COI-SMART

Administrator Guide

December 4th, 2017

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1. Introduction

1.1 About HCCS – A HealthStream Company

The mission of Health Care Compliance Strategies Inc. (HCCS) - A HealthStream Company, is to help hospitals and healthcare institutions survive and thrive, and to improve the quality of patient care. Our method for accomplishing that mission is to provide hospitals and healthcare institutions with interactive and engaging on-line staff learning and competency solutions, and tools to assist in the management of difficult compliance problems. These solutions enhance job performance, improve patient outcomes and promote compliance with ethical, legal and accreditation guidelines. In this way, healthcare institutions can focus on their core mission of easing discomfort, healing, and saving lives.

HCCS is the leading provider of effective online compliance and competency training courses, learning management systems and database management tools to healthcare facilities.

You can reach HCCS at our website, www.hccs.com, the COI-SMART website at www.coi-smart.com or by email at support@hccs.com. Our corporate offices can be reached at 516-478-4100.

1.2 COI-SMART

Conflicts of interest have become a hot topic in medicine over the last several years. A number of high profile cases, along with changes to government reporting requirements by the IRS and the National Institutes of Health, have forced healthcare and research institutions to devote significant resources to managing the COI disclosure process and to managing the conflicts that are uncovered through that process. The COI-SMART system was designed to automate what was historically a manual and very labor intensive process.

COI-SMART is designed to accommodate three basic categories of users:

1. "**Respondents**" are users who access the system to complete disclosure questionnaires.

2. "**Reviewers**" are users who are authorized to review and take action on the questionnaires of respondents. (A Reviewer is often also a Respondent).

3. "**Administrators**" are users with full administrative rights to the system. They can design and publish questionnaires, assign reviewers, modify user profiles, run reports and otherwise manage the COI-SMART system. (An Administrator is often a Respondent and can also be a Reviewer).

The COI-SMART system can provide custom questionnaire content based on a respondent's role (or roles) within the organization. The system can be configured to allow reviewer access to the data depending on criteria that the client establishes, such as employee role, department, and location.

The COI-SMART program is designed to be user-friendly, particularly for respondents who come into contact with the program infrequently. Employees are able to access their questionnaire from anywhere on the Internet to provide initial disclosures and to revise information going forward.

A user (respondent) initially accesses the system when they receive an email from the COI system. That email will include a link which will bring them to a login screen. The first time they access the system they will be asked to set a unique password. They will then be brought to a customizable announcement screen which will introduce them to the COI-SMART system. Reminder emails can also be configured to remind respondents to submit questionnaires.

When answering the questionnaire, respondents proceed through a series of intuitive and easy-to-navigate screens to answer questions. When they have completed every required question, they will be asked if they want to submit their questionnaire.

COI-SMART includes a module that allows an authorized individual to manually enter questionnaire responses on behalf of someone else, so that the information originally provided on paper can then be analyzed and reported electronically. If desired, a paper form can be scanned and uploaded as a supporting document.

Once questionnaires are submitted, they are immediately available for review. At any time thereafter, respondents may access their submitted questionnaire to review and, if desired, revise their answers. The system retains both the original and the revised answer.

The system includes a document library where the client can make their policies, procedures, forms, etc. available for access by respondents and reviewers.

Questions can be designed so that any particular response will trigger an additional question asking for more detail. Policies can be built into the question structure. For example, a client may decide that a gift of less than $50 does not require additional follow up. The system can track this item but not require that it be reviewed. Or it can be sent to a reviewer who can then simply click on a Review Action saying "No Further Action Required".

Specific questions can be directed to specific reviewers. Research Reviewers can be notified about submissions from researchers, and can correspond directly with respondents to obtain further clarification on their responses.

Reviews can be completed immediately upon submission by the respondents.

The COI-SMART system was designed to do more than simply manage the collection of COI Disclosures. The system is designed to manage ***conflicts*** that are uncovered through the disclosure process. The COI-SMART review process distinguishes this program from others on the market.

The COI-SMART review process enables and tracks detailed communication between reviewers and respondents. Correspondence may include attachments, which can be uploaded by reviewer or respondent.

A reviewer can conduct either a Simple or an Advanced Search to filter respondents for follow-up by department, role, completion status, disclosure status, etc.

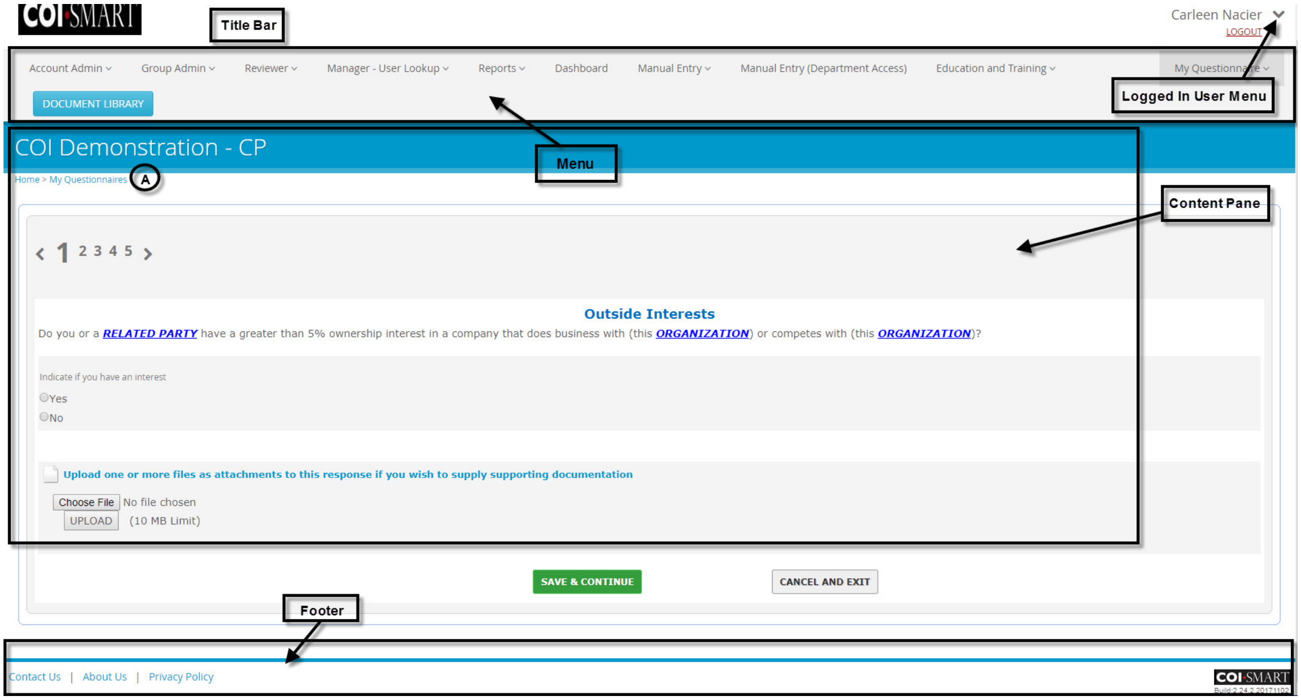
Members of a review committee may be assigned as reviewers, or a single reviewer can forward disclosure information to committee members if desired. Worksheets can be created as templates that can then be uploaded or emailed to Committee Members. There may be multiple levels of review, so that items can be escalated and the process may be iterative if desired.

The system has a robust reporting engine. There are a series of standard reports that can be exported to PDF, Excel, CSV or MS Word. Clients also have the ability to design custom reports, which can be programmed and added to the list of available reports.

1.3 Administrator Guide

The purpose of this document is to describe the tools available to administrators of COI-SMART.

1.4 Navigation



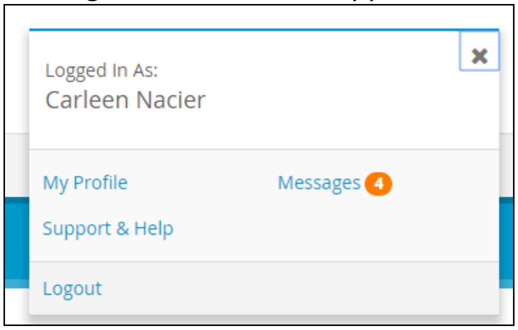
COI-SMART web pages are divided into sections.

Title Bar. This is where the client logo and the user name are displayed. The client logo should be 170px x 60px.

A. "Breadcrumbs". This is a link that displays the current selection off the menu. Breadcrumbs offer users quick navigation links to prior screens.

Menu. This is where available functions are displayed and selected. Access to the items on the menu is assigned by the Administrator under 'Security Profiles'.

Logged In User Menu. This is where the logged in user can access their profile settings, their message center and the support and help contact information.

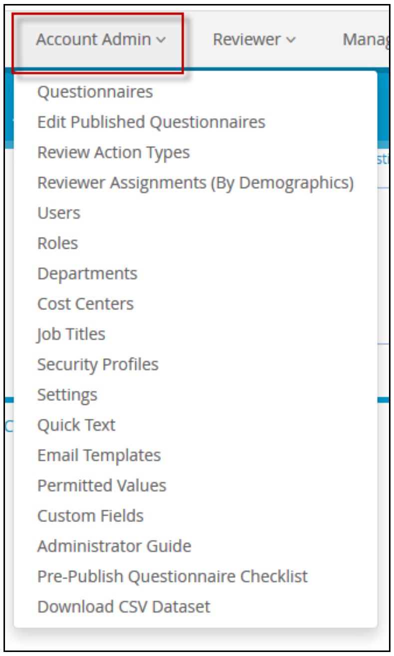


Content Pane. This is where the content of the menu selection is displayed. All transactions are performed in this section.

Footer. This is where links to the client's privacy policy, contact information, and "About Us" page are displayed. COI-SMART version and release number are also indicated here.

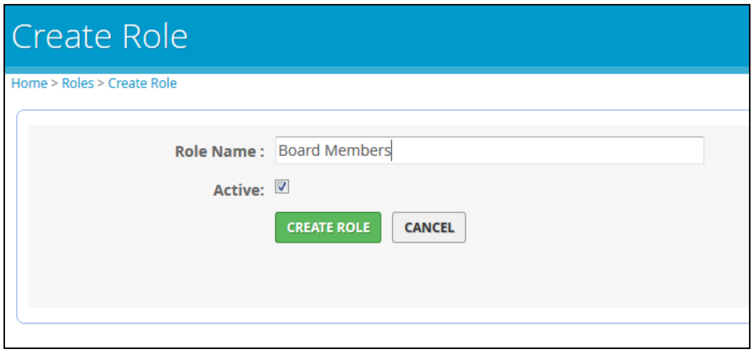
2. Account Administration

On the left navigation menu, click on Account Admin. The following sub-menu displays:



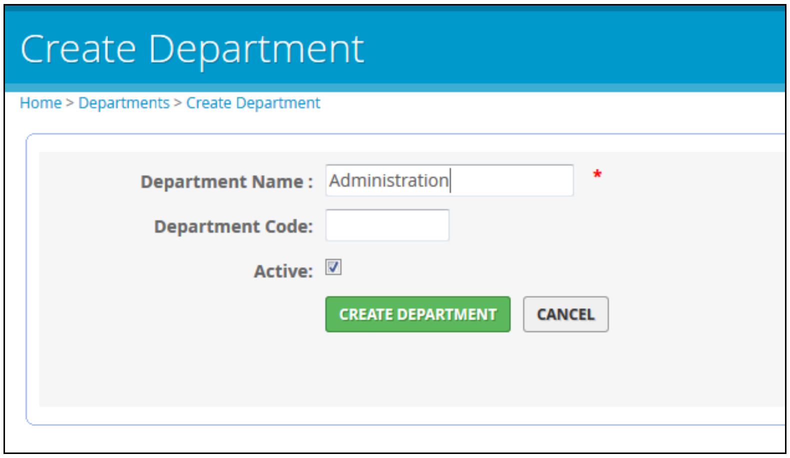
2.1 Roles

Roles are assigned to respondents to determine the questions and/or questionnaires they will receive. Roles are also assigned to questions to determine their associated respondents. Roles are also used for searching, reporting, and reviewer assignment.



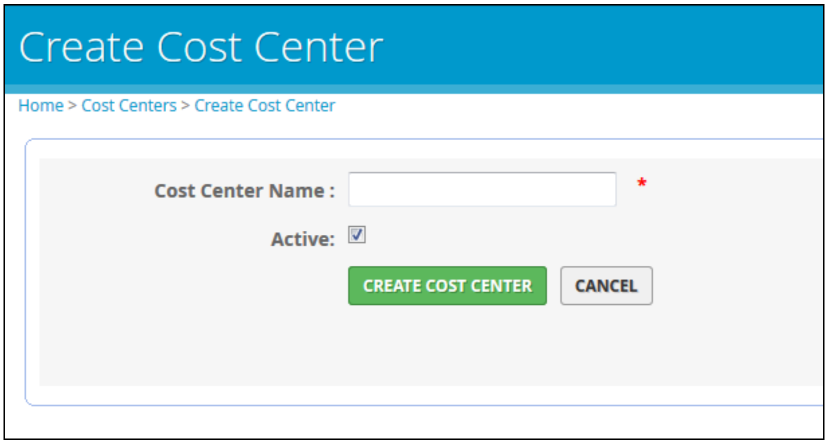
2.2 Departments

Departments are assigned to respondents, and may be used to determine who will review their disclosures. Similarly, reviewers are assigned to departments to determine the respondents whose disclosures they will review. Departments are also used for searching and reporting.



2.3 Cost Center

A Cost Center may be a Facility, Business Unit or Tax Entity on the organization’s accounting ledger. When desired, Cost Centers, along with roles and departments, may be used to assign reviewers. Cost Centers are also used to determine review assignments.



2.4 Permitted Values

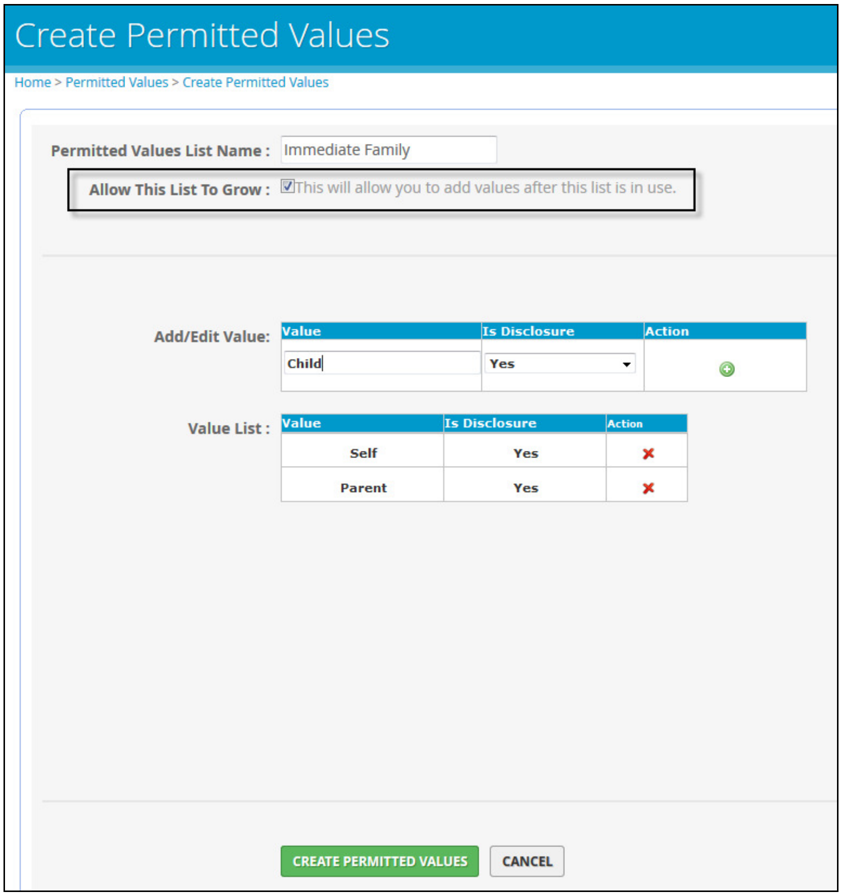
Permitted Values are predefined lists which are shared across all questionnaires. Permitted Value Lists can be used within questions to create "drop-down" lists, or "type ahead" lists (similar to what is used in Google) to simplify and standardize responses. For example, if a question asks the respondent to identify a relationship, a drop down list can offer choices of spouse, sibling, parent, child etc. Alternatively, a list of the top ten Pharmaceutical companies might be used so a respondent can choose "Pfizer" instead of incorrectly typing "Phizer" in a text box. This way data is much cleaner and the database is a more valuable tool for "mining" and reporting data.

There are two types of Permitted Value lists – expandable and non-expandable.

Non-expandable Permitted Value Lists: Once this list type is created and used in a questionnaire (published or unpublished) it cannot be updated – items cannot be added, renamed or deleted. This ensures the integrity of the Permitted Value list in any current or previously used questionnaire(s)

Expandable Permitted Value Lists: With this list type COI-SMART Administrators have the ability to create Permitted Values lists that can grow over time (by adding values), even after the questionnaire is published. This is useful for certain types of Permitted Values lists like vendor lists and lists of ongoing research projects, as new vendors and projects can be added over time.

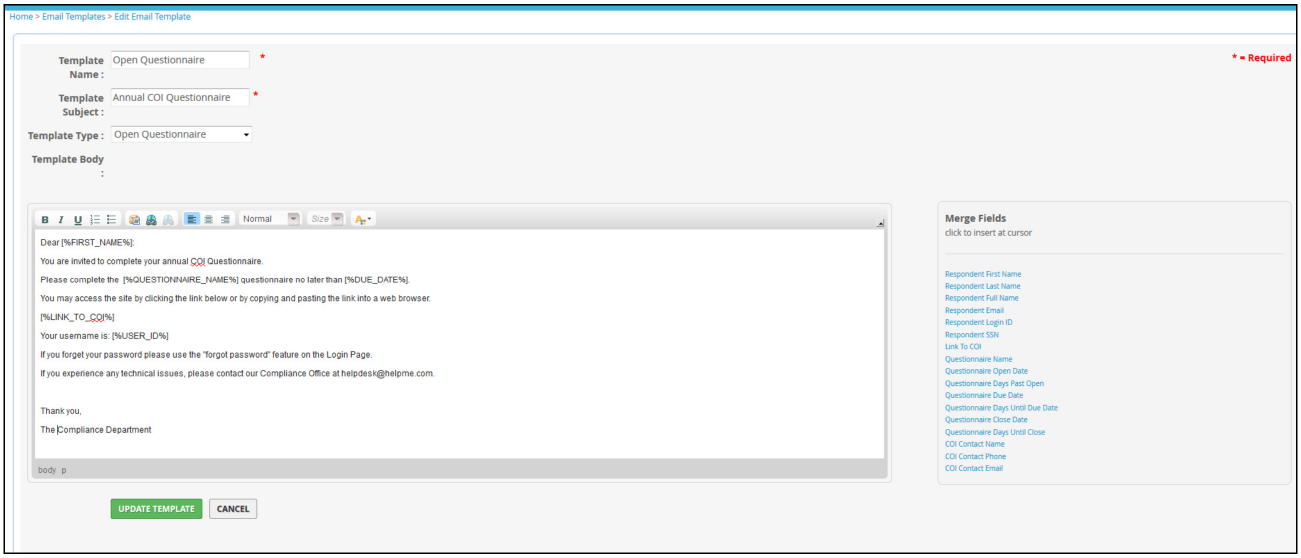
To create a list, enter the List Name and, for each item in the list, click "+" to add. For Non-expandable Permitted Value lists, uncheck the "Allow This List to Grow" checkbox.



Important Note: A non-expandable Permitted Values list cannot be converted to an expandable Permitted Value lists type. If the list is already in use in any questionnaire (published or unpublished).

2.5 Email Templates

Email Templates (created by Administrators) are used to provide standardized, reusable email content for commonly sent messages to both respondents and reviewers. Email Templates may be used at will by reviewers, or they may be used by system-managed triggers, activated by various predefined events.



Each email template is composed of the following information:

Template Name. The ‘name’ field uniquely identifies each email template. Enter a value in the ‘name’ field that clearly represents the purpose of the template.

Template Subject. The value entered into this field will display in the subject line of the email.

Template Type. The 'Template Type' dropdown list determines how each template can be used. The template type list is comprised of:

Expired Password	The system uses the text in this template when it triggers an email to a user upon password expiration.
Lost Password	The system uses the text in this template to send an email to the user upon clicking “Forgot Password?” on the login page.
[1]Open Questionnaire	The system uses the text in this template to send an email to all respondents once the questionnaire’s open date arrives. This email will indicate that the questionnaire is now available for response and will contain a unique link to the questionnaire. See more on emails and passwords below.
Questionnaire Reminder	The text in this template is used by the system for sending email reminders to respondents as scheduled in the Reminders section of Admin / Questionnaires.
Questionnaire Submitted	The text in this template is automatically sent to a respondent as confirmation that their questionnaire was submitted successfully.
Reviewer	Email templates of this type may be sent by reviewers to support any needed correspondence.
Review Action Reminder	If a follow-up date is specified on a review action, an email will be automatically sent to the reviewer on that date using the text in this

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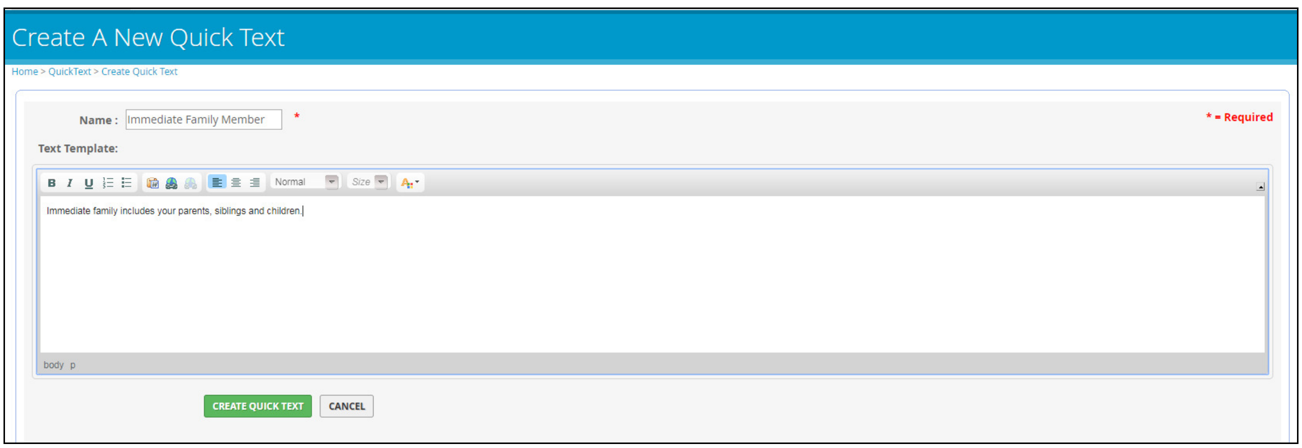
	template.
Revision Notification	The system uses the text in this template to send an email to reviewers as notification that a given respondent revised their questionnaire.
Escalation Notification	The system uses the text in this template to send an email to a given assigned reviewers with a review level matching the escalated value.
Email Questionnaire	The text in this template is used by the system when emailing a PDF copy of the respondent's questionnaire responses to them upon request from the respondent.
Management Plan	The system uses the text in this template to communicate and assign a management plan to a specific respondent.
Weekly Submission Summary	The system uses the text in this template to communicate to Administrators and Reviewers that Respondents have made submissions during the past week.
New Submission Required	The system uses the text in this template to communicate to Respondents that they have had a role update since they submitted their questionnaire and now have additional questions to answer.

2.6. Quick Text

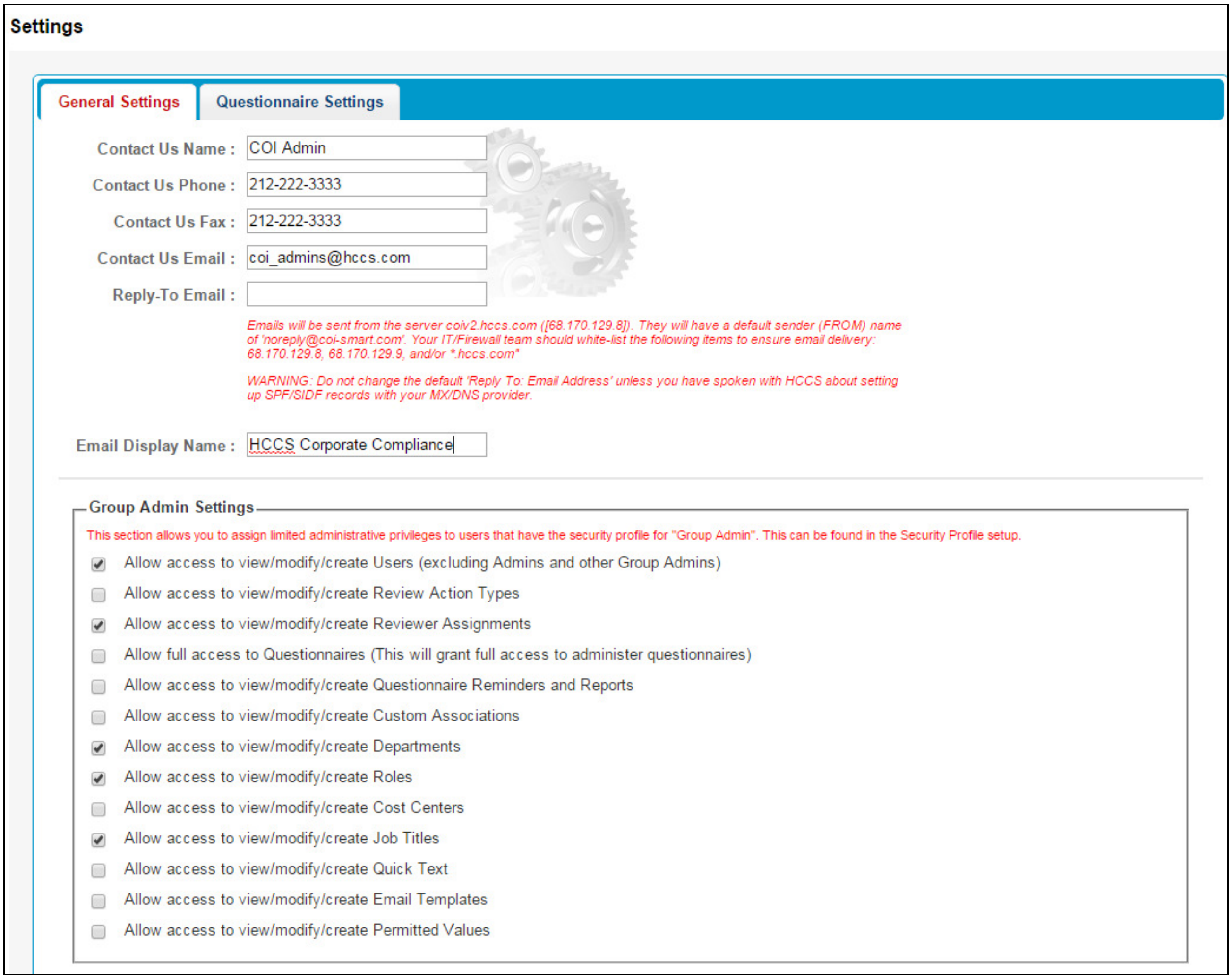
'Quick text' is used to avoid the typing of repetitive text. Click the Quick Text link to display a list of available quick text items and to create new items.

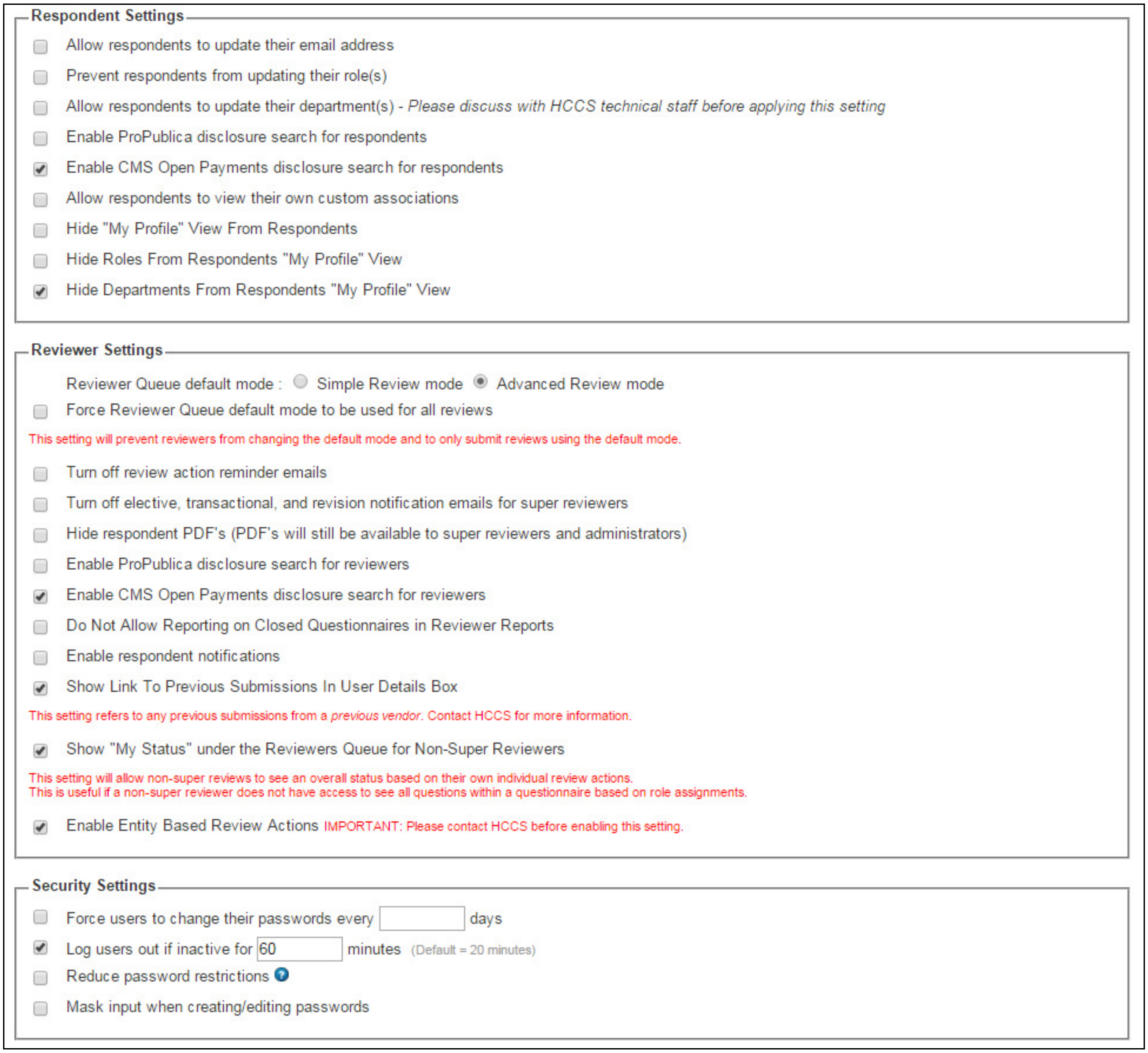


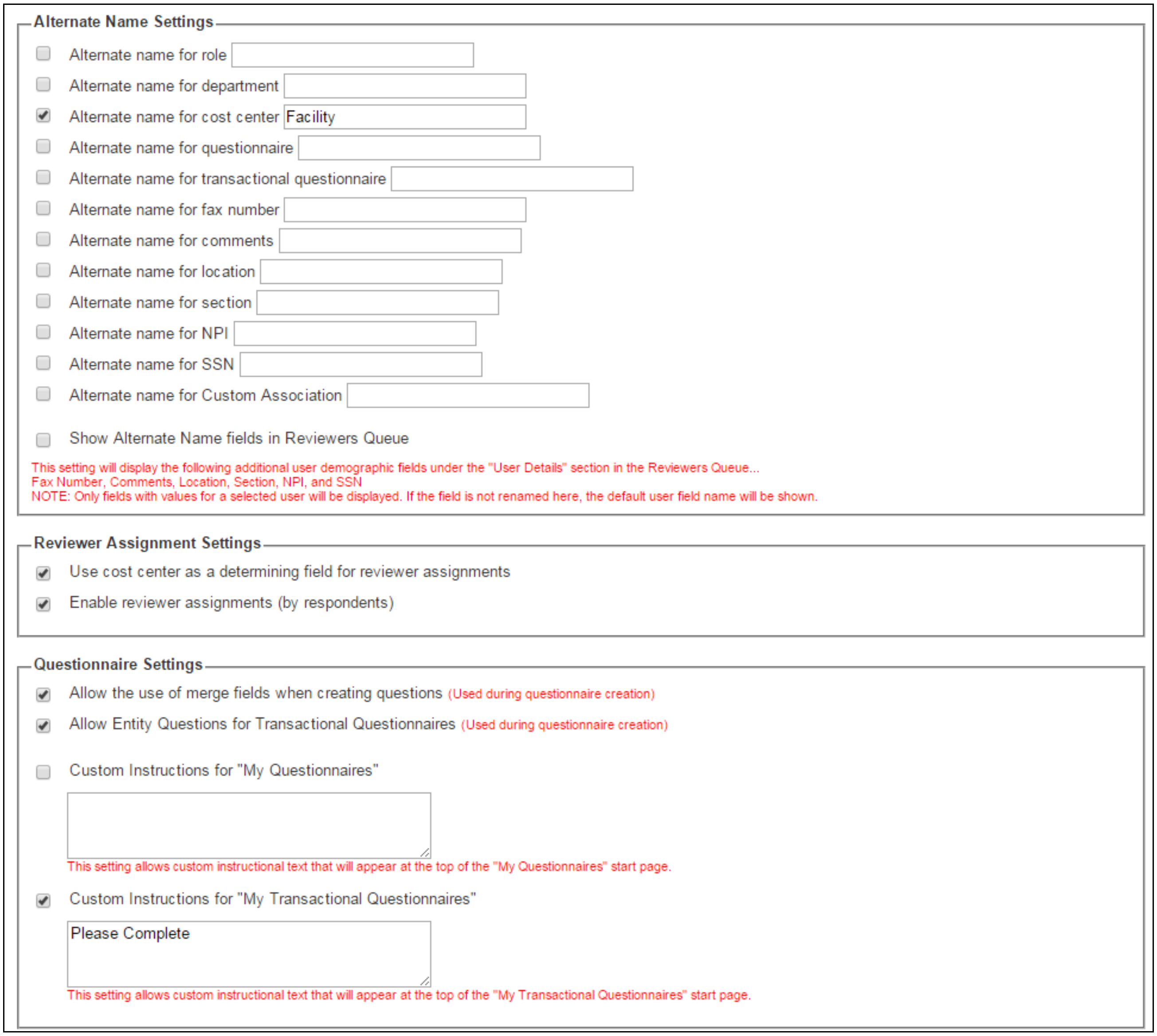
To use Quick Text in an email, review comment, and/or creating questions within a questionnaire, click the Quick Text link. After selecting a template, the contents will be inserted at the current position of the cursor.

2.7. Settings

'Settings' allows administrators to set global options that affect default behavior in various parts of the system. These settings provide a method to customize the system's behavior to properly support your organization's business processes.




Respondent Settings
- [ ] Allow respondents to update their email address
- [ ] Prevent respondents from updating their role(s)
- [ ] Allow respondents to update their department(s) - *Please discuss with HCCS technical staff before applying this setting*
- [ ] Enable ProPublica disclosure search for respondents
- [x] Enable CMS Open Payments disclosure search for respondents
- [ ] Allow respondents to view their own custom associations
- [ ] Hide "My Profile" View From Respondents
- [ ] Hide Roles From Respondents "My Profile" View
- [x] Hide Departments From Respondents "My Profile" View
Reviewer Settings
Reviewer Queue default mode : Simple Review mode Advanced Review mode
- [ ] Force Reviewer Queue default mode to be used for all reviews
This setting will prevent reviewers from changing the default mode and to only submit reviews using the default mode.
- [ ] Turn off review action reminder emails
- [ ] Turn off elective, transactional, and revision notification emails for super reviewers
- [ ] Hide respondent PDF's (PDF's will still be available to super reviewers and administrators)
- [ ] Enable ProPublica disclosure search for reviewers
- [x] Enable CMS Open Payments disclosure search for reviewers
- [ ] Do Not Allow Reporting on Closed Questionnaires in Reviewer Reports
- [ ] Enable respondent notifications
- [x] Show Link To Previous Submissions In User Details Box
This setting refers to any previous submissions from a *previous vendor*. Contact HCCS for more information.
- [x] Show "My Status" under the Reviewers Queue for Non-Super Reviewers
This setting will allow non-super reviews to see an overall status based on their own individual review actions.
This is useful if a non-super reviewer does not have access to see all questions within a questionnaire based on role assignments.
- [x] Enable Entity Based Review Actions IMPORTANT: Please contact HCCS before enabling this setting.
Security Settings
- [ ] Force users to change their passwords every days
- [x] Log users out if inactive for 60 minutes (Default = 20 minutes)
- [ ] Reduce password restrictions
- [ ] Mask input when creating/editing passwords



Alternate Name Settings

- [ ] Alternate name for role
- [ ] Alternate name for department
- [x] Alternate name for cost center: Facility
- [ ] Alternate name for questionnaire
- [ ] Alternate name for transactional questionnaire
- [ ] Alternate name for fax number
- [ ] Alternate name for comments
- [ ] Alternate name for location
- [ ] Alternate name for section
- [ ] Alternate name for NPI
- [ ] Alternate name for SSN
- [ ] Alternate name for Custom Association

- [ ] Show Alternate Name fields in Reviewers Queue

This setting will display the following additional user demographic fields under the "User Details" section in the Reviewers Queue...
Fax Number, Comments, Location, Section, NPI, and SSN
NOTE: Only fields with values for a selected user will be displayed. If the field is not renamed here, the default user field name will be shown.

Reviewer Assignment Settings

- [x] Use cost center as a determining field for reviewer assignments
- [x] Enable reviewer assignments (by respondents)

Questionnaire Settings

- [x] Allow the use of merge fields when creating questions (Used during questionnaire creation)
- [x] Allow Entity Questions for Transactional Questionnaires (Used during questionnaire creation)

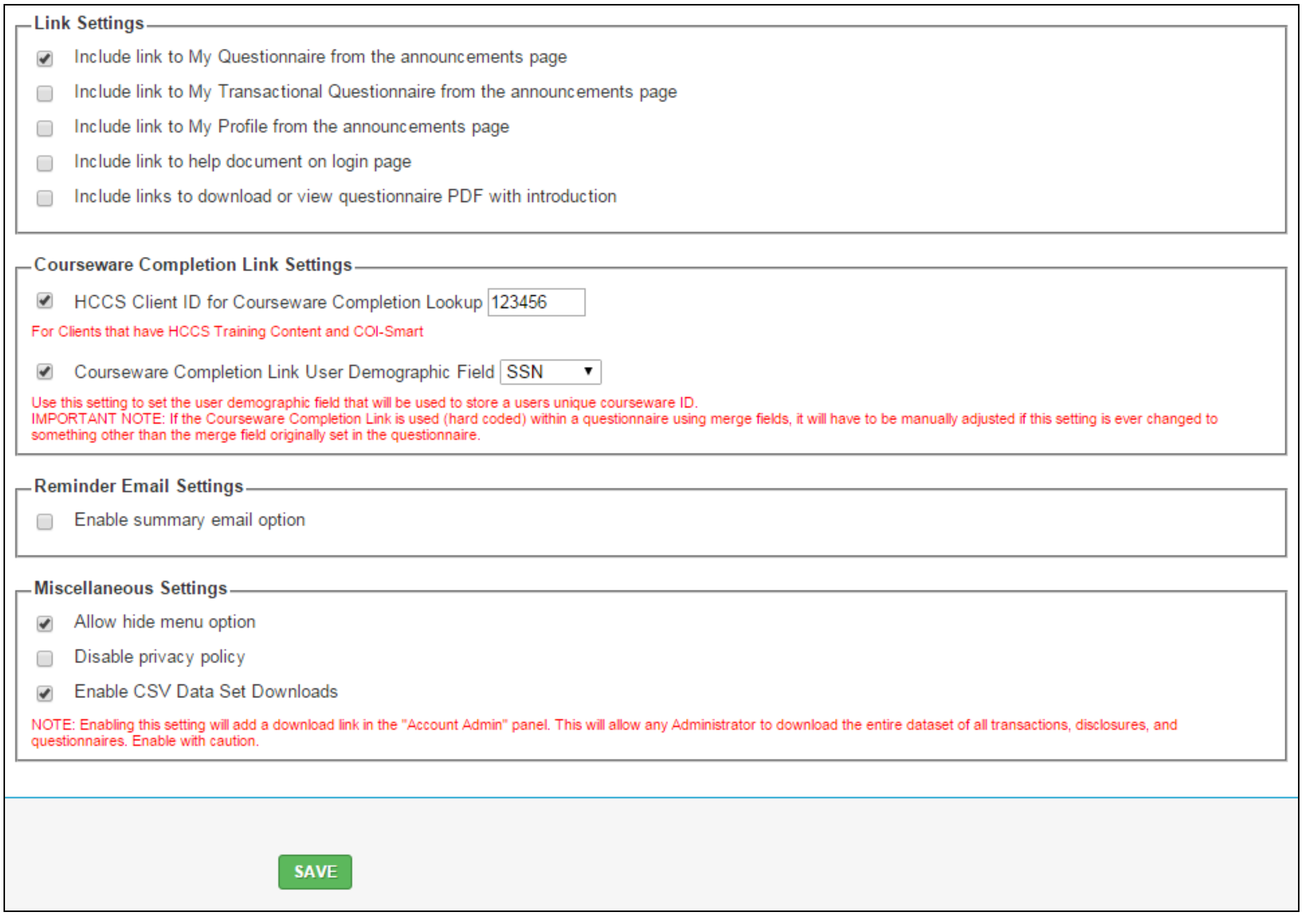
- [ ] Custom Instructions for "My Questionnaires"

This setting allows custom instructional text that will appear at the top of the "My Questionnaires" start page.

- [x] Custom Instructions for "My Transactional Questionnaires"

Please Complete

This setting allows custom instructional text that will appear at the top of the "My Transactional Questionnaires" start page.



Global Settings / General Settings

Contact Us Name. This will appear when clicking on Help.

Contact Us Phone. This will appear when clicking on Help and when clicking on “Contact Us”.

Contact Us Fax. This will appear when clicking on Help and when clicking on “Contact Us”.

Reply-To-Email. This is the sender’s email address on all email messages coming from the system. By default, emails from the COI-SMART system will be sent from the server coiv2.hccs.com (68.170.129.8). They will have a default sender (FROM) name of 'noreply@coi-smart.com'. If you add in an email address from your organization, the emails will still come from COI-SMART, but it will appear as if it were sent by your organizations email. Any replies to the COI emails will then go to your organizations inbox.

Your IT/Firewall team should white-list the following items to ensure email delivery:
68.170.129.8, 68.170.129.9, and/or *.hccs.com"

WARNING: Do not change the default 'Reply To: Email Address' unless you have spoken with HCCS about setting up SPF/SIDF records with your MX/DNS provider.

Group Admin Settings

Allow Access to view/modify/create Users (excluding Admins and other Group Admins). If enabled, this option provides the ability to assign limited administrative privileges to users that have the security profile for "Group Admin"

Allow access to view/modify/create Reviewer Assignments. If enabled, this option provides the ability to view, create or modify Reviewer Assignments to users that have the security profile for "Group Admin".

Respondent Settings

Allow Respondents to update their email address. This option allows respondents to modify their email address. Note that the next automated upload (if applicable) will override this information. If your institution uses frequent automated data uploads, HCCS recommends <u>not</u> enabling this feature.

Prevent Respondents from Updating their Role(s). This option prevents respondents from adding to their existing roles. Note that questions are tied to roles. Since the COI team may not be aware of all the roles a respondent may have, many institutions allow respondents to add additional roles to their profile.

Respondents cannot delete roles assigned by the Administrator, nor can they delete roles automatically assigned by batch upload files.

Allow Respondents to update department(s) – *Please discuss with HCCS technical staff before applying this setting.*
Enable ProPublica disclosure search for respondents. This flag enables a sub-menu for the Propublica Database under the "My Questionnaire" menu. This informs physicians that there is publically available data on monies they may have been received. Physicians can look up information on themselves before disclosing.

Enable CMS Open Payments disclosures search for respondents. This flags enables a link from within COI-SMART to the CMS Open Payments site. This allows the respondent to cross-reference and/or lookup information to disclose in their questionnaire.

Allow Respondents to view their own custom associations. Traditionally, custom associations via the custom table association are only visible to COI-SMART Administrators. If this option is enabled, respondents can view their own custom associations in a grid located below the Support & Help menu. A potential use of this option is to provide board membership visibility.

Hide "My Profile" View From Respondents. This flag prevents respondents from seeing their profile page. The "My Profile" section will not be available to access.

Hide Roles From Respondents "My Profile" View. This flag hides the roles section in the respondents "My Profile" page so that the respondent is unable to see the role(s) they are assigned to as well as other existing roles.

Hide Departments From Respondents "My Profile" View. This flag hides the departments section in the respondents "My Profile" page so that the respondent is unable to see the department(s) they are assigned to as well as other existing departments.

Reviewer Settings

Reviewer Queue default mode. There are two modes for reviewing questionnaires: Simple Mode and Advanced Mode. In "Simple Mode", an entire questionnaire is reviewed with a single review action. In "Advanced Mode", reviewers select to review the disclosures question-by-question. Reviewers can switch between Simple and Advanced review modes despite the default setting. However, once an Advanced Mode (per-question) review has begun on a particular respondent's questionnaire, all future reviews on that respondent's questionnaire must continue in Advanced Mode.

Force Reviewer Queue default mode to be used for all reviews. This setting will prevent reviewers from changing the default mode and to only submit reviews using the default mode.

Turn off review action reminder emails. When a review is performed, the reviewer has the option to enter a reminder date for the next action. If this option is selected, the reviewer will not be sent a review action reminder email that is created and subsequently sent when the reminder is initially scheduled.

Turn off elective, transactional, and revision notifications emails for super reviewers. If selected, super reviewers will not be inundated with unnecessary notification emails as the inherent responsibility of a super reviewer is to actively review disclosures.

Hide Respondent PDFs (PDF's will still be available to super reviews and administrators). If selected, the respondent questionnaire PDF option will be hidden from the reviewer. Policy may require reviewers only have the ability to view and perform reviews for specific roles/questions as per documented reviewer assignments.

Enable ProPublica disclosure search for reviewers. This flag enables a sub-menu for the Propublica Database under the "Reviewer" menu. This allows reviewers to look up public data and compare it to disclosures in COI-SMART.

Enable CMS Open Payments disclosures search for reviewers. This flag enables a link to the CMS Open Payments site from the reviewers queue. If the respondent being reviewed has an NPI number associated to their COI-SMART account, the link will take the reviewer directly to the respondent's record on the CMS site. This allows the reviewer to cross-reference the data in CMS with the data the respondent disclosed.

Do Not Allow Reporting on Closed Questionnaires in Review Reports. When this option is enabled, reports can be generated from only Open Questionnaires.

Enable respondent notifications. When this feature is enabled, Reviewers can send one-off emails to users with the option to include questionnaire name, email type, and email template.

Show Link To Previous Submissions in User Details Box. This setting refers to any previous submissions from a previous vendor. Contact HCCS for more information.

Show "My Status" under the Reviewers Queue for Non-Super Reviewers. This setting will allow non-super reviewers to see an overall status based on their own individual review actions. It is useful for reviewers who do not have access to see all questionnaires based on reviewer assignments.

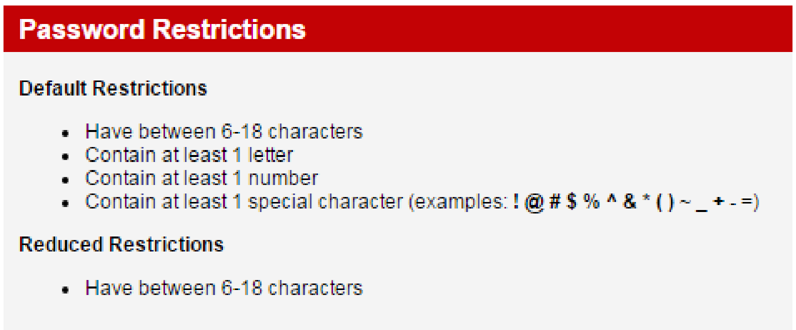
Enable Entity Based Review Actions. This feature allows the Reviewer to reviewer each entity within a question to be reviewed individually.

Security Settings

Force users to change their passwords every X days. Select this option if the organization's policy for network systems also applies to COI-SMART. By default, passwords do not expire.

Log users out if inactive for X minutes. The default automated logout time is 20 minutes. A warning will appear 30 seconds before the timeout. If there has been no activity by the default or selected time, the user will be automatically logged out of the system and be returned to the login screen.

Reduce password restrictions. If unchecked, the following restrictions apply



Password Restrictions

Default Restrictions

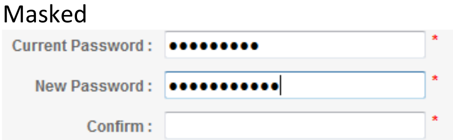
- Have between 6-18 characters
- Contain at least 1 letter
- Contain at least 1 number
- Contain at least 1 special character (examples: ! @ # $ % ^ & * ( ) ~ _ + - =)

Reduced Restrictions

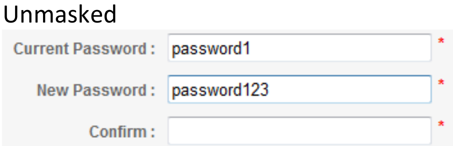
- Have between 6-18 characters

Mask input when creating/editing passwords. This setting will hide the characters when users type in their new passwords.

Masked



Unmasked



Alternate Name Settings

Alternate name for Role. A Role may be a job function (e.g. Physician, Director), question category (Financial Interest, Form 990), or business relationship (Vendor, Contractor). Some clients, medical societies in particular, use an alternate name for Role, such as project names, names of a particular medical conference, or session names within a medical conference.

Alternate name for Department. Depending on the use of COI-SMART, a client may change the name of the department field to an alternative.

Alternate name for Cost Center. Depending on the use of COI-SMART, a client may change the name of the cost center field to an alternative. For example, Business units, tax entities, or facilities.

Alternate name for questionnaire. Depending on the use of COI-SMART, a client may use a different term to reference their questionnaire.

Alternate name for transactional questionnaire. Depending on the use of COI-SMART, a client may change the name of a transactional questionnaire to an alternative. For example, Consent Form.

Alternate name for fax number. Depending on the use of COI-SMART, a client may change the name of the fax number field to an alternative.

Alternate name for comments. Depending on the use of COI-SMART, a client may change the name of the comments field to an alternative.

Alternate name for location. Depending on the use of COI-SMART, a client may change the name of the location field to an alternative.

Alternate name for section. Depending on the use of COI-SMART, a client may change the name of the section field to an alternative.

Alternate for NPI. Depending on the use of COI-SMART, a client may change the name of the NPI field to an alternative.

Alternate name for SSN. Depending on the use of COI-SMART, a client may change the name of the SNN field to an alternative.

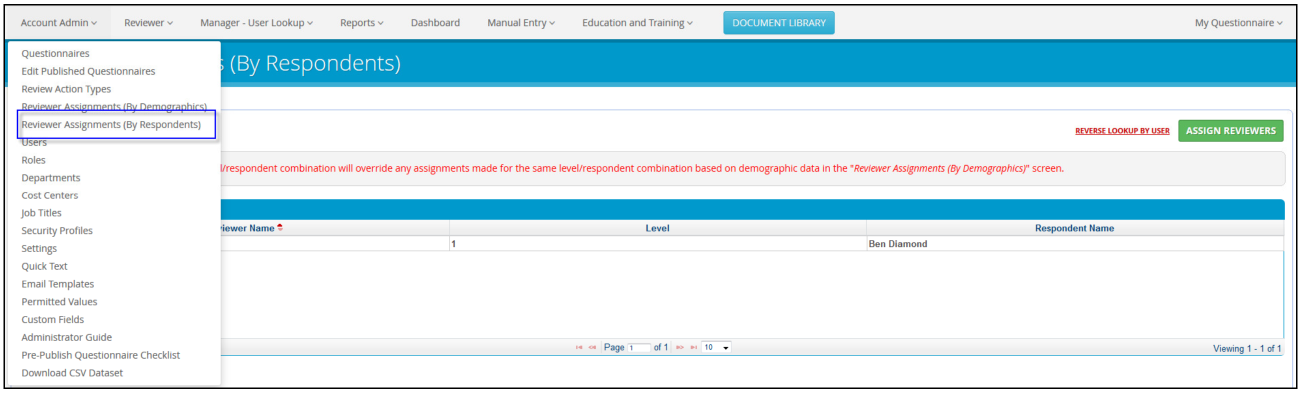
Alternate name for Custom Association. Depending on the use of COI-SMART, a client may change the name of the Custom Association field.

Note: The alternate names will be reflected across the COI-SMART interface, but not on the dataset files used for bulk uploads.

Reviewer Assignment Settings

Use Cost Center as a Determining Field for Reviewer Assignments. In combination with department, cost centers can be assigned to respondents to determine who will review their disclosures. Similarly, reviewers are assigned to cost centers to determine the respondents whose disclosures they will review.

Enabled Reviewer Assignments (by respondents). If selected, a reviewer can be assigned based on a direct reviewer to respondent relationship. For example, a board member's/chair's disclosures may only be reviewed by another board member/chair.



Questionnaire Settings

Allow the use of merge fields when creating questions. If selected, the same merge fields used in email templates, can be used in questionnaire questions.

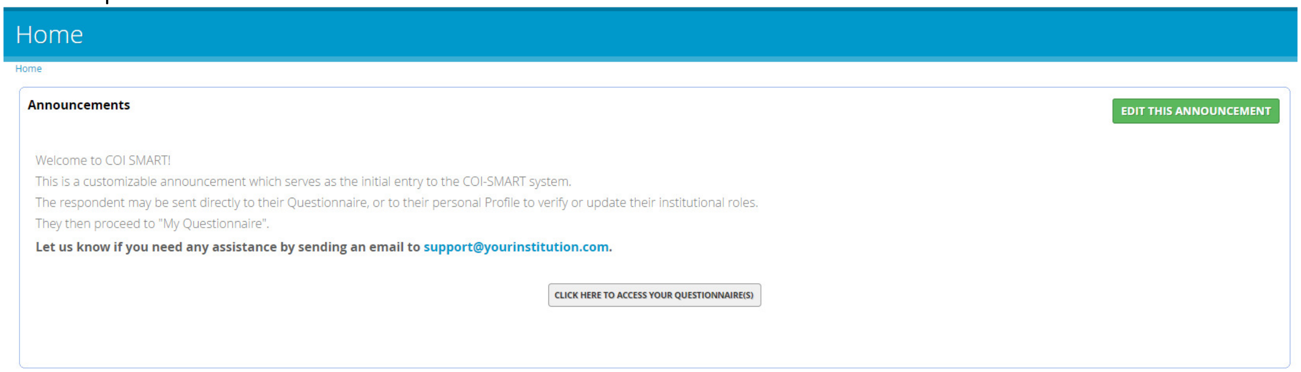
Custom Instructions for "My Questionnaires". This setting allows custom instructional text that will appear at the top of the "My Questionnaires" start page.

Custom Instructions for "My Transactional Questionnaires". This setting allows custom instructional text that will appear at the top of the "My Transactional Questionnaires" start page.

Link Settings

Include Link to My Questionnaire From the Announcements Page. Respondents are presented with the Announcements Page upon login. To access their questionnaire without having to navigate to the My Questionnaires section, a client may choose to put a link to the questionnaires page directly on the announcement page.

For example:



Include Link to My Transactional Questionnaire From the Announcements Page. Respondents are presented with the Announcements Page upon login. To access the transactional questionnaire without having to navigate to the Transactional Questionnaires page, a client may choose to put a link to the transactional questionnaires page directly on the announcement page.

Include Link to My Profile From the Announcements Page. Respondents are presented with the Announcements Page upon login. To access their profile, they will have to navigate to the My Questionnaires section and then My Profile section. To avoid these additional steps, a client may choose to put a link to the "My Profile" page directly on the announcement page.

Include Link to help document on login page. If selected, the administrator can identify the link to include the help document on the login page.

Include links to download or view questionnaire PDF with introduction. If selected, Respondents will have the ability to download and/or view a pdf version of their completed questionnaire.

Courseware Completion Link Settings.

HCCS Client ID for Courseware Completion Lookup. This feature allows clients that have HCCS Training Content and COI-SMART the ability to lookup users' courseware completion status from within the COI-Smart application.

- Allows clients to include a link to users' courseware completion status directly in a questionnaire
- Users / Respondents will see a new button in their "My Questionnaire" tab called "My Courseware Completion Status".
- Reviewers and other users who have the ability to use the "User Summary Lookup" tool will now see a "Courseware Completion Status" button in the lookup tool. This enables reviewers to check on COI Questionnaire status and Courseware completion status in the same interface.

Courseware Completion Link User Demographic Field. If enabled, the admin may choose to use the SSN, Login ID, or Email field in the demographic file as the users unique ID for the courseware.

Reminder Email Settings

Enable summary email option. If enabled, Administrators will be able to schedule reminder emails to Managers containing questionnaire completion status information for the respondents that report to them.

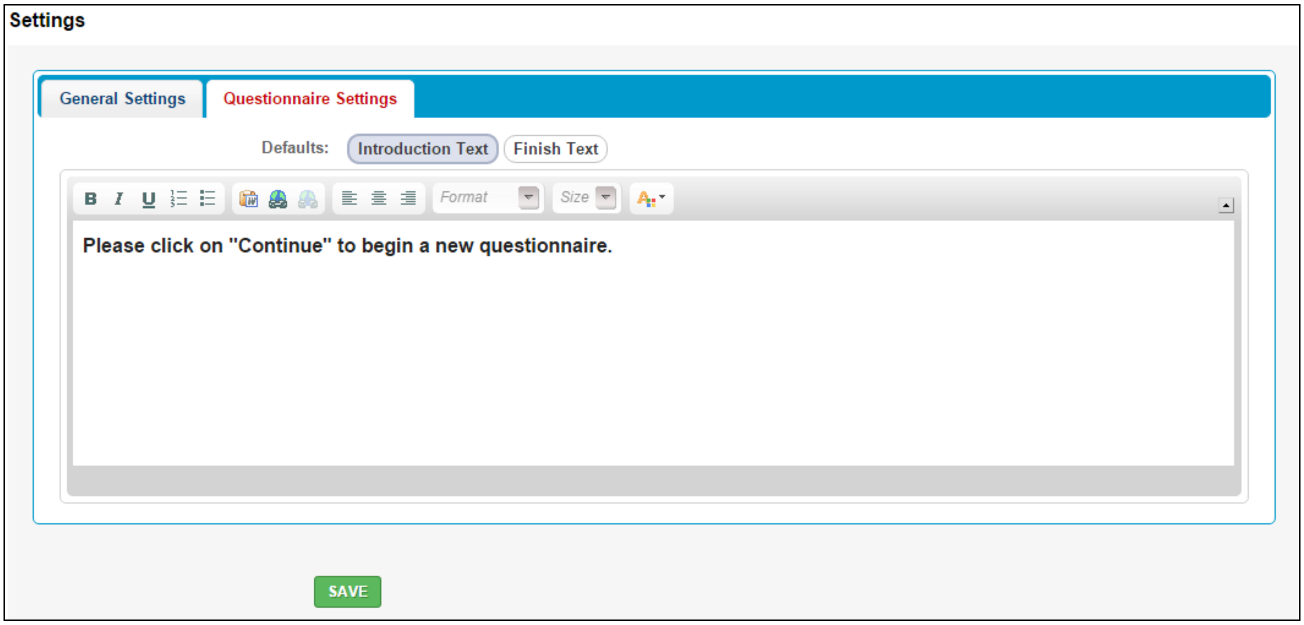
Miscellaneous Settings

Allow Hide Menu Option. If selected, the user is provided the option to hide/unhide the Menu Bar, allowing more space for the Content Pane to display.

Disable privacy policy. If selected, privacy policy link will be removed from the bottom Menu Bar.

Enable CSV Data Set Downloads. If enabled, Administrators will have the ability to download the .csv file to bulk upload user data.

Global Settings / Questionnaire Settings



Default Questionnaire Introduction Text. This is the default pre-amble to every questionnaire. New questionnaires will inherit this message, which can be edited and over-ridden during new questionnaire creation. Use this screen if you expect to use the same questionnaire introduction for almost every questionnaire you create.

Note: This is different from the System Introduction Text which is displayed upon login. The System Introduction Text can be edited by hitting "Home" on the top of any page. System Administrators will have a link to "Edit This Announcement" on the top of the screen.

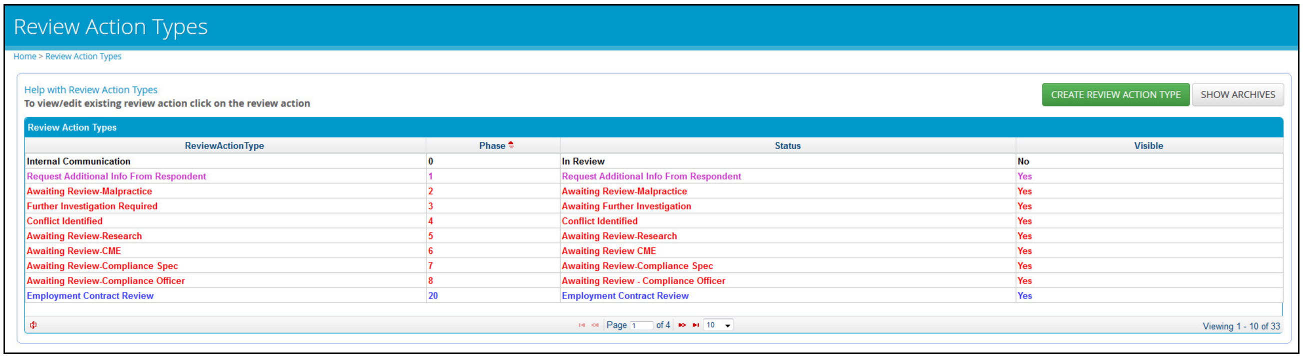
Finish Text. This is the default confirmation statement to every questionnaire. New questionnaires will inherit this message, which can be edited and over-ridden during new questionnaire creation. Use this screen if you expect to use the same questionnaire finish text for almost every questionnaire you create.

2.8 Job Titles.

Job Title is an optional field that can be used for custom reporting. "Job Title" has no effect on the assignment of questions in the questionnaire or on the review process.

2.9 Review Action Types.

Review Action Types are used to determine the current review status of each question under review as well as the current review status of the questionnaire as a whole. Review Action Types can also be used for searching and reporting.



The 'Phase' field stores a numeric value between 0 and 99. The Status of the Review Action Type with the LOWEST Phase value (above 0) displays as the current status for the entire questionnaire.

For example, assume that a particular respondent's questionnaire currently has two questions under review. If question A has a Review Action created whose Review Action Type's Phase = 2, while question B has a Review Action created whose Review Action Type's Phase = 3, question A's Status as defined by the Review Action Type's Status value becomes the current Status for the entire questionnaire as displayed in the Reviewer Screen.

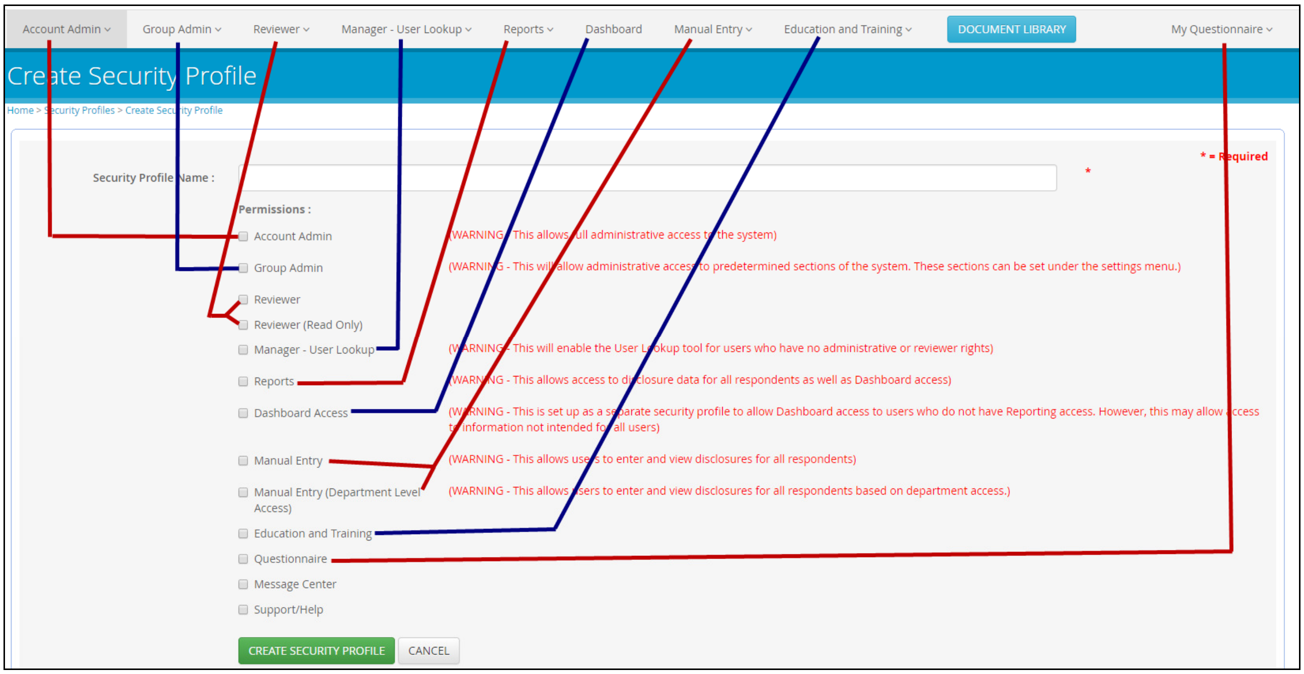
Phase = 0 indicates that a Review Action Type's Status value will not display for either the question or questionnaire. A phase of greater than 0 indicates that the status will display.

The 'Status' field represents the question’s current status. When a question is under review, and a Review Action is created for that question, the Review Action Type's Status value is displayed as the question's current status. As mentioned above, if a single questionnaire has multiple questions are under review simultaneously, the Status value with the lowest Review Action Type Phase value will display as the Questionnaire's current overall status.

The 'Visible' field indicates whether any Status will display as a question's or questionnaire's Status in the Reviewer screen. Any Phase greater than 0 will display while Phase = 0 will not.

2.10 Security Profiles

Security profile enables account administrators to define a set of access rules for users of their system. Each user account on the system is assigned a single security profile that defines access for that user. The Security Profile screen allows administrators to restrict each user to only access screens appropriate for their needs. Each user is assigned a Security Profile before they can access any screens. Each Security Profile contains the rules that dictate which screens a user can access.

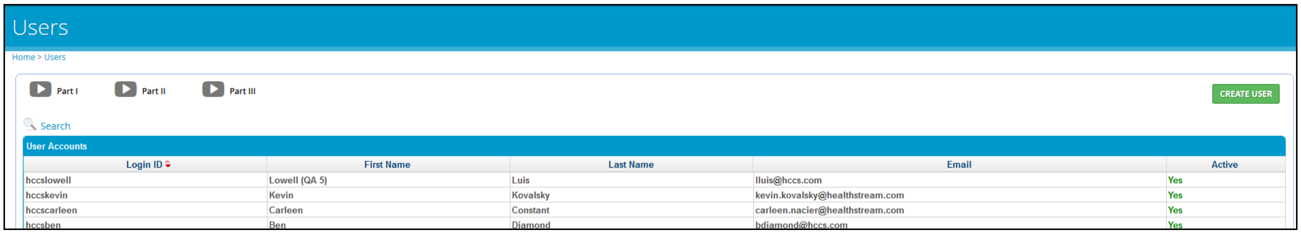


Typical Security Profiles include:

Security Profile Name	Permissions
Administrator	All (Account Admin, Education and Training, Reports, Dashboards, Manager – User Lookup, Manual Entry, Questionnaire, Reviewer, Support/Help)

Sub Admin	Group Admin, Questionnaire, Support/Help
Reviewer	Reviewer , Questionnaire, Support/Help
Reviewer (Read-Only)	Reviewer (Read Only), Support/Help
Respondent	Questionnaire, Support/Help
Manual Entry	Manual Entry, Questionnaire, Support/Help
Manual Entry (Department Level Access)	Manual Entry (Department Level Access), Support/Help
Manager – User Lookup	Manager – User Lookup, Support/Help

2.11 Users



The 'Users' screen provides the ability to maintain user contact and related information. Users can be searched using the Search input area. They can be sorted by any of the column names in the screen shot above by clicking on the blue column title.

Users are categorized according to a security profile: Administrators, Respondents, and Reviewers. As Respondents, they are assigned Roles for questions; they are also assigned Departments (and optionally Cost Center) *for* review and reporting purposes.

To add a new user to the system manually, select "Create User". To edit a particular user's demographic information, click on the user's name and then select Edit. Other options include "Add Memo to User" "User Summary Lookup", "Delete", "Deactivate", "Terminate" or "SendEmail".

Click on “Add Memo to User”. The memo functionality allows an Administrator, Manager or Reviewer (based on Security Profiles) to document respondent-specific information and communication ***prior to*** the respondent being assigned to or completing a questionnaire.

Click on “User Summary Lookup” to see if a respondent has submitted an assigned questionnaire. This view will show the respondent’s assigned departments and reviewers.

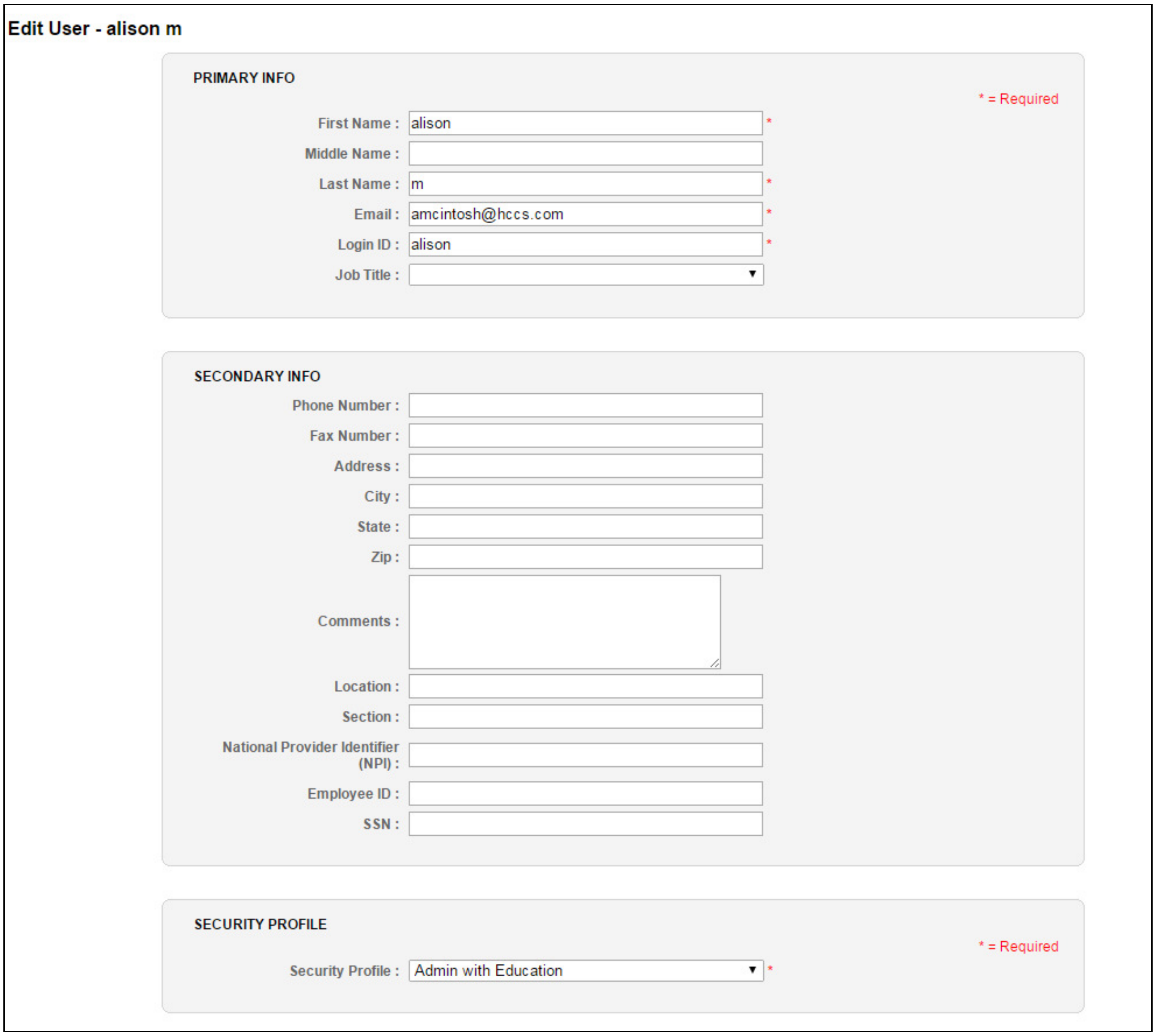
Use the "Delete" action when you want to remove the user from the database, including reports. This is especially useful if a respondent was added in error.

Use the "Deactivate" action to restrict a user from logging in while still enabling their data on reports. This feature is especially useful for respondents on leave, inactive Board Members, and others when you need to report on their disclosures for several years after they depart the Board.

Use the "Terminate" action when a respondent is no longer employed or affiliated with the organization and you no longer want the respondent to appear on reports. You can "Un-Terminate" the respondent if they are re-hired or if you later find that you need their data to appear on reports.

This last option (“SendEmail”) is particularly useful when respondents claim that they have not received an automated announcement or reminder for a particular questionnaire. An Administrator can manually send a specific questionnaire announcement email to a respondent while speaking with the respondent on the phone and can ensure receipt.

Here are the fields of the “Edit” option:


Edit User - alison m

PRIMARY INFO

* = Required

First Name : alison *

Middle Name :

Last Name : m *

Email : amcintosh@hccs.com *

Login ID : alison *

Job Title :

SECONDARY INFO

Phone Number :

Fax Number :

Address :

City :

State :

Zip :

Comments :

Location :

Section :

National Provider Identifier (NPI) :

Employee ID :

SSN :

SECURITY PROFILE

* = Required

Security Profile : Admin with Education *

First Name. User's First Name. *Required*.

Middle Name. User's Middle Name.

Last Name. User's Last Name. *Required*.

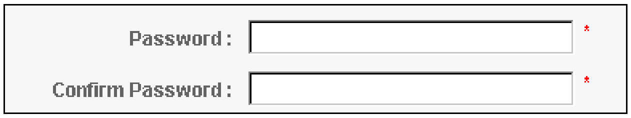
Email. User's email address. This is a unique identifier for the user. *Required*.

Tip: If an email address does not exist, use firstname.lastname@coinoemail.com as a placeholder until a valid email address can be entered. The system will not send announcements and reminders to emails with the domain name: coinoemail.com.

Username. User's Login ID. *Required*. Some clients use email address for Email AND for username.

Force Password Change. Check this flag to expire a user's password immediately.

Password and **Confirm Password**. When creating a new user in the Admin Account / Users area, two additional Password fields will be shown: **Password** and **Confirm Password**.



You will need to communicate the password you set on this screen to the user, either by phone, email or some other method outside of the COI-SMART system.

Users who are created in bulk via automated demographic upload files will have no password assigned to them. When a questionnaire is ready for one of these users, a unique email will be sent to them containing a custom link, enabling them to set their own password before logging in.

Tip: For information on user's first-time password setting and COI-SMART links embedded in announcement emails, please see section 3.2.2, "Custom URL" in the Troubleshooting section of this guide.

Note: When editing a previously-created user's account, you cannot see their password, however, you can reset it by clicking the "Change Password" link on the bottom-right of the screen.

For more information on passwords, see 3.2.2, "Security", in the Troubleshooting section of this guide.

Super Reviewer. Check this option to provide a user access to review all questionnaires, regardless of Role or Department assignment.

Locked. This option will be automatically selected if users mistype their password more than five times in three consecutive minutes. The selection means that the user will be temporarily unable to log in. The option will be automatically deselected after 30 minutes. You can manually deselect this option to enable the user to re-attempt to log in if they call for assistance before the 30 minute timeout.

Note: this option may be used to manually lock a user out of the system. With a manual lock, the system does not automatically deselect after 30 minutes. To prevent a user from logging into the system, use the "Active" setting below.

Phone Number. User's phone number.

Fax Number. User's fax number.

Address. Work or residence address.

City. Work or residence city.

State. Work or residence state.

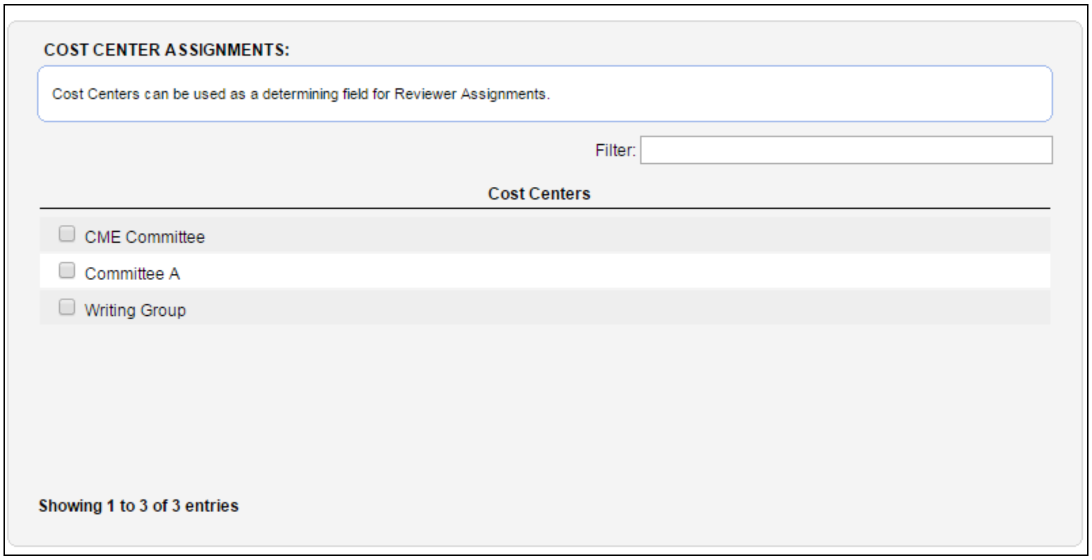
Zip. Work or residence zip Code.

Comments. Notes.

Location. Facility or Ship-to

Section. Lot or Division

Cost Center. Select from a drop-down list. Optional. Cost Center will only display if Cost Centers have previously been created via batch upload files.



A planned enhancement will allow an administrator to manually create Cost Centers so they will be visible in this screen.

National Provider Identifier. This field is reserved for National Physician/Provider ID which may be used in conjunction with the provisions of the Physician Payment Sunshine Terms of the Affordable Care Act. Optional. Respondents and/or reviewers (based on your site settings) can click on the CMS link which will then take them directly to the CMS site, and take reviewers directly to the respondents CMS record to cross-reference the disclosure information in COI-SMART with CMS.

Employee ID. User's Employee ID. Optional.

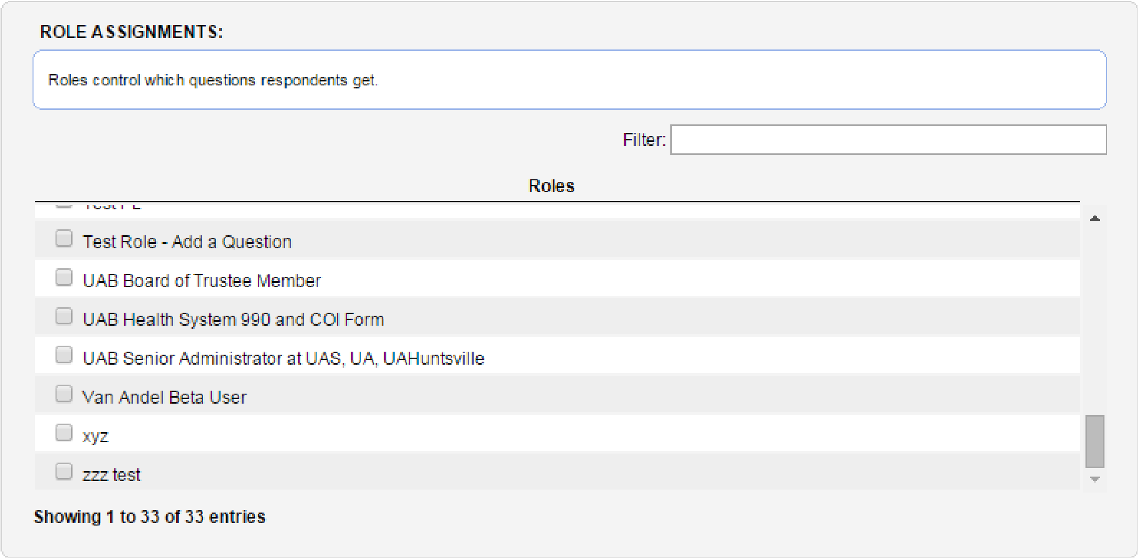
SSN. User's Unique ID. Optional. Clients are encouraged <u>not</u> to input Social Security Number. This field is provided for legacy purposes from a previous version of the system. You may use this field for additional identifiers.

Active. User's status. If not active, the user will not be able to log in.

Security Profile. Select from a drop-down list. *Required*.

Job Title. Select from a drop-down list. Optional, however, this may be used for 990 reporting. The Job Title selection tool is only available if a Job Title has been defined in the "Job Titles" administration tool or added through the user demographic data file.

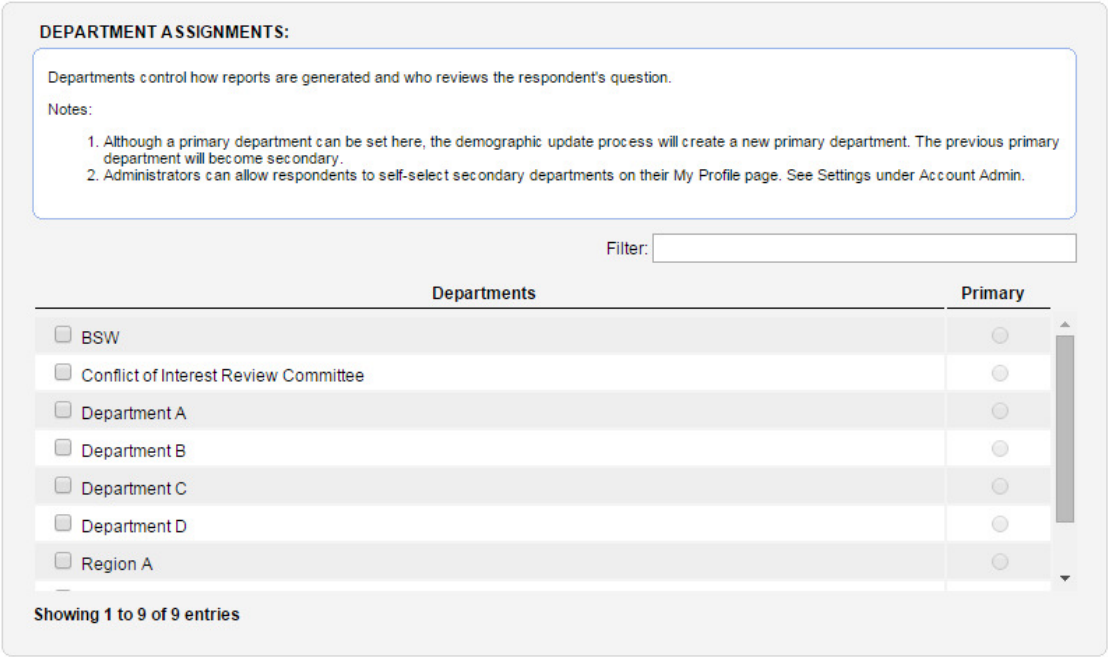
Role. Select from a list box. You can select more than one role. *Required*. Selections made here by the Administrator cannot be de-selected in the "My Profile" page by respondents. Similarly, Role selections pre-set by demographic upload files may not be de-selected in the "My Profile" page by respondents.



Department. Select from a list box. You can select more than one department. *Required*.

This controls how reports are generated and who reviews the respondent's questionnaire.
Notes:

1. Although a primary department must be set here, the demographic upload process will create a new primary department; the previous primary department will become secondary.
2. Administrators can allow respondents to self-select secondary departments on their My Profile page. See Settings under Account Admin.

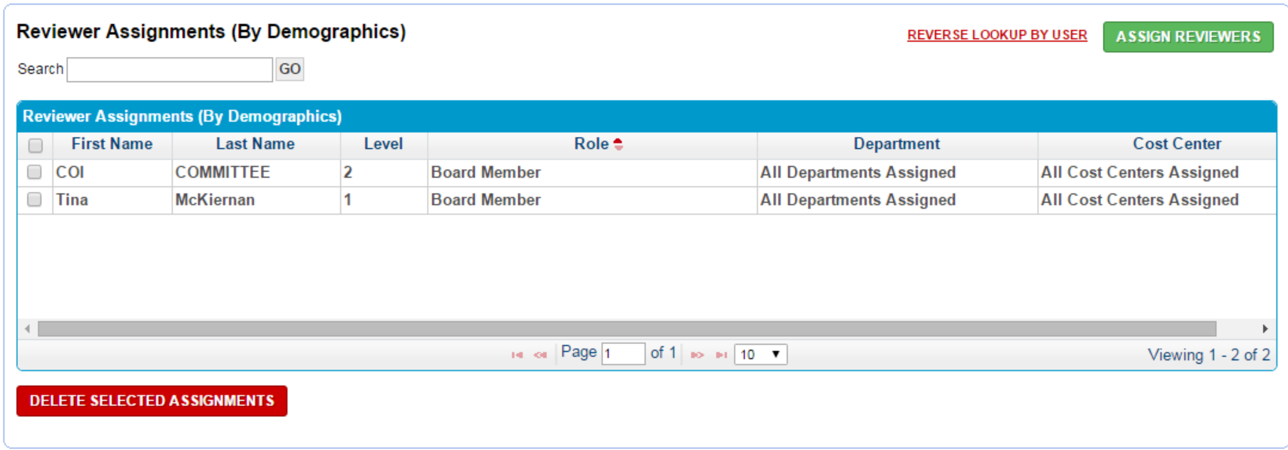


Primary Department. Select from a drop-down list. Primary Department is used in standard reporting. *Required*.

2.12 Reviewer Assignment

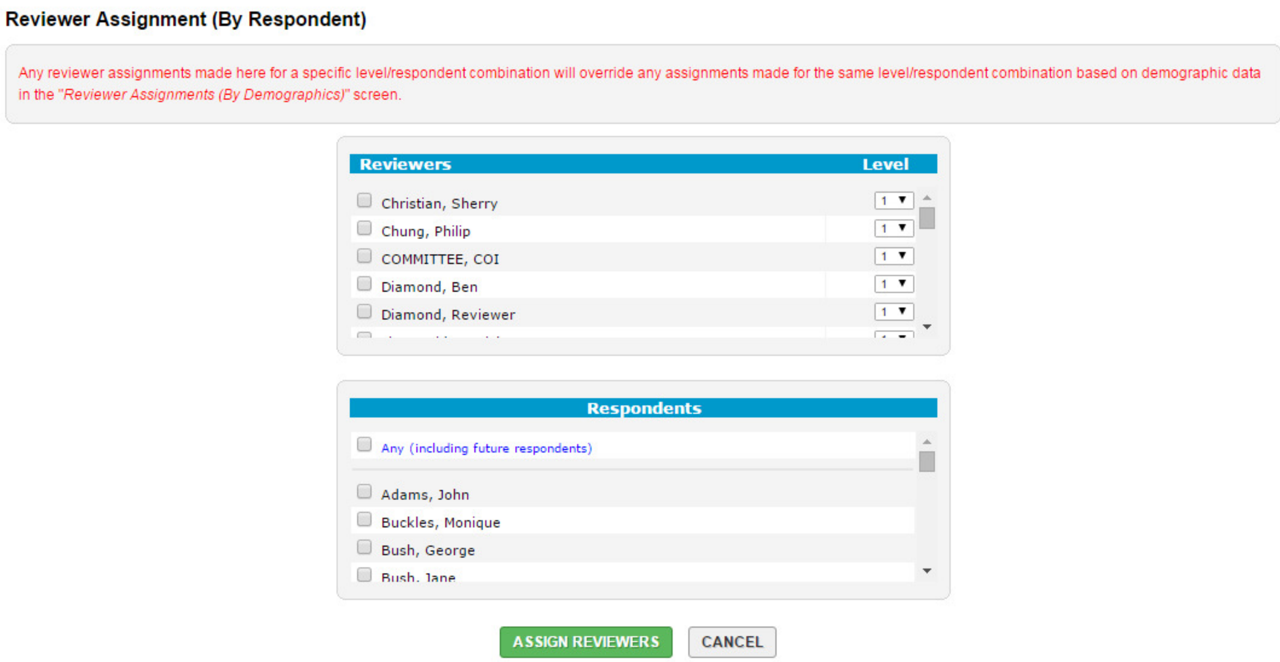
Review Assignment (By Demographics)

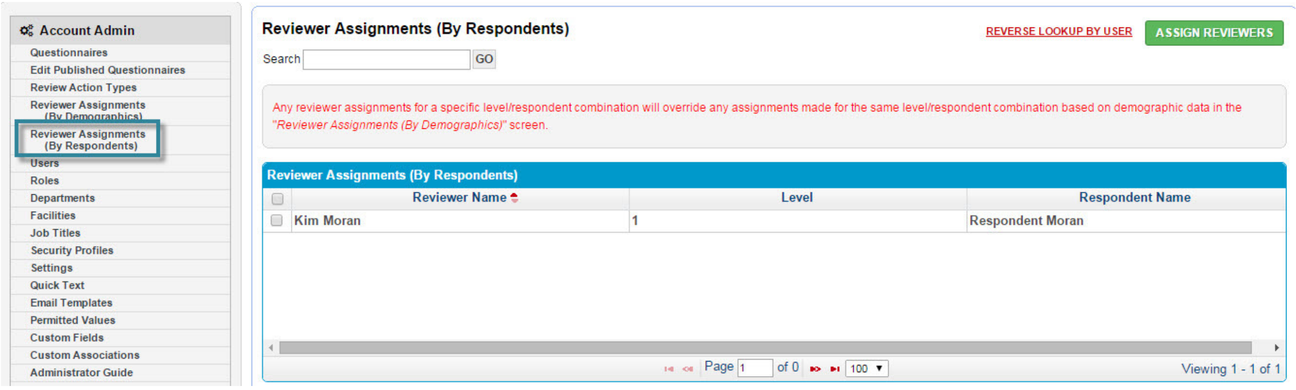
The Reviewer Assignment (By Demographics) screen establishes the respondents to be reviewed by specific reviewers. Each reviewer will be responsible to review any questionnaire completed by a respondent whose role, department, and/or cost center matches a role, department, and/or cost center assigned to the reviewer through this screen. In other words, each reviewer is assigned roles, departments and/or cost centers. If one of these assigned matches one assigned to a respondent, the reviewer will be responsible to review any questionnaire completed by that respondent.



Review Assignment (By Respondents)

The Reviewer Assignment (By Respondents) screen establishes the respondents to be reviewed by specific reviewers. Unlike the Reviewer Assignment (By Demographics), this option creates review assignment based on a direct reviewer to respondent relationship regardless of role or department. For example, a board member's/chair's disclosures may only be reviewed by another board member/chair.



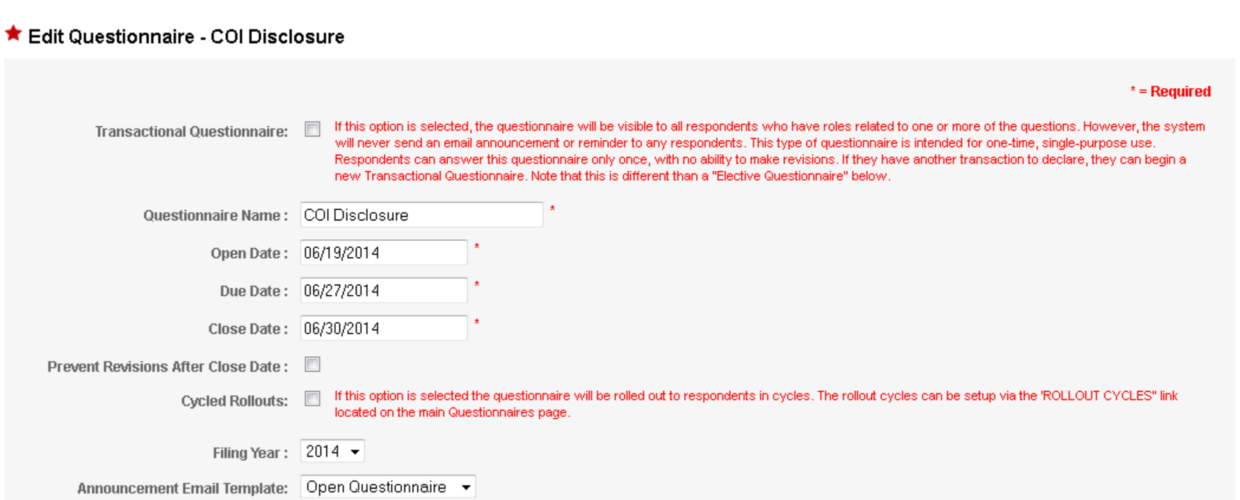


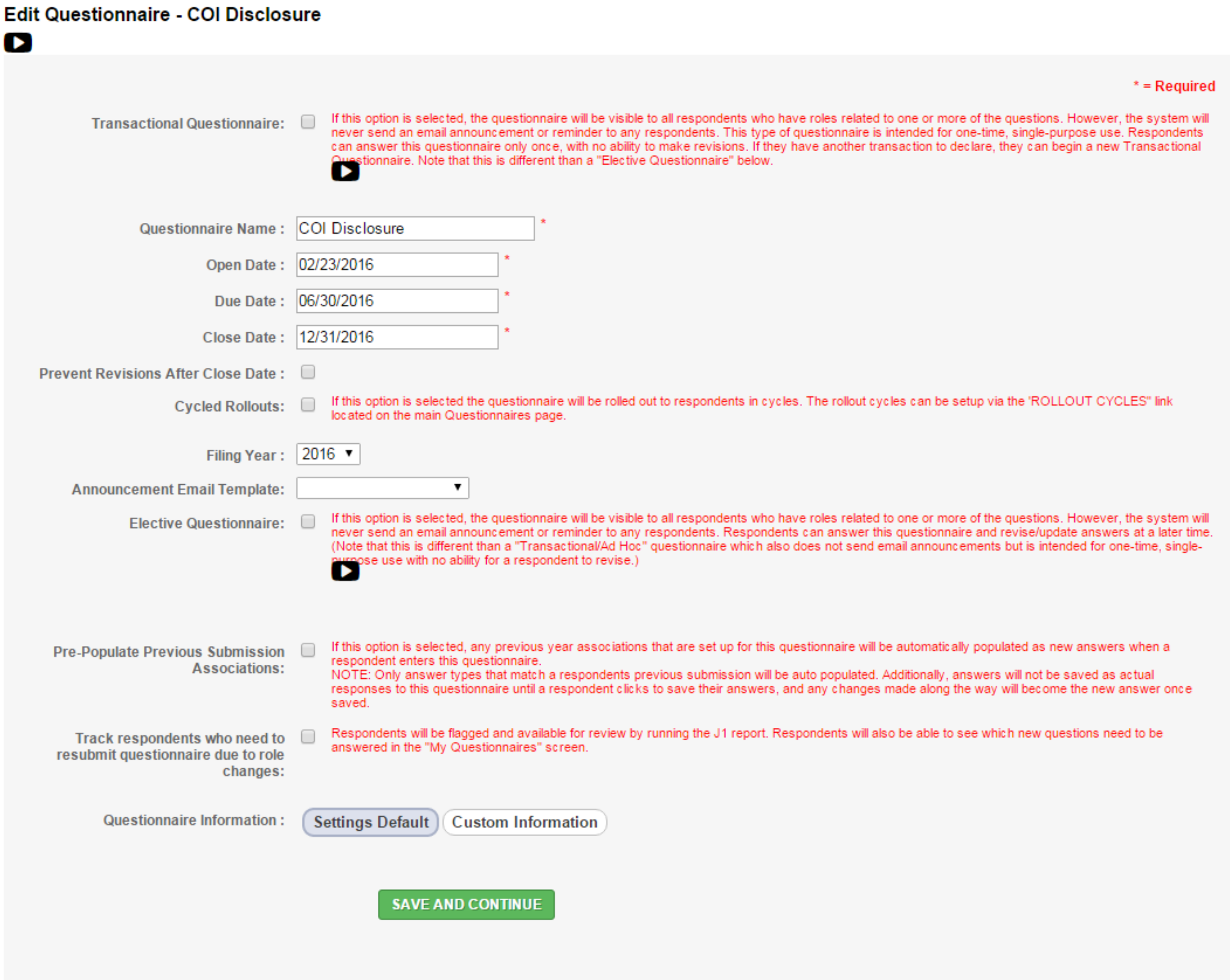
2.13 Questionnaires

A Questionnaire is a research instrument consisting of a related series of questions and other prompts for the purpose of gathering information from respondents. The Questionnaires list displays all questionnaires---open or closed---for an organization. The Questionnaire link enables the creation and customization of Questionnaires.

2.13.1 Edit

To add or edit a questionnaire, enter the following information:





Field	**Purpose**
Transactional Questionnaire	If this option is selected, the questionnaire will be visible to all respondents who have roles related to one or more of the questions. However, the system will never send an announcement or reminder to any respondent. This type of questionnaire is intended for one-time, single-purpose use. Respondents can answer this questionnaire only once, with no ability to make revisions. If they have another transaction to declare, they can begin a new transactional questionnaire. Note that this is different than an “Elective Questionnaire” below.
Name	The 'Name' field uniquely identifies a questionnaire for a given year. The combination of Name and Filing Year uniquely identify each questionnaire
Open Date	The 'Open Date' field specifies the date when a particular questionnaire may become available to respondents. A questionnaire will not show up in respondent's queue before this date and announcement emails will not

	be sent before this date.
Due Date	The 'Due Date' field is merely a display date for respondents in the My Questionnaire screen. This sets an expectation of final submission due date for respondents, but does not prevent respondents from action after the date has passed.
Close Date	The 'Close Date' field specifies the last day for a submission or revision to the questionnaire or any of its questions. Depending on Settings options, respondents may be allowed to submit after this date.
Prevent Revisions After Close Date	The 'Prevent Revisions After Close Date' field prevents Respondents from being able to make revisions to their responses after the Close Date.
Cycled Rollouts	If this option is selected the questionnaire will be rolled out to respondents in cycles. The rollout cycles can be setup via the 'ROLLOUT CYCLES' link located on the main questionnaires page.
Filing year	The 'Filing year' field specifies the year when a particular questionnaire is supposed to be filed or was filed. The combination of Name and Year uniquely identify each questionnaire.
Announcement Email Template	When the open date arrives, announcement emails may be generated automatically or manually. The content of the message is encapsulated in an email template. The name of that template is assigned to the questionnaire.
Elective Questionnaire	If this option is selected, the questionnaire will be visible to all respondents who have roles related to one or more of the questions. However, the system will never send an email announcement or reminder to any respondent. Respondents can answer this questionnaire and revise/update answers at a later time. Note that this is different than a "Transactional/Ad Hoc" questionnaire which does not send email announcements, but is intended for one-time, single-purpose use with no ability for a respondent to revise.
Pre-Populate Submission Associations	If the 'Pre-Populate Submission Associations' option is selected, any previous year associations that are set up for this questionnaire will be automatically populated as new answers when a respondent enters the questionnaire. NOTE: Only answer types that match a respondents previous submission will be auto populated. Additionally, answers will not be saved as actual responses to this questionnaire until a respondent clicks to save their answers, and any changes made along the way will become the new answer once saved.
Track respondents who need to resubmit questionnaire due to role changes	The system will track new roles assigned to a respondent after a questionnaire has been submitted, if they require new questions to be answered.

Send email to respondents who need to resubmit questionnaire due to role changes	An email will be sent automatically via an overnight process.
New Submission Required Email Template	The system will automatically send a new type of email announcement asking the respondent to revise their questionnaire by answering new questions.
Custom Information Button	
Introduction Text	This field contains the text that respondents see first when they open a questionnaire. For example, this field may be used to display a pre-amble before a respondent can begin responding to any question in a questionnaire. Text here over-rides general introduction text set in the Global Settings.
Finish Text	This field contains text displayed at the end of the questionnaire submission process, prior to clicking the Submit button. As soon as all questions are completed the finish screen displays. Text here over-rides general introduction text set in the Global Settings.

Add Questions

Questions can have a main question and sub-questions. The main question is the first text the respondents see as they navigate from one question to another. Based on the respondent's response to the main question, additional sub-questions may be displayed to the respondent, requiring additional responses to completely answer a single question.

For example,

1. Outside Interests [Main Question]. Do you or a family member have a greater than 5% ownership interest in a company that does business with (this organization) or competes with (this organization)?

- Yes
- No

1.1. [Sub-Question] If yes, who has the interest?

- Self
- Spouse
- Parent
- Sibling
- Child

1.2. [Sub-Question] If yes, state the company. ____________

1.3. **[Sub-Question]** If yes, what is the ownership interest? ____________

2. Elected Officials [Main Question]. Have you made or received any payment to or from a government official?

- Yes

- No

2.1 [Sub-Question] If yes, who was the government official? ____________

2.2 [Sub-Question] If yes, what was the amount of the payment?

  - <$100
  - $101 - $500
  - > $500

2.3 [Sub-Question] If yes, describe the situation. ____________

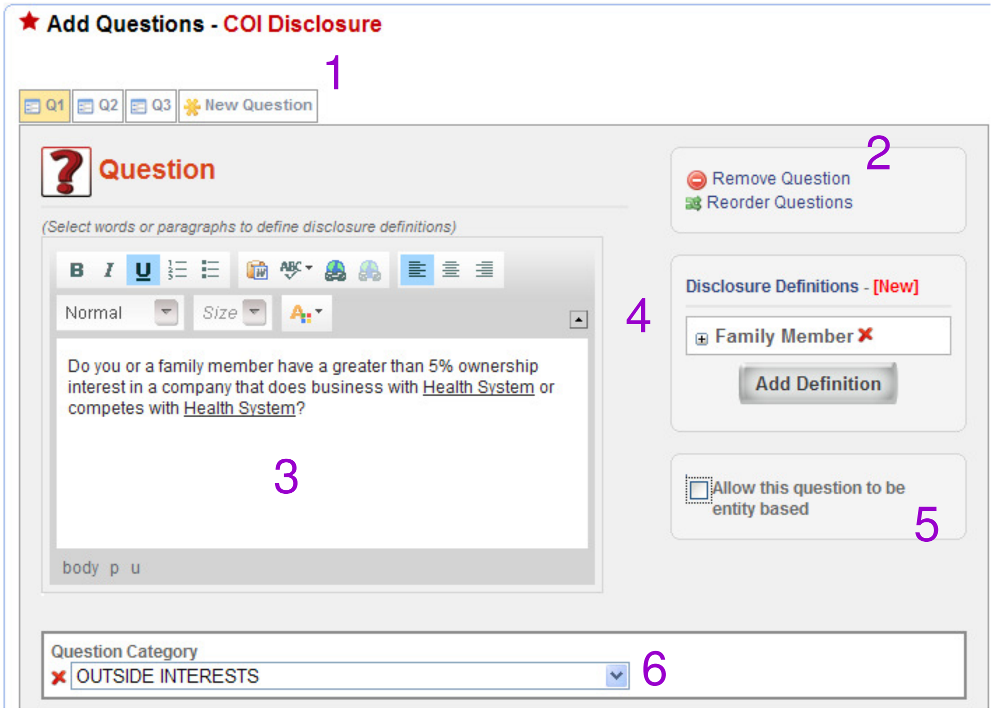
2.4 [Sub-Question] If yes, indicate your affiliation. ____________

3. Independent Director [Main Question]. Are you an independent director, as defined in the Conflict of Interest Policy?

- Yes
- No

3.1 [Sub-Question] If yes, describe your role ____________

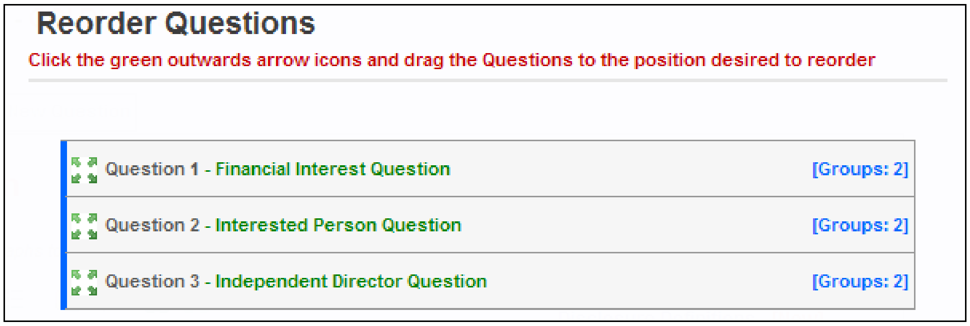
To create or edit a question, click [SAVE AND CONTINUE] from the Questionnaire parameter page. The following page appears.



1. Question Numbers. New questions are numbered sequentially from Q1, Q2, etc. When a question is removed, the remaining questions are not re-numbered.

To a respondent, the question numbers will appear sequentially without gaps in numbering. Similarly, if a question is not assigned to a respondent, the question numbers will re-sequence to avoid the appearance of missing questions.

2. Question Order. A question may be removed or re-ordered. When re-ordering, left-click the question number that will be moved, drag it to the desired position, and release the mouse to drop it into place. The questions are re-numbered sequentially after saving.

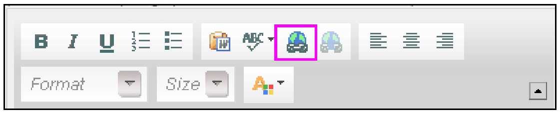


3. Main Question Text Box.

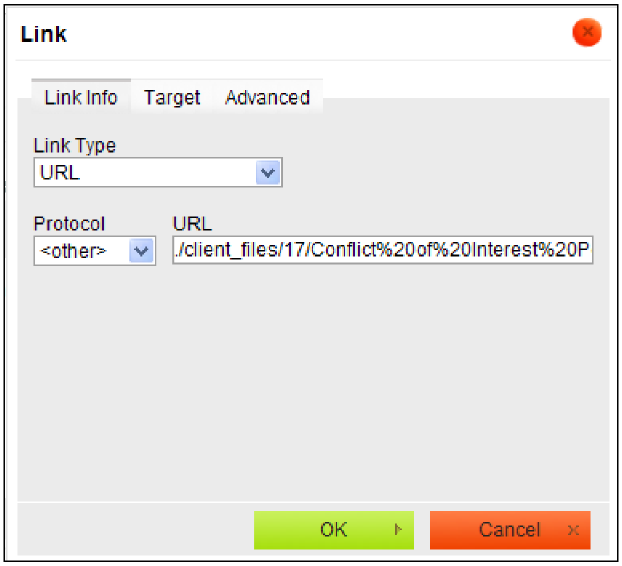
The first question of a series of sub-questions is usually entered in this area. A rich text editor is provided so formatting can be achieved. Formatting techniques include a hyperlink to an intranet- or internet-addressable URL.

The steps to create a link are as follows:

a. Highlight the word or phrase that will reference it.
b. Click the globe icon.



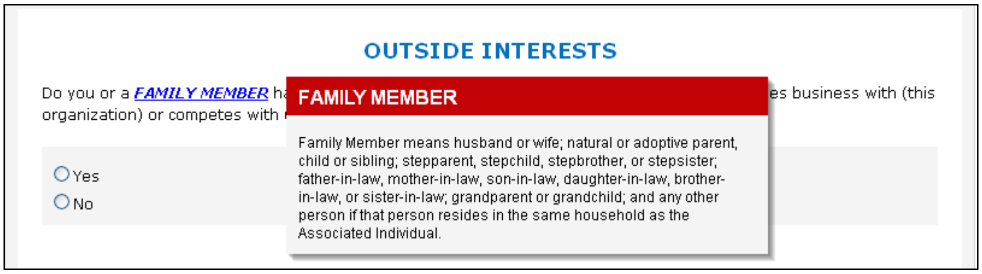
c. Enter the URL. If linking to a file in the Document Library, right click on the file name and copy the shortcut. Paste the shortcut into the URL field:

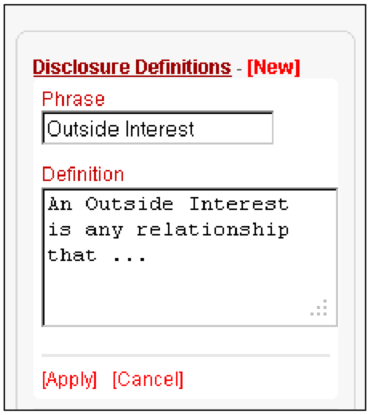


If linking to a file in the Document Library, remove all text before "/client_files" and replace with "./" (dot-slash).

On the Target tab, choose 'New Window'.

4. Disclosure Definitions. Any word or phrase in the question can produce a hover-over effect. That is, when the mouse is passed over the word or phrase, a definition window appears, as illustrated.





To create the definition, click 'New', enter the Phrase and its Definition. Then click 'Apply'.

5. Allow this question to be entity-based.

If the respondent may have more than one disclosure for a single question, check the entity-based flag. You can add custom alert text to inform respondents about how to use the "Entity" button.

Here is an example that illustrates why you would want to use the Entity-based setting. Suppose a question asked if the respondent any/or any family members had outside interests, and to list the percent ownership of those interests. In the two examples below, the respondent has two interests and his brother also has an interest.

<u>Non entity-based question</u>. The respondent lists all family members in a single response:

Response	Family Member	Company	Ownership Interest
1	Self, Brother	(a) Self - ABC Supplies, (b) Self/Brother - Acme Corporation	(a) Self - ABC Supplies - 35%, (b) Self - Acme Corporation - 40%, (c) Brother - Acme Corporation - 60%

<u>Entity-based</u>. Each family member on a separate response:

Response	Family Member	Company	Ownership Interest
1	Self	ABC Supplies	35%
2	Self	Acme Corporation	40%
3	Brother	Acme Corporation	60%

6. Question Category.

Categories identify the type of question; they are displayed as titles or headers above each question:

Once created, question categories become available for future use on all questionnaires.

7. Group Numbers.

The Answer Matrix allows sub-groups to be created. Sub-groups are groups of sub-questions and their answer-types. Group Numbers do not appear on a respondent's screen. Except for Group 1, group numbers may be removed. The order of appearance (or non-appearance) depends on the following:

a. Group Numbering
b. Link to a Previous Answer
c. Sub-Group Roles

8. Start Reordering.

The Start Reordering feature allows sub-groups to be reordered after they are created. The first subgroup cannot be moved, therefore, the Start Reorder feature appears after the third sub-groups is created. Additionally, you MUST unlink a sub-group before you can reorder.

9. Group Associations.

<u>Subgroup roles.</u> When roles are assigned to a question, they are really being assigned to Group 1. Depending on the sub-question, other groups are typically assigned the same role.

<u>Associate to a Previous Questionnaire</u>. The response to a sub-question may be linked to a response to a sub-question from another questionnaire. This association allows the respondent to reference a previous answer and copy accordingly.

<u>Link to a Previous Answer</u>. Except for Group 1, subgroups may be linked to a response on a previous subgroup in the same question and on the same questionnaire. In the screen shot above, the question “Who has the interest?” will only appear if the response to the first question is “Yes”. (Note the text ‘Link to a Previous Answer” followed by “Group 1 [yes]” near number 8 in the screen shot above.)

Without linking, all sub-questions---given the same roles---will appear all at the same time (in order of Group Number) on the respondent’s screen.

10. Question Subtext.

This is the sub-question box. The default format is Courier font, 10 point. If other formatting is required, HTML tags can be manually inserted. For example, the following text will underline “Health System”, insert a line after the paragraph, then enumerate the entities with bullet points:

<u>Health System</u> includes all of the hospitals, and related not-for-profit and for-profit entities:
<p>
 Community Hospital
 Family Health Center
 Health System Foundation

 University Hospital

HTML formatting tools will be added to question subtext in a future enhancement.

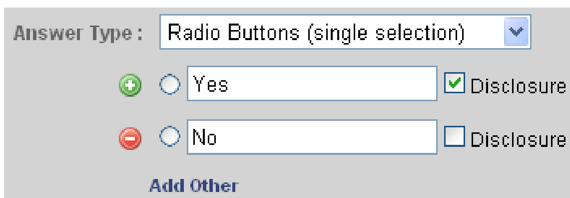
11. Answer Type.

A respondent can answer any question in one of the following formats:

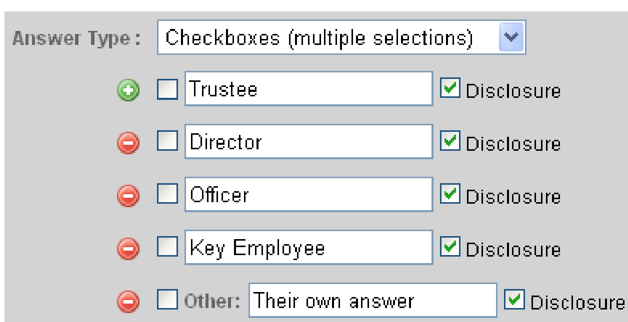
Text. Short answers can usually be captured by a one-line expandable text box.

Paragraph Text. Descriptive answers can usually be captured by a multi-line expandable text box.

Radio Buttons (single selection). Typically, an affirmation response is a choice of Yes or No. An affirmative response is usually a disclosure.



Check Boxes (multiple selections). Respondents can choose one or more selection from a list by tagging each item with a check mark.

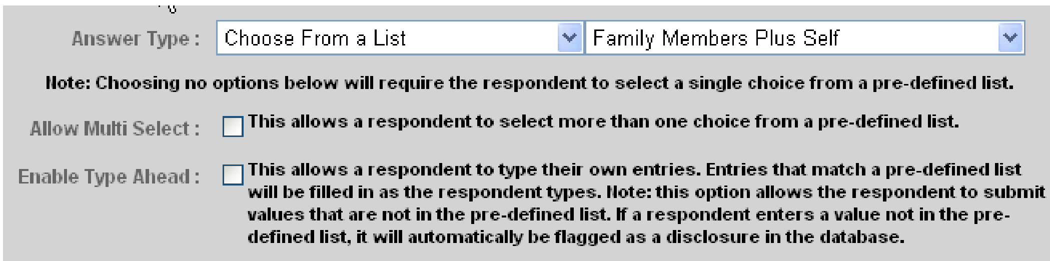


Drop Down. In cases where Radio Buttons would crowd the page (for example, a long list of single selection items), a Drop Down list becomes the practical alternative.

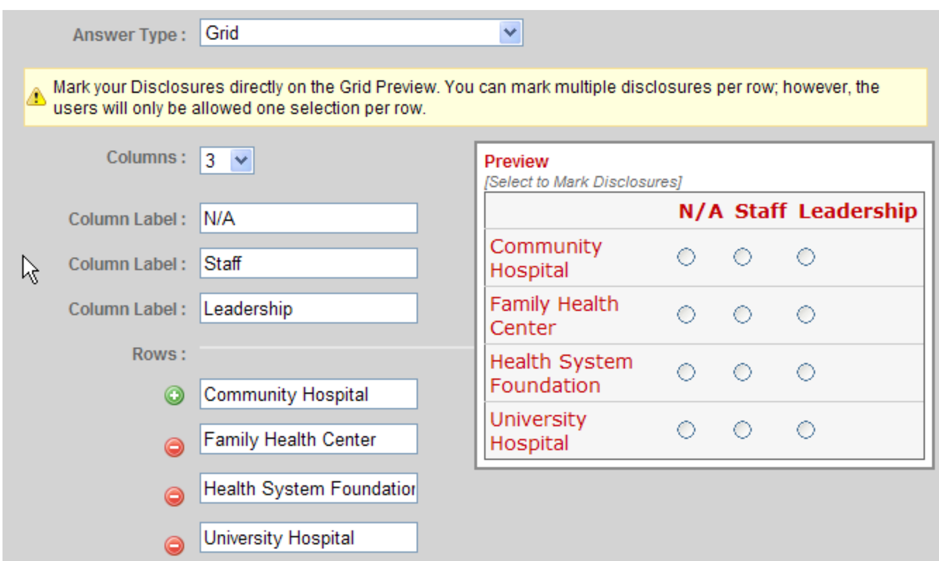
Choose From a List. Permitted values lists may be used for a pre-defined set of values (for example, family members, board members, etc.).

Important Note: Current Permitted Values lists cannot be edited or added to once they are in use in a questionnaire (published or unpublished).

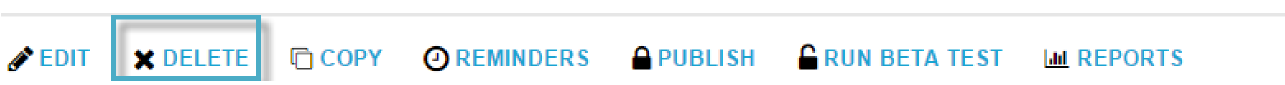
However, COI-SMART Administrators have the ability to create Permitted Values lists that can grow over time (add values), even after the questionnaire is published. This will be useful for certain types of Permitted Values lists like vendor lists and lists of ongoing research projects, as new vendors and projects can be added over time.



Grid. Some answers are best entered on a table (row-column format). For example: satisfaction surveys and measuring scales (1 row, many columns). Other implementations include the example below:



2.13.2 Delete



A questionnaire may be deleted if it is not published. Deleting a questionnaire does not delete roles, permitted values list, and email templates associated with that questionnaire.

2.13.3 Copy

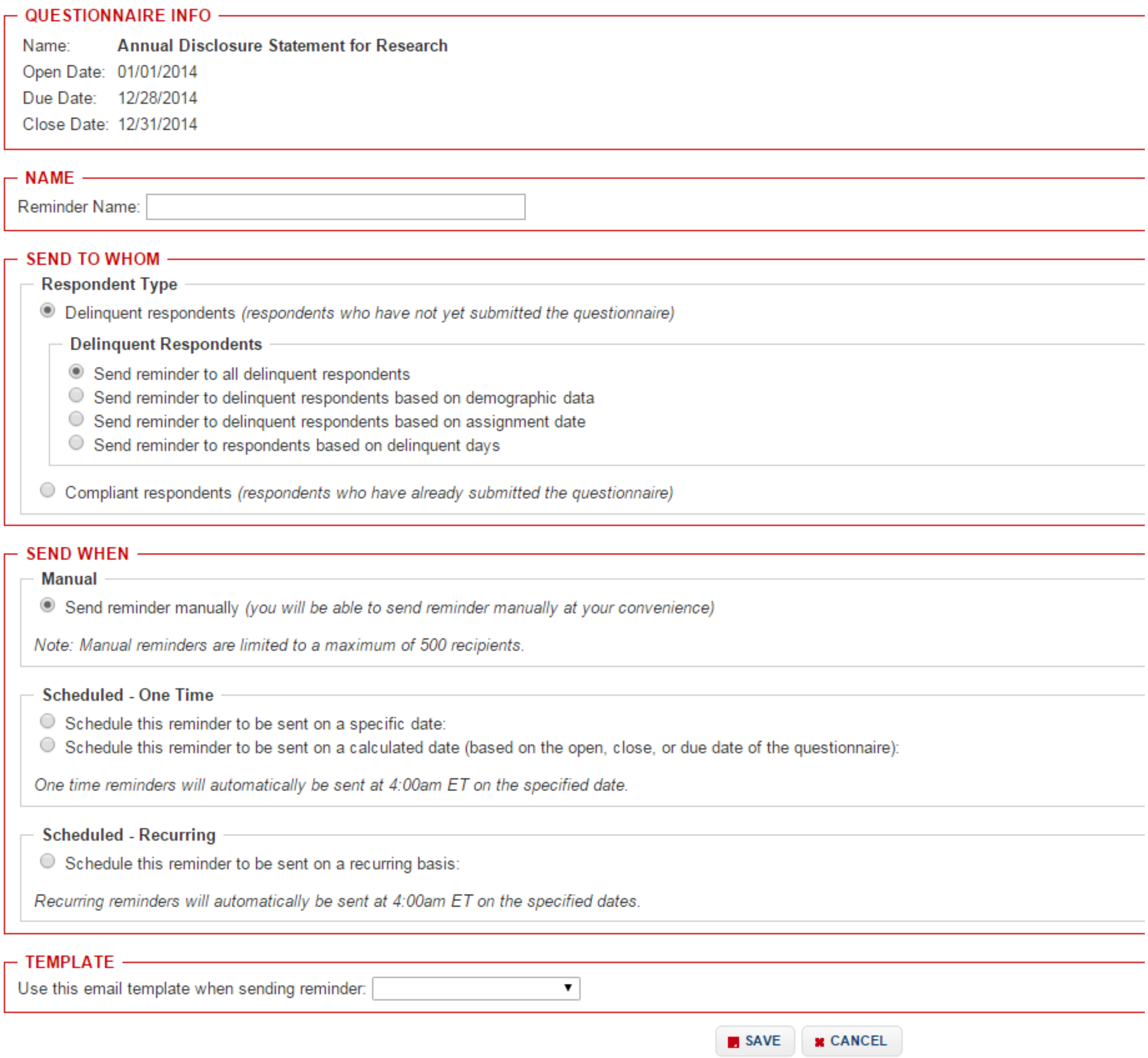
A questionnaire may be copied regardless of its Publish status. Click ‘Copy’ and provide the new questionnaire name. The new questionnaire may be edited, beta-tested, then published.

**The copy feature is currently disabled and will need to be completed by an HCCS COI-SMART Administrator.*

2.13.4 Reminders

Reminders may be sent to users who have been assigned a questionnaire but have not submitted. Click ‘Reminder’ to [a] Schedule New Reminder or [b] Send Reminder to ALL Respondents Now.

To schedule a new reminder, pick an event date (i.e. Open Date, Final Submission Date, or Close Date) and the frequency of the reminder emails to be sent out. Then choose a reminder-type template depending on the content of the message being delivered.


QUESTIONNAIRE INFO
Name: Annual Disclosure Statement for Research
Open Date: 01/01/2014
Due Date: 12/28/2014
Close Date: 12/31/2014

NAME
Reminder Name:

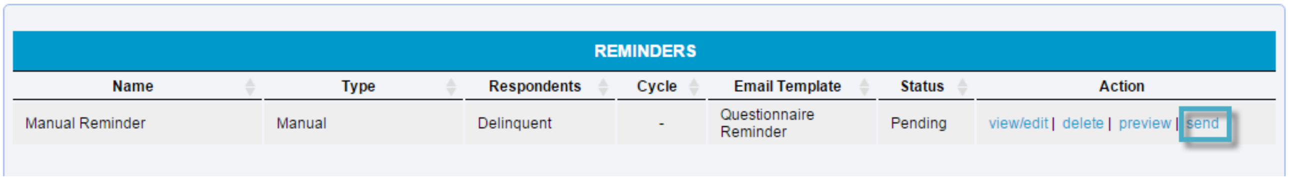
SEND TO WHOM
Respondent Type
Delinquent respondents *(respondents who have not yet submitted the questionnaire)*
Delinquent Respondents
Send reminder to all delinquent respondents
Send reminder to delinquent respondents based on demographic data
Send reminder to delinquent respondents based on assignment date
Send reminder to respondents based on delinquent days
Compliant respondents *(respondents who have already submitted the questionnaire)*

SEND WHEN
Manual
Send reminder manually *(you will be able to send reminder manually at your convenience)*
Note: Manual reminders are limited to a maximum of 500 recipients.
Scheduled - One Time
Schedule this reminder to be sent on a specific date:
Schedule this reminder to be sent on a calculated date (based on the open, close, or due date of the questionnaire):
One time reminders will automatically be sent at 4:00am ET on the specified date.
Scheduled - Recurring
Schedule this reminder to be sent on a recurring basis:
Recurring reminders will automatically be sent at 4:00am ET on the specified dates.

TEMPLATE
Use this email template when sending reminder:

SAVE CANCEL

To send an immediate reminder, keep the default selection 'Send Reminder Manually" under the SEND WHEN section. Select an email template and click 'SAVE'. From the Reminders section you will then be able to send the Manual Email Reminder when ready.


REMINDERS

Name	Type	Respondents	Cycle	Email Template	Status	Action
Manual Reminder	Manual	Delinquent	-	Questionnaire Reminder	Pending	view/edit | delete | preview | send

2.13.5 Publish

Publishing a questionnaire makes it accessible to the respondent if:

- At least one respondent's role matches at least one role on the questionnaire.
- The questionnaire's Open Date has arrived.

If the questionnaire's Close Date has passed, the respondent may not revise the questionnaire unless the Administrator allows it in 'Account Administration -> Settings'.

2.13.6 Beta Test

For unit-testing before publishing, put the questionnaire in beta mode. Beta mode allows the test respondent to simulate the questionnaire from the 'My Questionnaire' section. Because all answers can be saved, revised, and reported, it also allows the reviewer to simulate the reviews from the 'In Review' section.

At any time, beta mode can be stopped. The administrator has the option of erasing all data related to testing.

No automated emails will be sent out for a questionnaire in "Beta Test" mode. However the question may be visible to some respondents who log in during the Beta period. For this reason, HCCS recommends that a questionnaire in Beta be prefixed with the words "Test Questionnaire"

2.13.7 Reports

Reports in this section relate to automated emails send out to respondents for a given questionnaire. The system generates automated emails according to the following criteria:

Announcement Email
- Published questionnaire; open date has arrived; closed date has not passed
- Respondent role matches a role on the questionnaire; respondent is active
- The system has not previously generated an announcement email for respondent

Reminder Email
- Published questionnaire; open date has arrived; closed date has not passed
- Respondent role matches a role on the questionnaire; respondent is active
- The respondent has not submitted the questionnaire
- The reminder date has not passed

If all conditions are satisfied, the emails will be triggered at 4AM EST

The administrator can run the following three reports to track the generated emails:

Email Recipients Preview. List of users who are scheduled to receive an announcement email for this questionnaire the next day, 4AM EST.

COI-SMART
Announcement: Email Recipients Preview
COI Disclosure

User ID	First Name	Last Name	Email Address
mmyers	Mike	Myers	test1@hccs.com
mlaundry	Maureen	Laundry	test2@hccs.com

A total of 2 respondents will receive an announcement email

Announcement Email Tracking. Log of announcement emails that have been sent, both delivered and undelivered. It is cumulative of all dates.

COI-SMART
Announcement: Email Tracking
COI Disclosure

records highlighted in red indicate undeliverable emails

This report is updated every 24 hours. Last updated on 08/19/2011 at 6:00am ET

Log ID	User ID	First Name	Last Name	Email Address	Email Subject	Date/Time	Status
1005793	mmyers	Mike	Myers	test1@hccs.com	Conflicts of Interest Questionnaire	07/20/2011 3:55am	Sent
1005794	mlaundry	Maureen	Laundry	test3@hccs.com	Conflicts of Interest Questionnaire	07/20/2011 3:55am	User unknown

Some emails may not be deliverable for the following reasons:
- Bad email address
- Full email inbox
- Spam filters (Note: These may show as "sent" in the report, but may be blocked before reaching the respondent. Some spam filters may not notify COI-SMART that the email was blocked.)
- Bulk limit

Check with your network administrator for more information on any blocked or undelivered email.

Reminder Email Tracking. Log of reminder emails that had been sent, both delivered and undelivered. It is cumulative of all dates.

COI-SMART
Reminder: Email Tracking
COI Disclosure

records highlighted in red indicate undeliverable emails

This report is updated every 24 hours. Last updated on 08/19/2011 at 6:00am ET

Log ID	User ID	First Name	Last Name	Email Address	Email Subject	Date/Time	Status
1006396	mmyers	Mike	Myers	test1@hccs.com	Disclosure Reminder	07/25/2011 11:43am	Sent
1006397	mlaundry	Maureen	Laundry	test2@hccs.com	Disclosure Reminder	07/25/2011 11:43am	Sent

3. Troubleshooting Guide

3.1 Supported Browsers

COI-SMART supports the following browsers:

- Microsoft Internet Explorer version 6 or higher on Windows XP or higher
- Mozilla Firefox version 2 or higher on Windows XP or higher and on Apple OSX or higher
- Apple Safari version 3 or higher on Apple OSX or higher

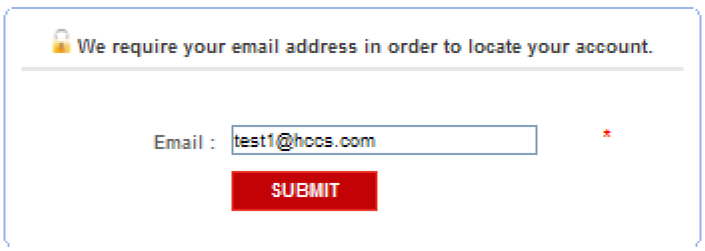
Note: Respondents have reported success with smart phones (iPhone, etc.) and tablets (iPad, etc.), however these platforms are not officially supported by HCCS.

3.2 Logging In / Passwords

3.2.1 Direct URL

As administrator, go to the direct URL: [https://*client*.coi-smart.com](https://client.coi-smart.com).
where *client* is the subdomain name assigned to your institution.

Enter your user name and password. To reset your password, click the ‘Forgot Password’ link. The following screen appears:



Enter your email address. Follow the instructions on the email to log into the system.

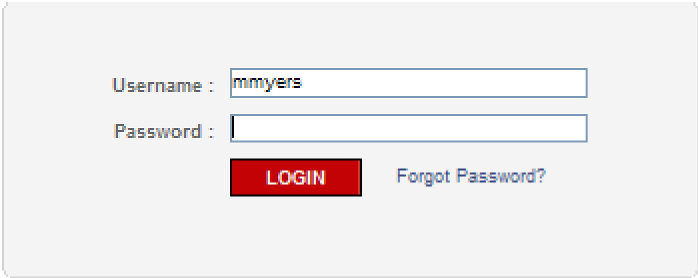
3.2.2 Custom URL

The direct URL also works for respondents and reviewers. However, some respondents and reviewers may have received an email with a custom link to log into the system, for example:

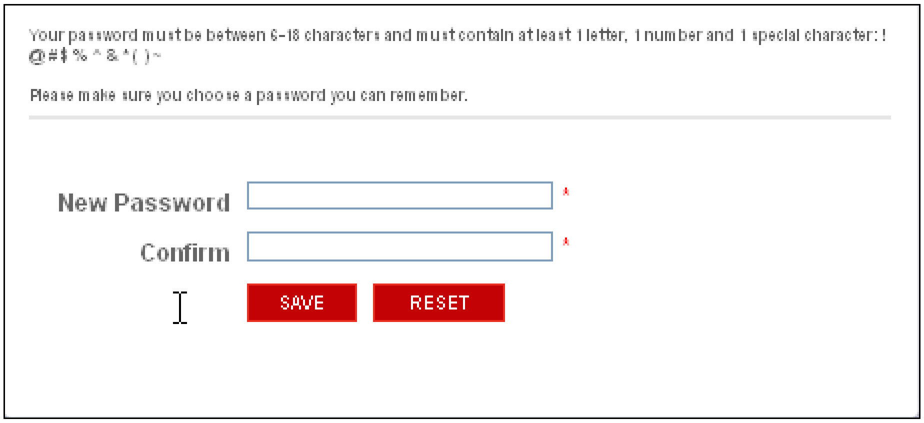
https://*test*.coi-smart.com/password_reset.php?a=onDiDg88T6rHFlLDL7pbhA%3D%3D&b=MIANDcANB73SAl2sIOuCIA%3D%3D

By clicking on the custom link, the system automatically directs the user to one of two pages:

a) Login page (if a password exists)



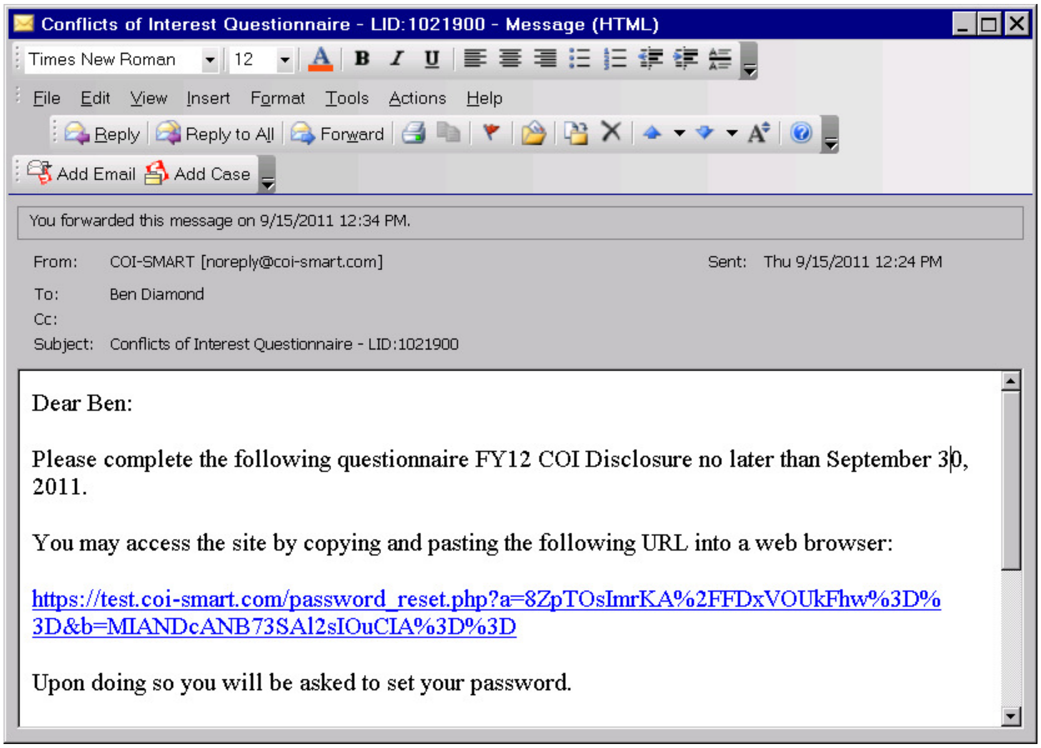
b) Set Password page (for first-time users)



A note on first-time password setting and COI-SMART links embedded in an announcement email.

We designed the questionnaire announcement and password feature to work in the same way facebook™ works. Before a questionnaire announcement is sent to a respondent, the database checks if they have a password set. If the respondent does not already have a password, the link embedded in the announcement email contains a unique, one-time-use link. When the user clicks the link, they are brought to a special login page, unique to them, and asked to set their own password (see screen shot "b" above). Since the link embedded in the email is unique, and since the system trusts that only the named respondent has access to their own email, no other user can get to that page in the COI system.

Here is a sample of an announcement to a respondent that has not previously set a password. Note the long, unique link in the email:



You forwarded this message on 9/15/2011 12:34 PM.

From: COI-SMART [noreply@coi-smart.com] Sent: Thu 9/15/2011 12:24 PM
To: Ben Diamond
Cc:
Subject: Conflicts of Interest Questionnaire - LID:1021900

Dear Ben:

Please complete the following questionnaire FY12 COI Disclosure no later than September 30, 2011.

You may access the site by copying and pasting the following URL into a web browser:

https://test.coi-smart.com/password_reset.php?a=8ZpTOsImrKA%2FFDxVOUkFhw%3D%3D&b=MIANDcANB73SAl2sIOuCIA%3D%3D

Upon doing so you will be asked to set your password.

When the respondent clicks on the embedded link, they are brought to the set-password screen (screen shot “b” above).

If the link is used again (say the user clicks it a week later), the system knows that a password has already been set and brings the user to the login page (screen shot “a” above), requiring their ID (which is in the announcement email) and the password they previously set. If they forget their password, they can use the "Forgot Password" link, which generates a new unique link email to them.

Because the link is unique to each respondent, DO NOT cut and paste your unique link and email it to others.

If the respondent has previously set a password, the link in the announcement email will look different. It will contain only the domain name. In the example email above, the link might be https://test.coi-smart.com

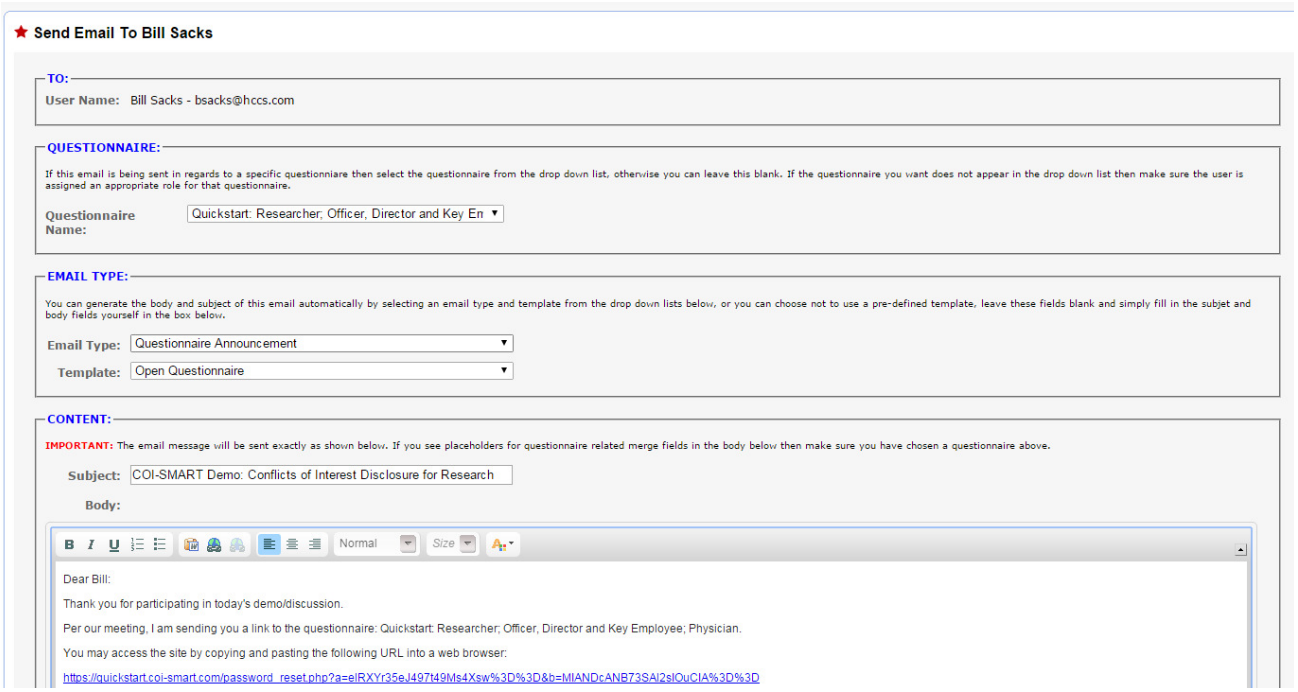
3.2.3 Security

The system locks the user's access after more than 5 password attempts in 3 minutes. It unlocks the user after 30 minutes. The administrator can also go into the user's record and clear the Locked flag.

For general troubleshooting, the administrator can perform the following steps:

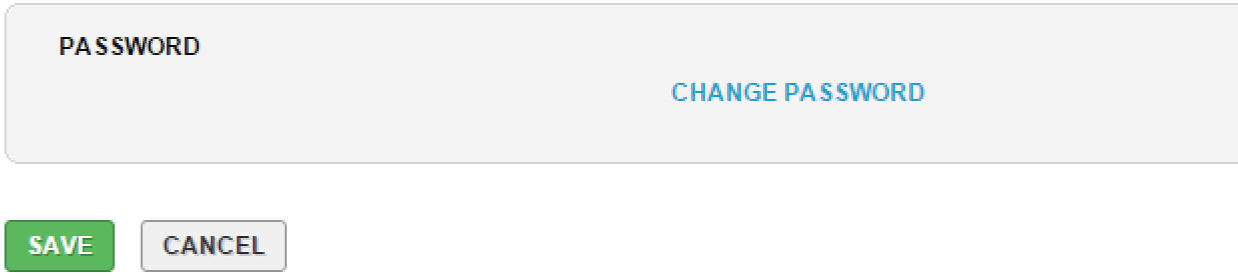
1. Ask the user to wait 30 minutes and try logging back in.

2. If 30 minutes has passed, resend the announcement email. On the Menu, select "Account Admin" -> "Users". Select the user and click "Send Email". The user will be sent an email with the custom link.



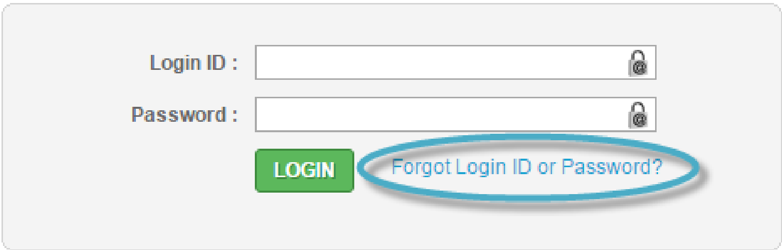
3. Reset Password and Force a Password Change. The administrator can force a password change on the user's record. However, the system will only prompt for a new password after a successful login. So the administrator would first send the user a temporary password. This would need to be done via email or phone, outside of the COI-SMART system.

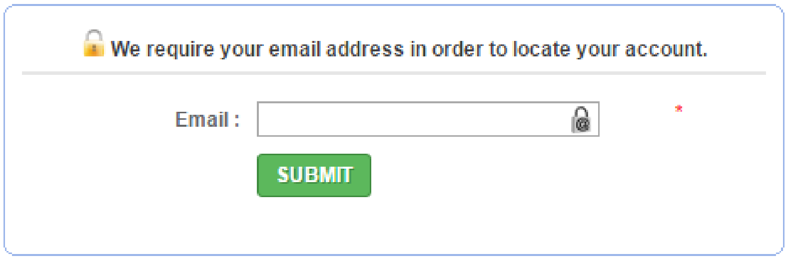
To reset a user's password, click the "Change Password" link at the bottom of the User page.


PASSWORD
CHANGE PASSWORD
SAVE
CANCEL

3.2.4 Forgotten Password / Reset Password

If a user forgets their password any time after they set it, they can reset it by selecting the "Forgot Password" link on the login screen and typing in their email address.





After they hit "Submit" on the form, an email will be sent to them with a new unique URL, similar to the example shown in 3.2.2 ("Custom URL") shown above.

On some occasions, an Administrator may want to perform this action on behalf of the user to force the system to send a password reset email to the user. For example, Transactional or Elective questionnaires do not send email announcements to respondents. If a user calls the Compliance Office and wants to ask permission to be on an external board, the Compliance Office would like to send the user a link to the Transactional or Elective questionnaire. But no such email can be sent.

One workaround is to use "Forgot Password" link and type user's email. Go to the login screen and hit "Forgot Password", then put the *user's* email address in the box (not yours!):

Before doing so, you may want to modify the "Forgotten Password" email template somewhat. The current template says:

==================

This email is in response to your request to reset your password in the COI-SMART application. If you did not submit this request, please contact your COI-SMART administrator immediately.

To reset your password, please click the link below.

[%LINK_TO_COI%]

==================

You may want to modify it to something like this:

==================

This email was sent to you because either:

A) You selected the "Forgot Password" link in the COI-SMART application.

or

B) You called the Compliance Office and requested instructions on how to make additional disclosures.

If you did not submit either of these requests, please contact your COI-SMART administrator immediately.

To reset your password, to make additional disclosures, or ask for advance permission for potentially conflicting activity, please click the link below.

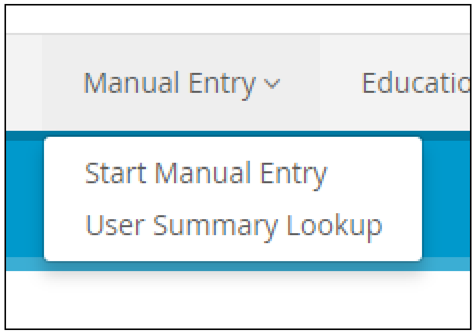
[%LINK_TO_COI%]

==================

3.3 Manual Entry and Manual Entry (Department Level Access)

3.3.1 Manual Entry

Administrators can enter and view data on behalf of the respondent. From the Menu, select 'Manual Entry' -> 'Start Manual Entry'.



A list of all registered users will display. Select the user and click 'Complete A Questionnaire For This User'. 'My Questionnaire' page displays for that user.

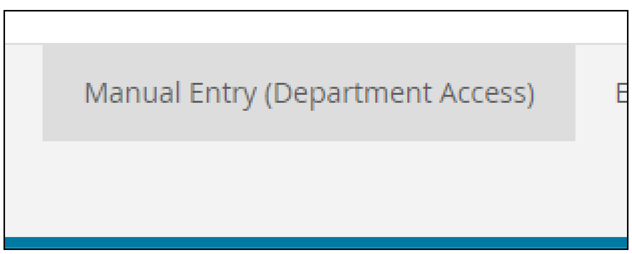
Manual Entry is used if the respondent could not log into the system due to limitations. More likely, the respondent has filled out a paper form, which needs to be transcribed into the electronic version. If desired, the paper form can be scanned and uploaded into the questionnaire as a supporting document.

The ability to perform Manual Entry is assigned to the Administrator Security Profile by default.

Tip: As a general recommendation, Administrators (or those performing Manual Entry) should scan a copy of the respondent's paper questionnaire and attach the scanned document to the first question in the questionnaire. This will serve as future proof of the paper response.

3.3.1 Manual Entry (Department Level Access)

Once this criteria (menu item) is assigned to a security profile, users (Example: Managers) with this security profile will be allowed to enter and view disclosures for respondents based on this user's department access.



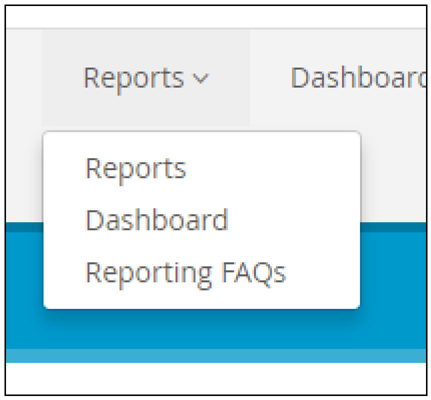
<u>Scenario</u>
User (Manager): 123
Security Profile: "Manual Entry (Department Level Access)"
Departments (assigned in user 123 profile): ABC and XYZ

User (Manager): 123 will be allowed to enter and view disclosures for respondents that are assigned to departments ABC and XYZ

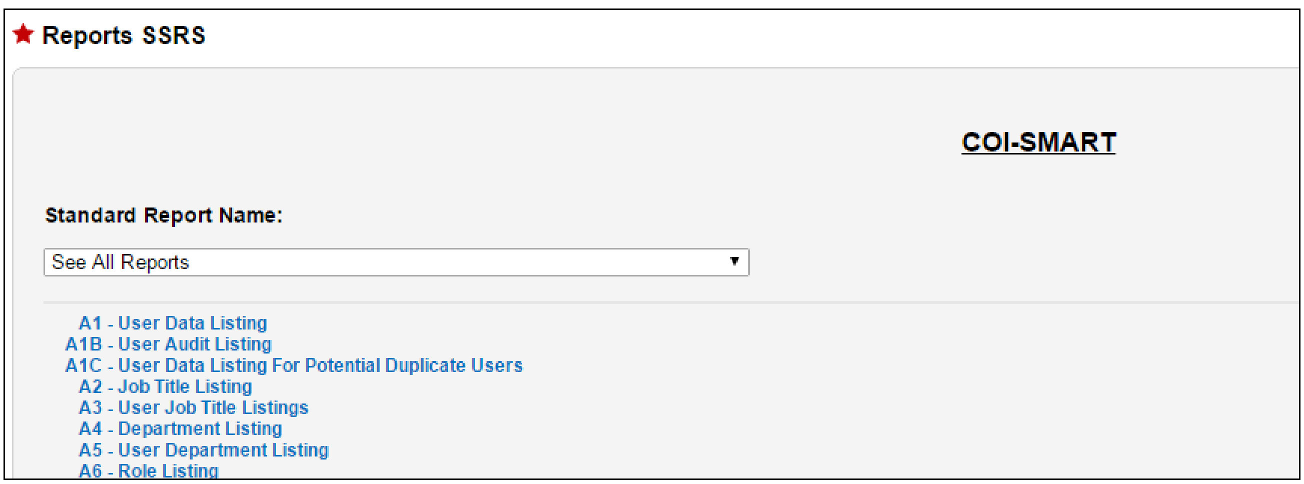
3.4 Reports and Dashboards

3.4.1 Reports

The system has a robust reporting engine that track the cycle from response to review. To access the reports from the Menu, click ‘Reports’ -> ‘Reports’

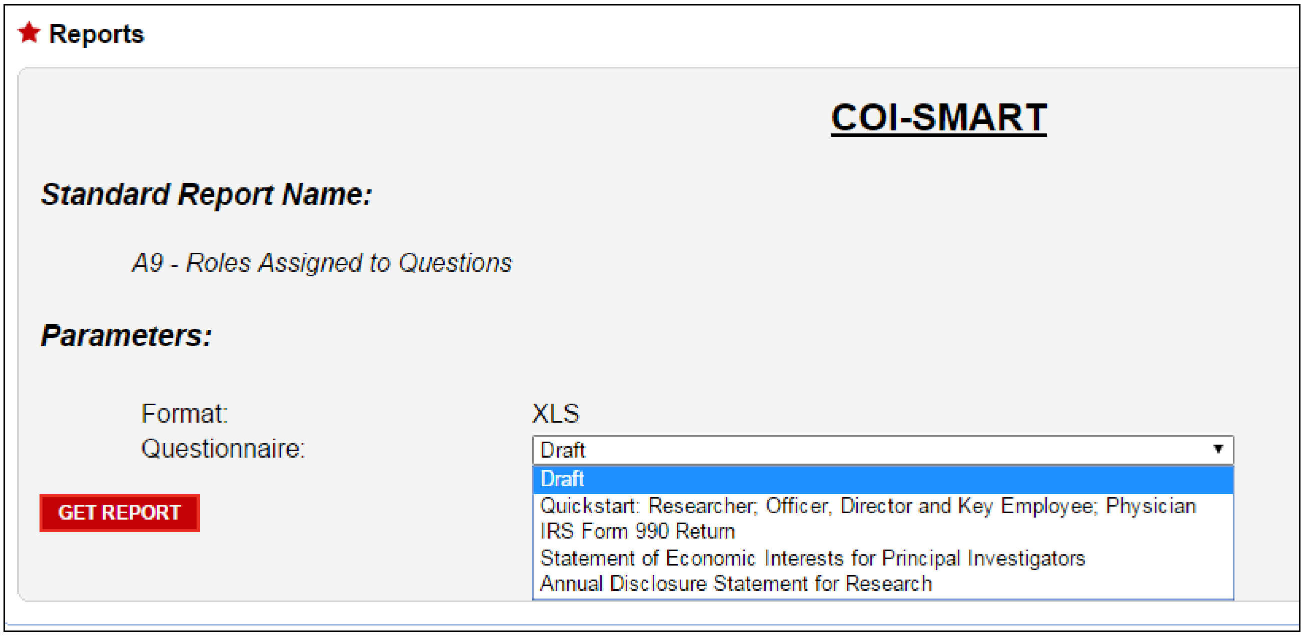


There are a series of standard reports that can be exported to Excel in .CSV format.

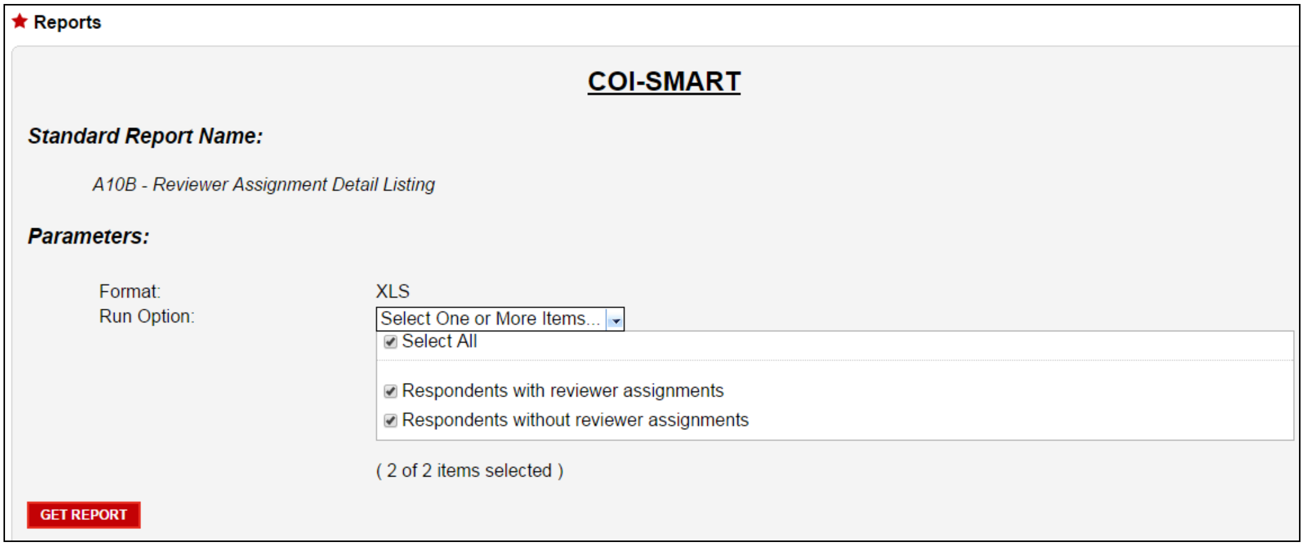


Depending on the report, a filter screen will appear. Choose a filter option (e.g. Questionnaire Name, Department and/or Role), then click ‘OK’. If no filter is desired, click on the X next to the filter type to delete it, then click ‘GET REPORT’.

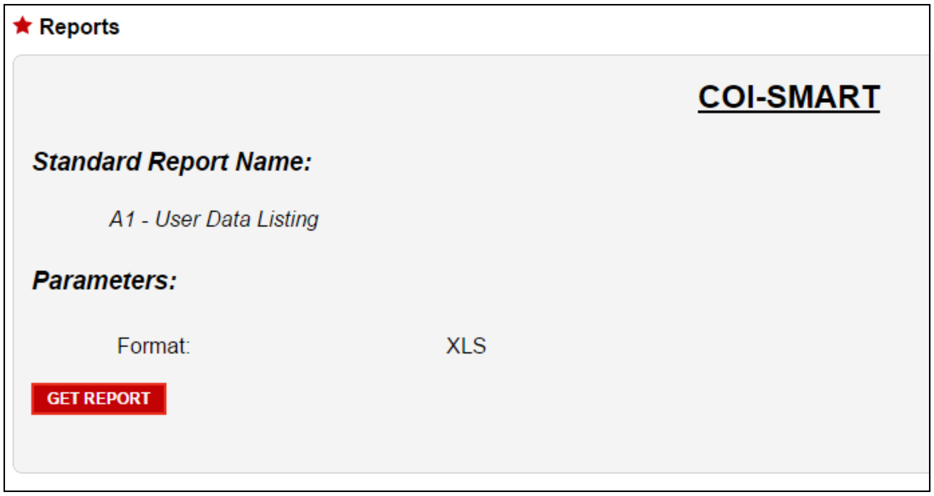
Some reports require a selection. You will have to select one option from the drop down menu and then select 'GET REPORT'.



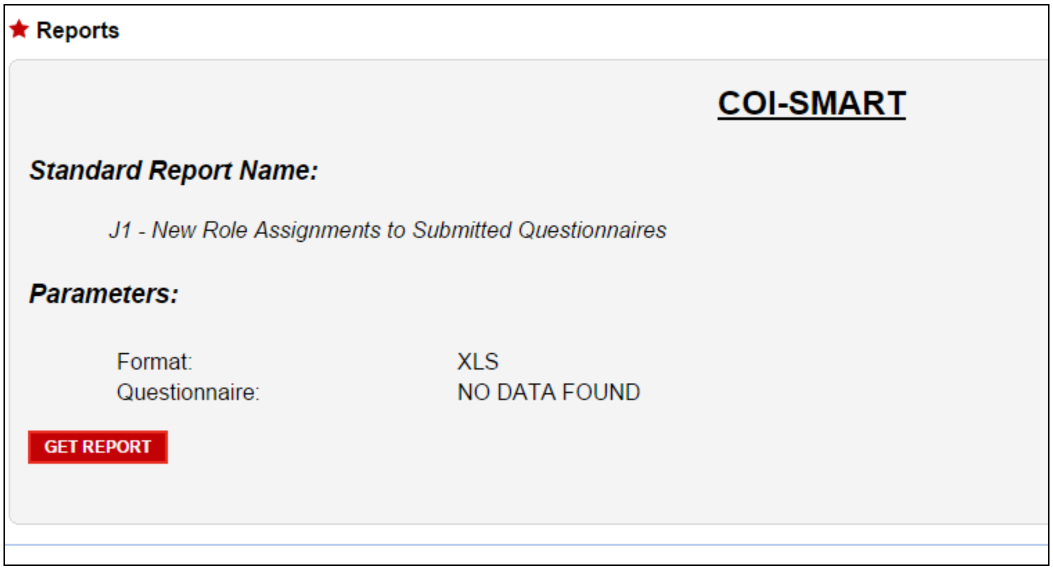
Other reports will allow you to SELECT ALL, or



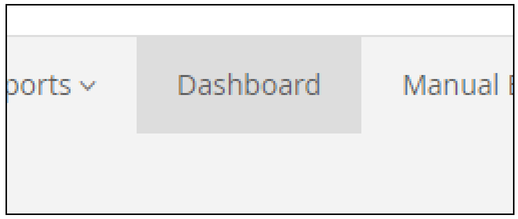
There is no selection option at all, which then you will simply click 'GET REPORT'.



If no data is available, the message “NO DATA FOUND” will appear.



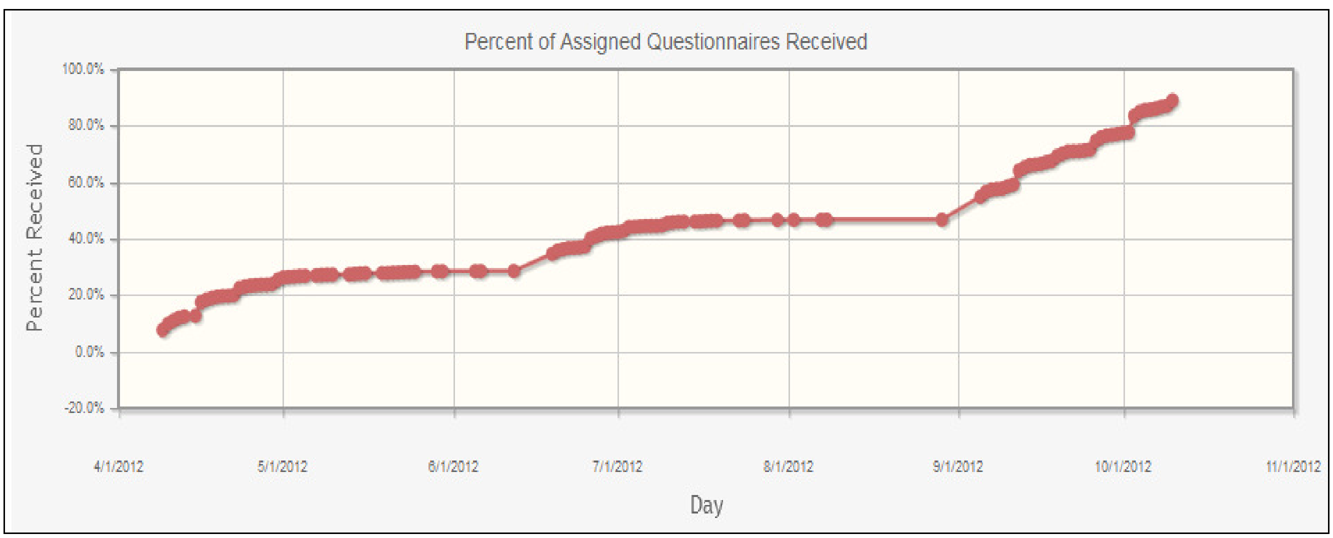
3.4.2 Dashboards



Dashboards are designed to provide insight into specific questionnaire criteria at a particular point in time. Currently, there are three available dashboards: Percent of Assigned Questionnaires Received, and Review Status Summary, and Disclosures by Risk Area.

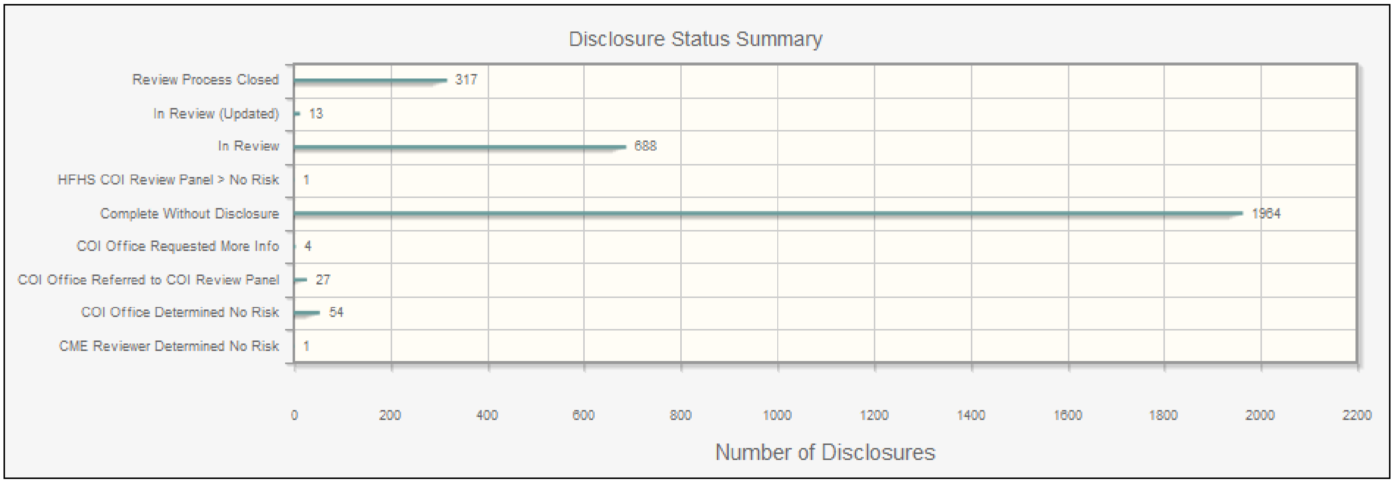
Percent of Assigned Questionnaires Received

This dashboard shows the percentage of questionnaires received out of the total number of questionnaires assigned at a specific point of time.



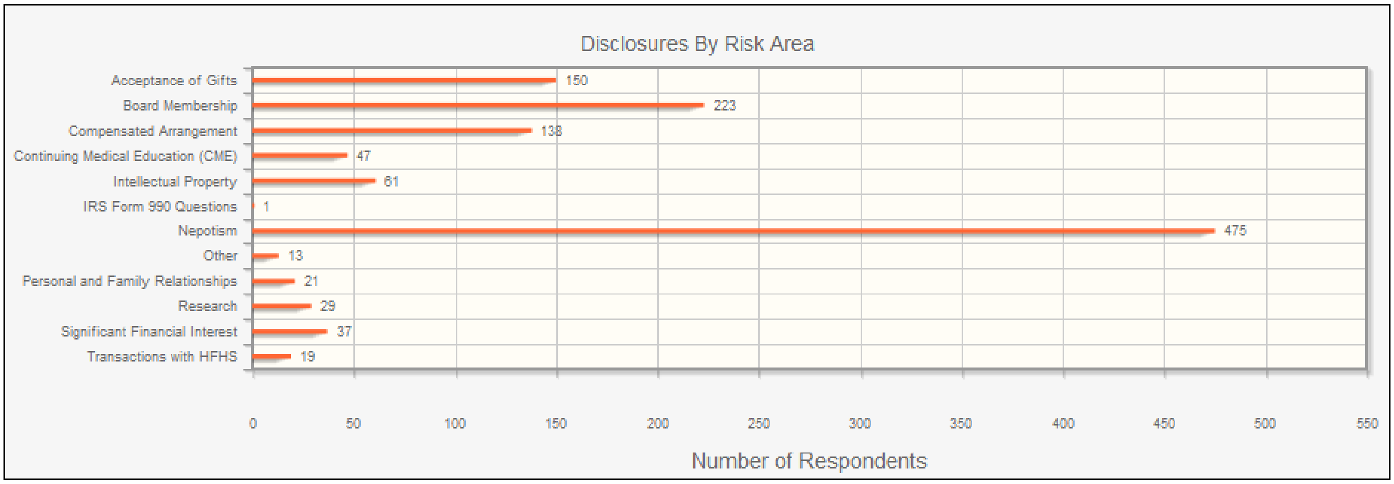
Review Status Summary

This dashboard shows the number of disclosures per disclosure status (review status) at a specific point in time.



Disclosures by Risk Area

This dashboard shows the number of disclosures per risk area (question category) at a specific point in time.

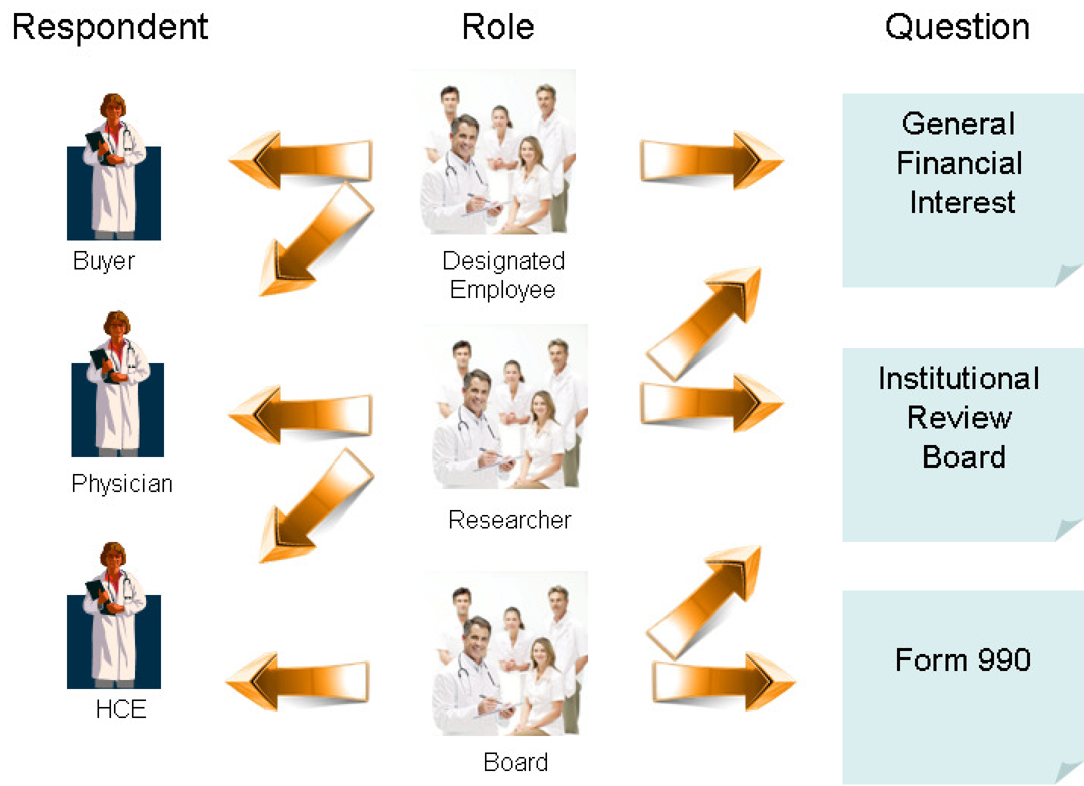


4. Best Practice Guide

4.1 Role Design

"Roles" are used to identify each user by the role(s) they play in the organization. By knowing a user's role(s), the system can ensure that each user receives only those questions that are appropriate for them to answer. Roles are used in combination with departments to determine which reviewers are assigned to evaluate the questionnaires for specific respondents.

For example:



Detail by Role

	Section I								Section II		Section III					Section IV
Roles	**Q1**	**Q2**	**Q3**	**Q4**	**Q5**	**Q6**	**Q7**	**Q8**	**Q9**	**Q10**	**Q11**	**Q12**	**Q13**	**Q14**	**Q15**	**Q16**
Designated Employee	X	X	X	X	X	X	X	X								X
Researcher									X	X						X
Board											X	X	X	X	X	X

Detail by Question.

	Question	Designated Employee	Researcher	Board
Section I	Q1	X		
	Q2	X		
	Q3	X		
	Q4	X		
	Q5	X		
	Q6	X		
	Q7	X		
	Q8	X		
Section II	Q9		X	
	Q10		X	
Section III	Q11			X
	Q12			X
	Q13			X
	Q14			X
	Q15			X
Section IV	Q16	X	X	X

The following table illustrates general categories of questions and typical roles that are assigned to each:

Question Category	Category Description	Question	Typical Roles
Conflicts of interest with industry and business	These questions apply to everyone that is a *institution* manager level employee, physician, independent contractors representing *institution*, *institution* representatives with purchasing or ordering responsibilities, teaching faculty, or member of a Board of Directors.	Financial interests of you and your immediate family members Relationships with competitors Speaking/teaching, consulting/advisory services, training/educational engagements, or attending conferences, promotional or professional events Detailing, tying, switching, or ordering	Form 990: Board Member Key Employee Highly Compensated Designated Employee: Management Level Purchasing Committee *Employed Physician Researcher *=optional
Research-Related Questions	These questions apply to anyone involved in the conduct, oversight, or administration of research at an *institution* facility.	Financial Interests Employment, consulting and other compensated relationships Other relationship with businesses affected by research Relationships with research competitors Institution Research *Institute* Directors and Managers Intellectual Property	Researcher
Medical Staff	These questions apply to employed physicians and independent practice physician	Contact information Gifts, business courtesies and contributions Significant financial interests – compensated activities Significant financial interests – equity/ownership interests Significant financial interests – loans or	Physician: Employed physician Independent practice

		debts	
Affiliation	This question applies to everyone	Affiliation with entities	Form 990: Board Member Key Employee Highly Compensated Designated Employee: Management Level Purchasing Committee *Employed Physician Researcher Physician: Employed physician Independent practice *=optional
IRS Required Questions	These questions apply to any individual who is a current or former officer, director, or key employee of any *institution* tax-exempt organization.	Transactions Family and business relationships Loans Grant or other assistance	Form 990: Board Member Key Employee Highly Compensated
Acknowledgement	"I have read and understood…"	"To the best of my knowledge…"	Form 990: Board Member Key Employee Highly Compensated Designated Employee: Management Level Purchasing Committee *Employed Physician Researcher Physician: Employed physician Independent practice *=optional

4.2 Review Action

Collecting and reviewing conflicts of interest is the joint responsibility of the Compliance and Legal Departments. Implementation of COI-SMART creates an opportunity to re-examine the conflicts of interest process and how to improve it.

A brief summary of a typical conflicts of interest review process is below:

1. Compliance/Legal Department reviews the initial disclosures, organizes them into categories based upon his/her opinion as to their level of materiality, makes initial suggestions/recommendations regarding resolution and forwards a summary document of the disclosures with his/her initial recommendations to the Chairs of the respective Conflicts Committees.

2. Compliance/Legal Department forwards all Board disclosures to the Chief Legal Officer for review and distribution to the appropriate General Counsel for recommendations regarding resolution.

3. Compliance/Legal Department forwards all Medical Professional disclosures to the Chair of the Medical Professionals Conflicts Committee for review.

4. The Chairs of the Conflicts Committees review the summary document of disclosures provided by the COI Coordinator and recommend resolution of the disclosures. The Chairs of the Conflicts Committees have the discretion to determine which disclosures should be resolved by written memorandum. All disclosures that need further discussion in order to be resolved should be shared with the Conflicts Committees in a standard summary document that includes the Chairs' recommendations regarding resolution.

5. The Chairs of the Conflicts Committees will convene their respective Conflicts Committees (either physically or electronically) to discuss and propose how to resolve the remaining disclosures. A summary document of the respective Chairs of the Conflicts Committees' recommendations will be distributed to the Conflicts Committees for review. The Conflicts Committees may remove any disclosures from the written memorandum column of the summary document as they deem appropriate.

6. The Conflicts Committees will recommend resolutions for the remaining disclosures and will forward these recommendations to the Compliance/Legal Department for entry into COI-SMART. If the Chair so desires, he/she may enter the recommended resolutions into COI-SMART.

To manage the above process, reviewers need to identify the status of the review at each step. Review Actions enable the reviewer to track the progress and resolution of disclosures throughout the process. To illustrate:

<table>
<tr><th>Review Step</th><th>Reviewer</th><th>COI Disclosure</th><th>Review Action</th></tr>
<tr><td rowspan="2">1. Identification</td><td rowspan="2">Compliance/Legal</td><td rowspan="2">All</td><td>Conflict Identified</td></tr>
<tr><td>No Conflict Identified</td></tr>
<tr><td>2. Investigation</td><td>Compliance/Legal</td><td>All</td><td>Internal Correspondence</td></tr>
<tr><td rowspan="3">3. Escalation</td><td rowspan="3">Compliance/Legal</td><td>Board disclosures</td><td>Forward to General Counsel</td></tr>
<tr><td>Medical Professional disclosures</td><td>Forward to Medical Professional Conflicts Committee</td></tr>
<tr><td>Leadership disclosures</td><td>Forward to Conflicts Committee</td></tr>
<tr><td rowspan="4">4. Resolution</td><td>General Counsel</td><td>Board disclosures</td><td rowspan="4">Conflict Managed</td></tr>
<tr><td>Medical Professional Conflicts Committee</td><td>Medical Professional disclosures</td></tr>
<tr><td>Conflicts Committee</td><td>Leadership disclosures</td></tr>
<tr><td>Compliance/Legal</td><td>All</td></tr>
</table>

Review Actions may also be used for purposes outside of the standard review cycle. For example:

- Mark for website – disclosures with this status are “tagged” for public reporting. Often, an automated download of these records is created.
- Mark for Form 990 – disclosures with this status are “tagged” for IRS reporting. Often, this identifies records to be sent to the Tax Department.

Management Plan

The following review actions and status are reserved for management plans and cannot be used:

- Management Plan Proposed
- Management Plan Accepted

Appendix. Standard Reports

Setup Listings

A1. User Data Listing. Report displays demographic information from the user's profile.

Fields: Organization ID, Email address, First Name, Middle Name, Last Name, Comment Text, Primary Department, Section, Location, Cost Center, Phone, Address, City, State, Zip, Fax, SSN, National Provider ID, Job Title, Employee Status, Login Name.

Filter: none

NOTE: This report may be used as a template by an Administrator to download current active users, then add new users and/or deactivate users from the spreadsheet and send the file back to HCCS. The format is required for HCCS to quickly and accurately process any returned files.

A1B. User Audit Listing. Report displays some demographic information and additional administrative data.

Fields: LoginID, LastName, FirstName, MiddleName, Email Address, User Status, SSN, Job Title, Primary Department, Cost Center, User Creation Date, Password Changed Date, Locked, Super Reviewer, Security Profile

Filter: none

A2. Job Title Listing. Report displays all job titles

Fields: OrganizationID, Job Title

Filter: none

A3. User Job Title Listing. Report displays all registered users and job titles (if assigned)

Fields: Organization ID, LoginID, LastName, MiddleName, FirstName, Job Title

Filter: none

A4. Department Listing. Report displays all departments

Fields: OrganizationID, Department

Filter: none

A5. User Department Listing. Report displays all registered users and assigned department(s)

Fields: Organization ID, LoginID, LastName, MiddleName, FirstName, Department, Department Type

Filter: none

NOTE: Users can be assigned to multiple departments

A6. Role Listing. Report displays all roles

Fields: OrganizationID, Role

Filter: none

A7. User Role Listing. Report displays all registered users and assigned role(s)

Fields: Organization ID, LoginID, LastName, MiddleName, FirstName, User Status, Role, Role Assignment Date, Role Type

Filter: none

NOTE: Users can be assigned to multiple roles. This report may be used as a template by an Administrator to download current user's roles, then add new users and/or terminate roles from the spreadsheet and send the file back to HCCS. The format is required for HCCS to quickly and accurately process any returned files.

A8. Permitted Value Listing. Report displays all Permitted Value Lists

Fields: OrganizationID, Permitted Value

Filter: none

A9. Roles Assigned to Question. Report displays roles assigned to questions

Fields: OrganizationID, Questionnaire, Question #, Group #, Role

Filter: Questionnaire name

NOTE: Report includes both published and beta questionnaires

A_10. Reviewer Role Assignment. Report displays reviewer role assignment

Fields: OrganizationID, Reviewer UserID, Reviewer Name, Department, Cost Center, Review Level, Roles Assigned

Filter: None

A_11. Cost Center Listing. Report displays all cost centers

Fields: OrganizationID, Cost Center

Filter: None

A_12. User Cost Center Listing. Report displays all registered users and assigned cost centers(s)

Fields: Organization ID, LoginID, LastName, MiddleName, FirstName, Cost Center

Filter: none

NOTE: Users can be assigned to multiple cost centers

A_12. User Cost Center Listing. Report displays all registered users and assigned cost centers(s)

Fields: Organization ID, LoginID, LastName, MiddleName, FirstName, Cost Center

Filter: none

NOTE: Users can be assigned to multiple cost centers

Submission Reports

Questionnaire Assigned But Not Submitted. Report displays all respondents that have not completed their assigned questionnaire(s). It also lists respondents whose questionnaires are “in progress” status. There are four versions:

B1. Questionnaire Assigned But Not Submitted.

Fields: Questionnaire, Respondent, User Status, User ID, Primary Department, Email Address, Phone Number, Questionnaire Open Date, Email Sent Date, Days Elapsed, <=30, >30 and <=60, >60 and <=120, >120

Filter: Questionnaire

B2. Questionnaire Assigned But Not Submitted (Grouped by Department). Respondents with multiple Departments are listed as many times.

Fields: Department, User ID, Respondent, User Status Questionnaire, Email Address, Phone Number, Questionnaire Open Date, Email Sent Date, Days Elapsed, <=30, >30 and <=60, >60 and <=120, >120

Filter: Questionnaire, Department

B3. Questionnaire Assigned But Not Submitted (Grouped By Role). Respondents with multiple Roles are listed as many times.

Fields: Role, User ID, Respondent, User Status Questionnaire, Email Address, Phone Number, Questionnaire Open Date, Email Sent Date, Days Elapsed, <=30, >30 and <=60, >60 and <=120, >120

Filter: Questionnaire, Role

B4. Questionnaire Assigned But Not Submitted (Grouped by Cost Center. Respondents with multiple Cost Centers are listed as many times.

Fields: Cost Center, User ID, Respondent, User Status Questionnaire, Email Address, Phone Number, Questionnaire Open Date, Email Sent Date, Days Elapsed, <=30, >30 and <=60, >60 and <=120, >120

Filter: Questionnaire, Cost Center

Questionnaire Submitted. Report displays all respondents that have completed a questionnaire. There are four versions:

C1. Questionnaire Submitted.

Fields: Questionnaire, User ID, Respondent, User Status, Primary Department, Most Recent Submission Date, Disclosure, Filing Year

Filter: Questionnaire, Submission Date

C2. Questionnaire Submitted (Grouped by Department). Respondents with multiple Departments are listed as many times.

Fields: Department, User ID, Respondent, User Status, Questionnaire, Submitted On, Filing Year, Disclosure, Department Type

Filter: Questionnaire, Department, Submission Date

C3. Questionnaire Submitted (Grouped by Role). Respondents with multiple Roles are listed as many times

Fields: Role(s), Role Type, User ID, Respondent, User Status, Questionnaire, Submitted On, Filing Year, Disclosure

Filter: Questionnaire, Role, Submission Date

C4. Questionnaire Submitted (Grouped by Cost Center). Respondents with multiple Cost Centers are listed as many times.

Fields: Cost Center, User ID, Respondent, User Status, Questionnaire, Submitted On, Filing Year, Disclosure

Filter: Questionnaire, Cost Center, Submission Date

Disclosure Reports

Respondent Disclosures. Report displays all responses that are marked as reportable. There are four versions:

D1. Respondent Disclosures

Fields: Questionnaire, User ID, Respondent, User Status, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date

Filter: Questionnaire, Submission Date

D2. Respondent Disclosures (Grouped by Department). Respondents with multiple Departments are listed as many times.

Fields: Department, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date, Department Type

Filter: Questionnaire, Department, Submission Date

D3. Respondent Disclosures (Grouped by Role). Respondents with multiple Roles are listed as many times.

Fields: Role(s), Role Type, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date, Department Type

Filter: Role, Questionnaire, Submission Date

D4. Respondent Disclosures (Grouped by Cost Center). Respondents with multiple Cost Centers are listed as many times.

Fields: Cost Center, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date, Department Type

Filter: Cost Center, Questionnaire, Submission Date

By User-Cost Center. Respondents with multiple Cost Centers are listed as many times.

Respondent Non-Disclosures. Report displays all responses that are not marked as reportable. There are four versions:

E1. Respondent Non-Disclosures

Fields: Questionnaire, User ID, Respondent, User Status, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date

Filter: Questionnaire, Submission Date

E2. Respondent Non-Disclosures (Grouped by Department). Respondents with multiple Departments are listed as many times.

Fields: Department, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date, Department Type

Filter: Department, Questionnaire, Submission Date

E3. Respondent Non-Disclosures (Grouped by Role). Respondents with multiple Roles are listed as many times.

Fields: Role(s), Role Type, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date

Filter: Role, Questionnaire, Submission Date

E4. Respondent Non-Disclosures (Grouped by Cost Center). Respondents with multiple Cost Centers are listed as many times.

Fields: Cost Center, User ID, Respondent, User Status, Questionnaire, Question #, Revision, Entity, Group, Question, Sub-Question, Response, Last Submission Date

Filter: Cost Center, Questionnaire, Submission Date

Review Actions

Review Action Details. Report displays all respondents, their disclosures, and corresponding review actions. There are four versions:

F1. Review Action Details

Fields: Questionnaire, User ID, Respondent, User Status, Primary Department, Question #, Question, Last Submission Date, Phase, Status, Review Level, Reviewer Name, Review Type, Comment, Last Comment Date

Filter: Questionnaire, Submission Date

F2. Review Action Details (Grouped by Department). Respondents with multiple Departments are listed as many times.

Fields: Department, User ID, Respondent, User Status, Questionnaire, Question #, Question, Last Submission Date, Phase, Status, Review Level, Reviewer Name, Review Type, Comment, Last Comment Date

Filter: Department, Questionnaire, Submission Date

F3. Review Action Details (Grouped by Role). Respondents with multiple Roles are listed as many times.

Fields: Role, Role Type, User ID, Respondent, Questionnaire, Question #, Question, Last Submission Date, Phase, Status, Review Level, Reviewer Name, Review Type, Comment, Last Comment Date

Filter: Role, Questionnaire, Submission Date

F4. Review Action Details (Grouped by Cost Center). Respondents with multiple Cost Centers are listed as many times.

Fields: Cost Center, User ID, Respondent, Questionnaire, Question #, Question, Last Submission Date, Phase, Status, Review Level, Reviewer Name, Review Type, Comment, Last Comment Date

Filter: Cost Center, Questionnaire, Submission Date

Special Purpose Reports

J1. New Role Assignments to Submitted Questionnaires

Report identifies when a respondent has added a new role which would trigger new questions on a questionnaire.

Filter: Questionnaire

K1. Panel Report with Question-Level Review Status

Can be used to create an agenda for a COI Committee, based on the Review Status at the Question level.

Filter: Questionnaire, Department, Review Status, Role

M1. Management Plan Listing

Listing of all Management Plans with details

Fields: Respondent, Status, Department, Question, Reviewer, Review Date, Management Plan and Management Plan Status.

CMS Open Payment Reports

Summarizes details for this institution from the CMS Open Payments Database

O1 – Physician Details
O2 – General Payments
O3 – Ownership Payments
O4 – Research Payments
O5 – Associated Research Payments
O6 – Payment Summary
O7 – NPI Checklist

Status Reports

Y3 – Questionnaire Detail Status (Grouped by Role)

Questionnaires Submitted and Not Submitted with Overall Status

Fields: Role, Role Type, Login ID, User Status, Email Address, Respondent Name, Comments, Section, Location, Facility, Job Title, Department, Questionnaire Name, Questionnaire Submission Date, Questionnaire Review Status, Reviewer

Filter: Questionnaire

Summary Reports

Z1. Status Report. Aggregates all transactions and counts the total number of respondents, submissions, disclosures, and disclosure items.

Filter: None

Statistical Summary Report					Currently Active	Total
Client: ABC Corp			Registered Users:		41	44
Questionnaire:	Disclosure Questionnaire					
Filing Year:	2011	Open Date:	03/01/2011			
Final Submission Date:	12/31/2011	Close Date:	01/01/2012			
Total Number of Questions:	2	Published:	True			
			Total Respondents Assigned:		26	27
			Total Respondents Who Submitted:		5	5
			Total Respondents Who Made Disclosures:		5	5
			Total Count of Disclosure Items:		31	50

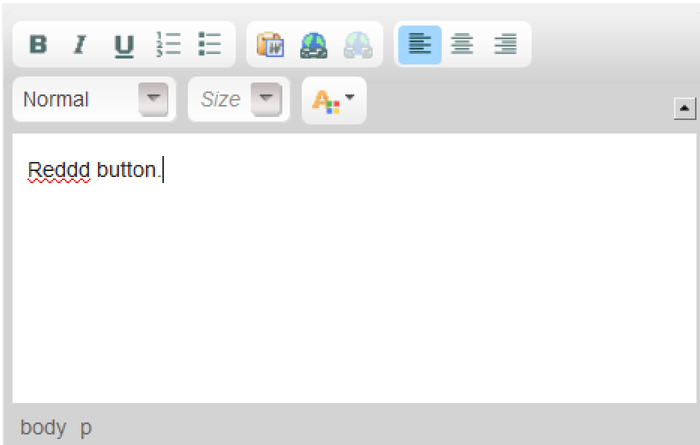
Z2. – Status Report by Department

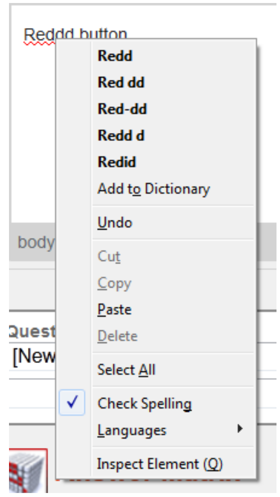
Same as above

Filter: Questionnaire, Department

Hot Tips

- When typing within a WYSIWIG editor, the red line indicating a word may be misspelled works within Firefox and Chrome, but will NOT work in Internet Explorer.
    - To bring up the list of suggested spelling options, hold down the CTRL key on your keyboard and then right-click anywhere within the misspelled word.


Normal
Size
Reddd button.
body p


Reddd button
Redd
Red dd
Red-dd
Redd d
Redid
Add to Dictionary
Undo
Cut
Copy
Paste
Delete
Select All
Check Spelling
Languages
Inspect Element (Q)
body
Quest
[New