. They also have the ability to assign a recommended status to each activity within a disclosure, e.g. activity should be approved or forwarded for further review, and make comments on disclosures. Facilitator/Assistants are also able to return the disclosure for revisions in an effort to get more or clarifying information from the discloser.

Reviewer/Approver – Unit Executive Officer (UEO)

> UEOs are responsible for managing any potential or actual conflicts of commitment or interest, and their review of each disclosure is required. UEOs can, with or without the assistance of a Facilitator/Assistant, view, assign a status to each activity within a disclosure, comment, attach explanations of management mechanisms, and complete the first level of review.

Reviewer/Approver – Second Level of Review

> A second level of review is necessary when the UEO assigns a status of "forward for further review." Reviewers at the second level, e.g. deans, have the ability to view, confirm a UEO's assigned status for a disclosure, return a disclosure to the UEO for further review, comment, and complete the second level of review.

> Reviewers at the second level are also able to view all disclosures in the unit(s) they oversee. For example, the dean of a college can view all the disclosures within the college.

> A facilitator/assistant may assist a reviewer at the second level.

View/Read Only

> The View/Read Only status can be assigned as needed by a UEO or Reviewer at the Second Level. View/Read Only status allows users to view disclosures within the unit(s) to which they have been assigned. View/Read Only users **cannot** set a status for an activity, return disclosures to disclosers, or approve disclosures.

II.   Access START myDisclosures

START myDisclosures is available at https://myresearch.uillinois.edu/myDisclosures/
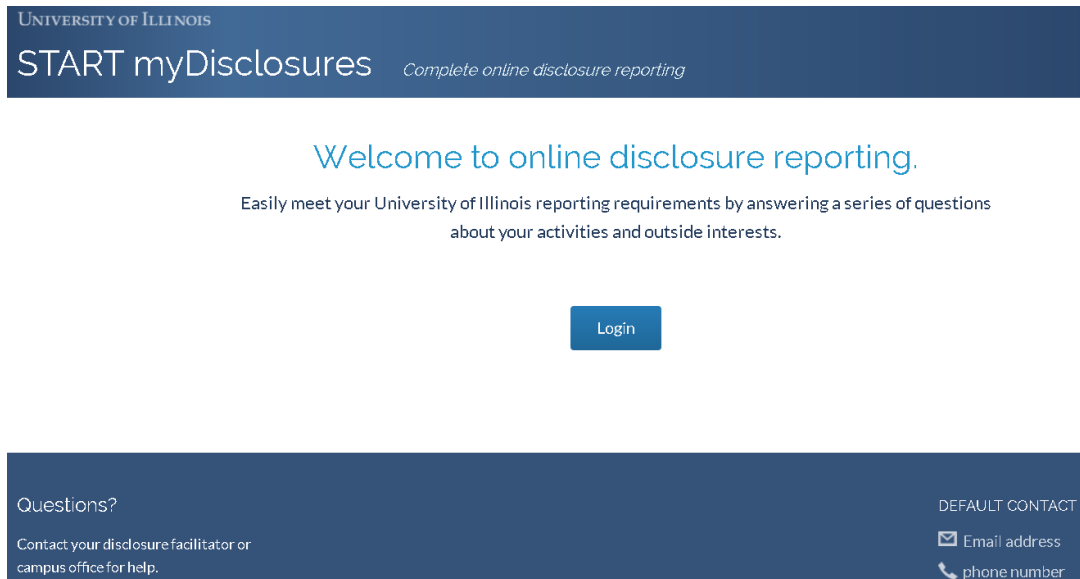
Log on using your NetID and Active Directory (AD) password. The login screen is the same for both disclosers and reviewers.

Reviewers and Facilitators have the option to enter the system as a discloser or as a reviewer. To review, choose the "Review My Unit's Disclosures" option.

III. Reviewer Dashboard

Once in the Reviewer's Dashboard, reviewers and facilitators will see a list of all units to which you have access. Note: Your role is displayed in the right side column (e.g. approver, read only).

Units will display in the following order:

Display Order of Units	
1. All units for which you are a **reviewer/ approver**	Listed in order by six digit org code
2. All units for which you are a **facilitator/assistant**	Listed in order by six digit org code
3. All units for which you have **view/read only access**	Listed in order by six digit org code

In the left side column, the dashboard displays the number of disclosures that are ready for your review.

To review disclosures from a unit, click on the name of the unit.

IV. Review Unit Disclosures – Organizing Workflow

Once you select a unit to review, you will see the name and Banner organizational code (e.g., 6 digit number under the name of the department). The review process is organized into sections.

Electrical & Computer Engr
(2-B1-FQ-FQ0-949-949000)

PENDING		READY FOR REVIEW		COMPLETED
29	1	0	0	0
disclosures not submitted	disclosures awaiting response	disclosures with **no** non-University activities reported	disclosures with non-University activities	COMPLETED

Pending status (2 columns on the left) indicates the following:

- Staff members who have not completed their disclosures
- Disclosures that require a response from a user. This could include disclosures returned to the submitter for revisions **or** staff members whose home unit UEO has not completed the initial review (if you are the UEO of a department in which a staff member has a secondary paid appointment). See below.

START myDisclosures **Reviewer Mode**

Reviewer Dashboard

Electrical & Computer Engr:
Disclosures awaiting response

NAME	DISCLOSURE STATUS
Public, Jane	Return for Changes
Smith, John	Pending Primary UEO Review

UNIT STATUS (30)
Not Submitted (28)
Awaiting Response (2)
No Outside Activities (0)
With Outside Activities (0)
COMPLETED (0)

Ready for Review (2 center columns) indicates the following:

- Staff members who submitted a disclosure but indicated there were no non-University activities to report
- Staff members who submitted a disclosure with non-University activities report

Note: Both options <u>require action</u> on the part of the approver/facilitator.

Completed (1 column on the right) indicates the following:

- Disclosures reviewed by the UEO

V.   Review Unit Disclosures – Pending Disclosures – Employee Listing / Disclosures Not Yet Submitted

Staff members appear on this page when the individual has not yet submitted his/her disclosure. The list is generated from Banner data. The staff member will appear on the home department unit, according to the staff member's appointment in Banner. If the staff member has another appointment that is paid, once the home department completes its review, the secondary paid appointment will be able to review the staff member's disclosure.

The UEO/Facilitator/Assistant should follow up with staff members on this list to submit disclosures. The UEO is responsible for assuring all academic staff in the unit completes the RNUA disclosure at least annually and updates the disclosure throughout the year as needed.

A. Exemption Status

An **Exemption status** should be set when an employee is unable to complete the RNUA. Reasons for exemption may include sabbatical or medical leave.

Once an exemption status for an employee is set, the disclosure for that employee is considered to be "complete."
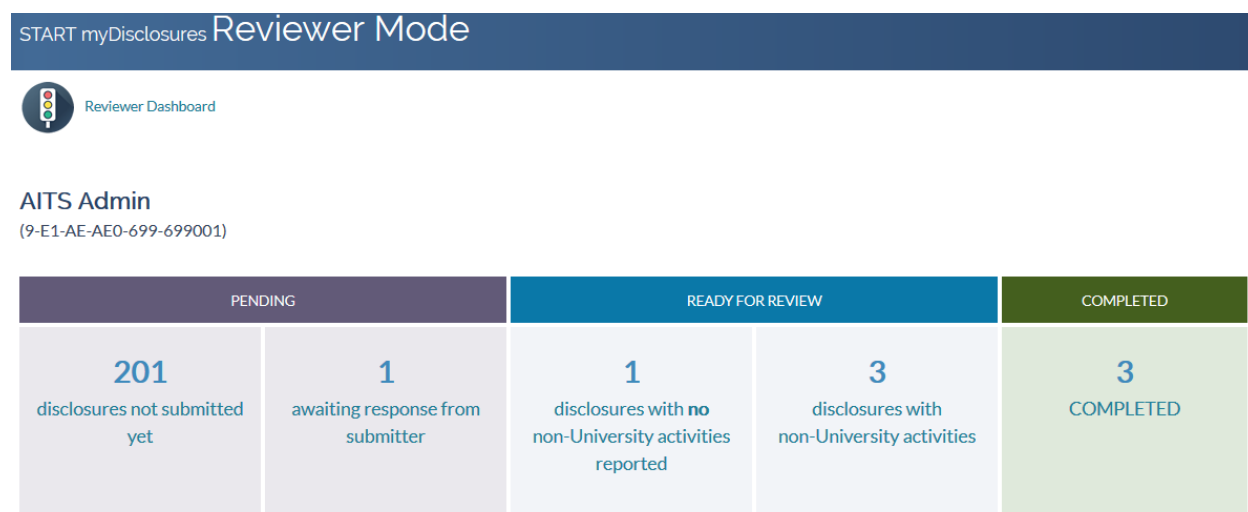
Units will receive reports of employees for which exemption status has been set at the beginning of the spring semester. Units should work to get disclosures from employees whose exemption statuses no longer apply.

When the UEO creates an exemption (e.g., out of country, sabbatical, medical or other approved leave of absence), the UEO must follow up when the staff member returns to work to ensure the RNUA is completed.

B. Recusal

If, as a UEO, you need to recuse yourself from the review of an employee's disclosure because you have a familial or business relationship, please contact your campus COI office as soon as possible.

VI. Review Unit Disclosures – Ready for Review

START myDisclosures Reviewer Mode

Reviewer Dashboard

AITS Admin
(9-E1-AE-AE0-699-699001)

PENDING		READY FOR REVIEW		COMPLETED
201 disclosures not submitted yet	**1** awaiting response from submitter	**1** disclosures with **no** non-University activities reported	**3** disclosures with non-University activities	**3** COMPLETED

The middle section "Ready for Review" sorts disclosures into two categories: disclosures with no non-University activities reported and disclosures with non-University activities reported.

A. Disclosures with no non-University activities reported

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START myDisclosures Reviewer Mode

1234567 | null   EXIT USER   James Doe ▾   LOGOUT

Reviewer Dashboard

Electrical & Computer Eng:
Disclosures with no non-University activities listed

	NAME	SUBMITTED	
☑	Public, Joe	Jul 28, 2015 1:29 PM	↩ Return
☑	Smith, Jane	Jul 28, 2015 1:44 PM	↩ Return
☑	Visitor, Random	Jul 28, 2015 1:45 PM	↩ Return

Confirm Selected Disclosures

UNIT STATUS (116)
- Not Submitted (113)
- Awaiting Reply (0)
- No Outside Activities (3)
- With Outside Activities (0)
- COMPLETED (0)

The UEO/Approver must take an action on these disclosures. These actions are:

- Approve/confirm selected disclosures (can do batch approval by selecting all)
- Return disclosure to submitter for revisions

Facilitators/Assistants have the option to return disclosure to submitter for revisions.

B. Disclosures with non-University Activities Reported

UEO and Facilitators/Assistants will see a list of employees who have disclosures with non-University activities reported. A summary of the number of non-University activities and the aggregate numbers of days requested and days spent is displayed for each employee.

To view the disclosure and complete review, click on each name to see the details.

NAME	ACTIVITIES	DAYS REQUESTED	DAYS SPENT	SUBMITTED
Smith, Jane	1	4	3	July 20, 2015 1:41 PM
Smith, James	2	7	10	July 20, 2015 1:45 PM

UNIT STATUS (203)

Not Submitted (196)

Awaiting Reply (0)

No Outside Activities (2)

With Outside Activities (2)

COMPLETED (3)

VII. Review Unit Disclosures – Individual Disclosure

Summary information about the academic staff member's title and appointment appears under the staff member's name.

Summary information for each non-University activity includes:

- Level of the financial interest (listed as a range: $0-5,000, $5,000 or more; or equity percentage listed as a range).
- Number of days reported for previous academic year and number of days requested for current academic year
- Use of University resources

The summary highlights information in BLUE that represents significance thresholds in the University COCI policy. These should be reviewed carefully for conflicts of commitment or interest.

Each activity listed includes a section to "Show details." Generally, activities that do not reach significance thresholds will have only a brief description about the entity and its products or services. Activities that reach one of the significance thresholds will have more details and should be reviewed by the UEO/Assistant to identify any conflicts of commitment or interests.

After reviewing the information submitted by the discloser, the facilitator/assistant and UEO must select one of three options for each reported activity.

✅ Approve the activity

Approval of the activity is appropriate when the activity does not present a potential or actual conflict **or** if the activity does not require reporting. Examples of activities that generally do not require reporting can be found in the COCI policy.

🔼 Forward for further review

Forwarding the activity for review is required when the activity presents a potential or actual conflict with the employee's responsibilities to the University.

When this status is selected, a statement of explanation detailing the conflict and proposed management mechanisms is **required**.   The UEO statement of explanation may be attached (PDF preferred) or entered in the comments section.   For assistance with this statement, please contact your campus COI office.

Selection and confirmation of this status by the UEO will automatically route the disclosure to the academic staff member's second level of review.

↩ Return for revisions

A disclosure can be returned for revisions when either the department needs more information to evaluate the activity or if the UEO disapproves the activity.

When this status is selected, a statement detailing what information is requested or why the activity is disapproved is **required**.

Returning a disclosure for revisions returns the disclosure to the "Pending" status. Once the employee makes the required revisions, the disclosure will appear in the "Ready for Review" section.

The facilitator/assistant can set a recommended status for each activity before the UEO completes his or her review, and facilitators/assistants can also return a disclosure for revisions.

Once the UEO reviews the disclosures, he or she will either confirm the recommended status by clicking the green "Confirm" button or change the status for each activity.

Disclosures with non-University Activities:

John Smith
ASST DIR, Acad/Pro 12mth Ben Elig, 100% Appointment

First Activity
PUBLICLY-TRADED

Approved ✔

➕ Add a comment

$0 – $4,999 interest

3 days reported
2 days requested

Uses University resources

Show details

Second Activity
PUBLICLY-TRADED

Approved ✔

➕ Add a comment

$0 – $4,999 interest

7 days reported
5 days requested

Does not use University resources

Show details

Based on the statuses you have set you may perform the following action(s):

Confirm

Statuses not correct? Go back to change them.

ATTACHMENTS:

No attachments for this disclosure.

COMMENTS:

👤 *COMMENTED ON 7/20/15 1:48 PM IN REFERENCE TO* FIRST ACTIVITY

Use of University resources requires additional review.

Facilitators/assistants and UEOs are able to make comments on the disclosure or add attachments (PDF preferred). The name of the person who made comments and date/time comment was made will be visible to the users (academic staff, UEO, assistants).

VIII.   Reviewing Unit Disclosures – Completed Review

Once the UEO has confirmed the status for each activity in a disclosure, the disclosure will move to the "Completed" section. Any disclosures within the "Completed" section that require a second level of review will automatically route to the second level reviewer.

The application allows the academic staff member to track where his/her disclosure is in the review process and will note when review is complete or pending second level of review.

If the UEO completes a review but needs to make changes to the disclosure, please contact your campus COI office as soon as possible.

START myDisclosures **Reviewer Mode**

Reviewer Dashboard

AITS Admin
(9-E1-AE-AE0-699-699001)

PENDING		READY FOR REVIEW		COMPLETED
201	**1**	**1**	**3**	**3**
disclosures not submitted yet	awaiting response from submitter	disclosures with **no** non-University activities reported	disclosures with non-University activities	COMPLETED

IX.   Second Level of Review

Activities that may present a conflict of commitment or interest with an employee's University responsibilities must receive a second level of review. These activities are identified by the UEO (first level of review) through selecting the "forward for further review" status.

Disclosures forwarded for second level of review will automatically appear in the second level reviewer's workflow. The second level reviewer has a folder on the reviewer's dashboard in which all units that report within that college or administrative office will appear together. Since disclosures will appear from multiple departments, the disclosures will be sorted by the home department organizational code, then alphabetically by the staff member's last name.

When a disclosure is forwarded for second level of review, begin the review by clicking the employee's name. The disclosure will appear with a status of needs further review and an explanation from the UEO will appear below.

As a second level reviewer, you must select one of two options for each activity that is forwarded for your review:

> 1) Approve the management mechanisms as described by the UEO or

> 2) Return to the first level reviewer / UEO for revisions.

Returning a disclosure is appropriate if you would like additional information or if you do not believe the management mechanisms are sufficient.

A facilitator/assistant to the second level reviewer may set the status and add explanations, but final confirmation to approve the disclosure must be done by the second level UEO.

The second level reviewer must act on all disclosures so that there are no employees/disclosures with a "Pending" status. If you complete a second level of review but need to make revisions to the review, contact your campus COI office.

Disclosures with non-University Activities:

John Smith

ASST DIR, Acad/Pro 12mth Ben Elig, 100% Appointment

First Activity
PUBLICLY-TRADED

✔ ↩

| $0 – $4,999 interest | 3 days reported
2 days requested | **Uses** University resources |

Show details

Second Activity
PUBLICLY-TRADED

✔ ↩

| $0 – $4,999 interest | 7 days reported
5 days requested | **Does not use** University resources |

Show details

ATTACHMENTS:

No attachments for this disclosure.

COMMENTS:

👤 *COMMENTED ON 7/20/15 1:48 PM IN REFERENCE TO* FIRST ACTIVITY

Use of University resources requires additional review.

👤 JANE DOE *COMMENTED ON 7/20/15 1:58 PM IN REFERENCE TO* FIRST ACTIVITY

First Activity has a Facilities Use Agreement in place for the use of University laboratory space in Research Building. The Office of Sponsored Programs will work to renew the agreement for the upcoming year. First Activity has also worked with OTM to license technology. We continue to monitor the disclosure of newly developed technology to OTM. A conflict management plan is in place. The committee will review the situation in light of this year's RNUA disclosure. Approved.

STATUS DEFINITIONS

✔ **Approve:** I have reviewed the monitoring plan and the management mechanisms are sufficient to manage the conflict.

↩ **Return for revisions:** Disclosure will be returned to the first level of review. Provide an explanation for revisions.

Review and set a status for each non-University activity before continuing.

Continue

If the second level reviewer UEO returns the disclosure to the first level reviewer UEO for revisions, an explanation for why revisions are necessary is required.

Disclosures that are returned for revisions will appear in your "Pending" section.

Once the UEO or academic staff member makes the required revisions, the disclosure will automatically route to your "Ready for Review" section.