

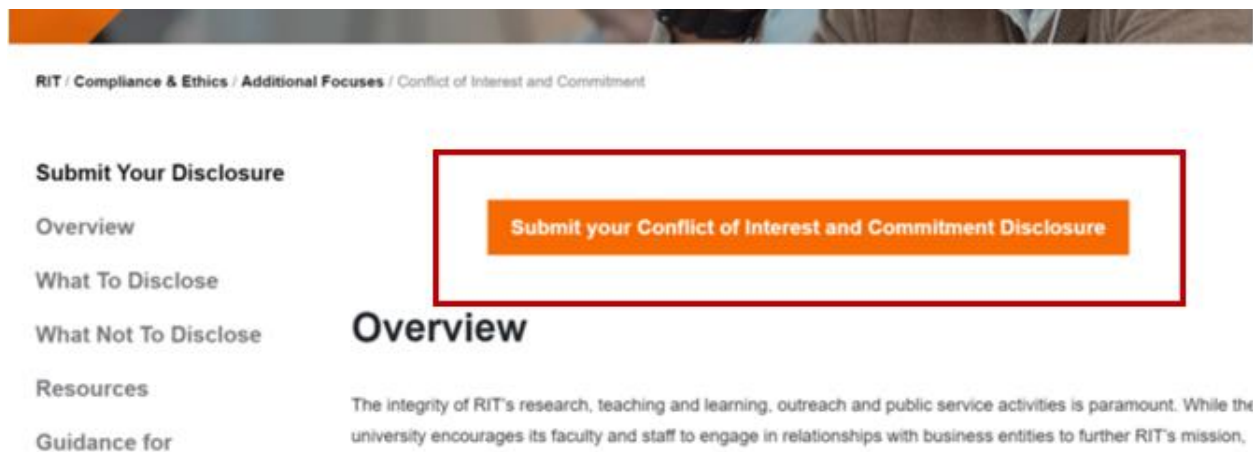
RIT Conflict of Interest and Commitment Disclosure Platform Guide

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Logging in

You can access the disclosure platform from the RIT OCE Conflicts of Interest and Commitment [webpage](#).



The platform is part of RIT's single sign on process with multi factor authentication. You can use your RIT credentials to log into the platform.

Making a disclosure

When you log into the disclosure platform to make a disclosure, you'll first be asked whether you are involved in research activities at RIT. This determines the remaining questions you will be asked.

Screening Questions

Supervisor

Second-level Supervisor

Are you currently participating in an externally sponsored research project?*

☒ Yes ☐ No

In the past twelve (12) months, have you been charged or actively contributed to an externally sponsored research project that was sponsored by the U.S. Public Health Service (e.g. NIH, CDC)?*

☐ Yes ☐ No

The next questions consist of basic screening questions broken into panels by topic.

Screening Questions

Outside Activity

Equity Interest

Intellectual Property

Travel Disclosures

Gift

Supervisory Relationships

Family Relationships

Final Questions

Relatedness Determination

Workflow and Requirements

Each of the questions in the panels has a “Yes” or “No” answer.

If you answer “Yes” to any of the conflict screening questions, there will be a button you must click to add additional information.

The screenshot shows a panel titled "Outside Activity" with a header bar. Below the header, there is a question: "In the past twelve (12) months, have you or a which you or they:". There are four radio button options, each followed by a question: 1. "Yes" (selected) / "No": "Worked as an employee, owner, operator, inde Business or is related to your University Respo". 2. "Yes" / "No" (selected): "Received salary or any payment for services nc organization that is engaged in RIT Business or". 3. "Yes" / "No" (selected): "Had a managerial or other Fiduciary role in an includes, but is not limited to, service as an offi may also include any scientific, technical, advis University Responsibilities.*". 4. "Yes" / "No" (selected): "Had a Supervisory or Fiduciary role or a Financ". At the bottom of the panel, there is a blue button with a plus icon and the text "Add Outside Activity". The button is highlighted with a red rectangular border.

You must answer any questions and complete any fields with an asterisk.

The Final Questions panel is slightly different from the others.

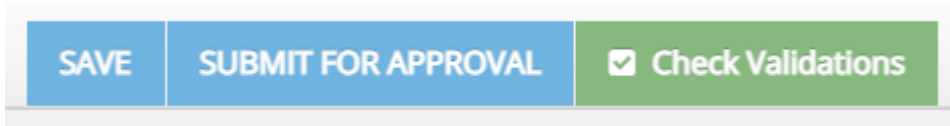
The first question provides an opportunity for you to give additional details to your supervisor about any information you disclosed above or to disclose a conflict situation not addressed by the questions above.

The second question is asked by Human Resources (“HR”). It asks whether you are in compliance with Policy C.23. If you answer “No,” your response will be routed to HR, instead of your direct supervisor. If you have something to disclose on this issue, HR will work with you directly. This process takes place outside the system, and any resulting documentation or management plans will be stored with HR, not on the Novelution platform.

The screenshot shows a panel titled "Final Questions" with a header bar. Below the header, there is a question: "Do you wish to disclose any other relevant information to allow your Supervisor to determine whether you have an actual, potential or perceived Conflict of Interest or Commitment that has not yet already been disclosed?*" There are two radio button options: "Yes" (selected) and "No". Below the question, there is a text input field with the placeholder text "Please explain.*". Below the input field, there is a question: "Are you fully compliant with RIT's policy on Consensual Romantic or Sexual Relationships (C.23)? (Your response to this question will go to Human Resources not your Immediate Supervisor)*". There are two radio button options: "Yes" (selected) and "No".

The system allows you to:

- **SAVE** your information to finish your disclosure later
- **SUBMIT FOR APPROVAL** to route your disclosure to your supervisor for review
- **Check Validations**, to show you any required fields you missed



Once you submit, you can check your Workflow and Requirements to see the status of any routing tasks. If you do not disclose anything, your Disclosure will be complete. If you do disclose something, it will continue routing for review.

Workflow and Requirements

Select Two Different Revisions to Compare

Revision #2.2 Revision #2.1 Compare

	Stage - Revision #	Created	Current Status	Status Date	Notes	
»	Disclosure - revision #2.2 Viewing	12/10/2020 9:46 PM	Disclosure Review	12/10/2020 9:46 PM		
»	Disclosure - revision #1.2	12/10/2020 9:27 PM	Disclosure Completed	12/10/2020 9:38 PM		

Status	Requirement	Completion State	Revision	Completed by	Completed Date
Disclosure Submission Pending	Employee must submit disclosure	✓Completed	#2.1	Discloser, Non-researcher	12/10/2020 9:39 PM
Disclosure Review	Supervisor must complete review of disclosure	✓Completed	#2.1	DemoUser, Chairperson	12/10/2020 9:45 PM
	Management Plan Review and Signing	✓Deferred	#2.1	Discloser, Non-researcher	12/10/2020 9:46 PM
	Supervisor must complete review of disclosure	✓Completed	#2.2	DemoUser, Chairperson	12/10/2020 9:51 PM
	Management Plan Review and Signing	Ready			

NOTE: Only one person can work in a record at a time, so once you submit, please either log out of the system or navigate to another portion of the platform (e.g. your profile) to allow your supervisor to review the record and complete their tasks.

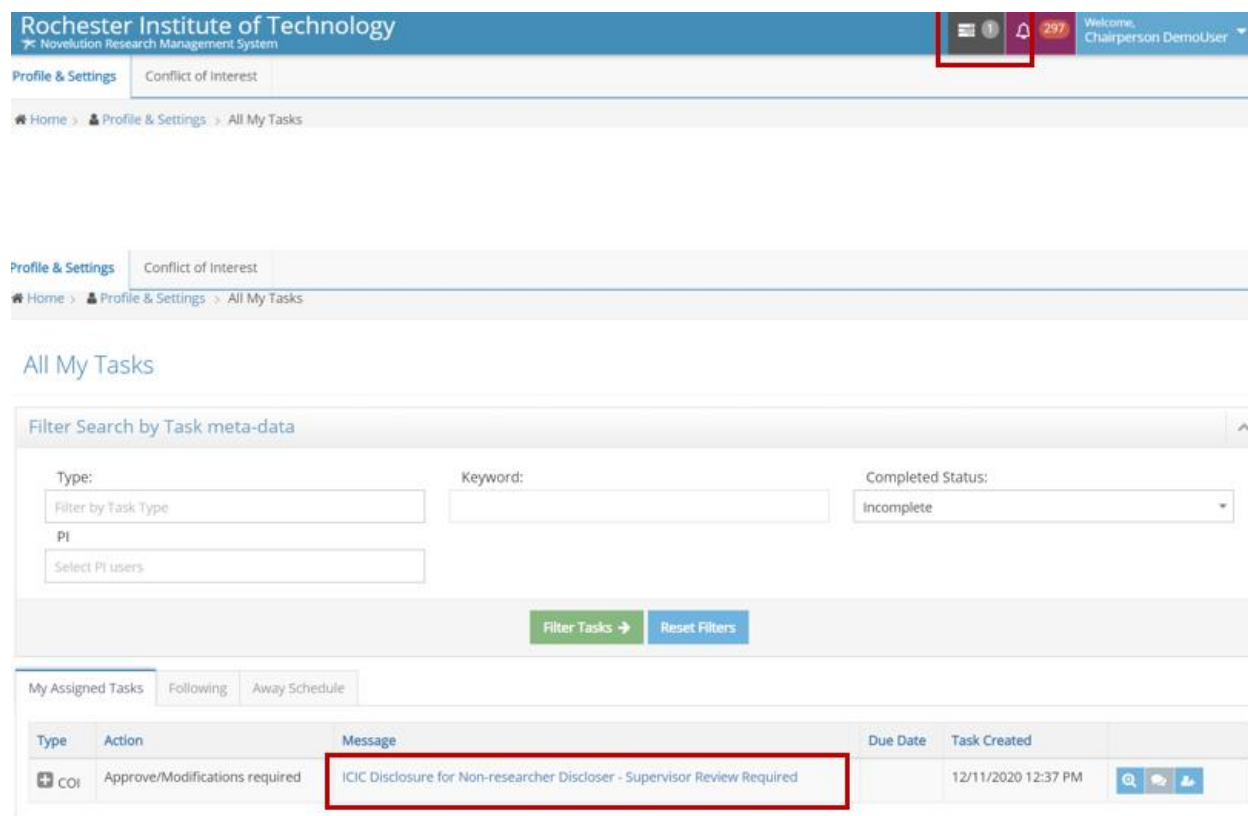
Reviewing a Disclosure (for Supervisors)

When one of your direct reports discloses something in the platform, you, as a supervisor will receive an email instructing you to review it in the platform.

When you log in, there should be a task noted in the upper right corner.



This will take you to all your tasks. In the Message column of the table, there will be a link to the action you need to take.



This is where you will have the opportunity to review your direct report's disclosure.

The next screen will ask you to review the answers from your direct report. Panels with disclosed information will be open by default, but you can open any of the panels to confirm all the answers from your direct report.

Review the information using the action button at the right of the table of disclosed information.

Once you've reviewed all the disclosed information, scroll to the top and answer whether a management plan is needed.

^ Approval Form

Please review the below Disclosure and determine whether anything disclosed is a potential conflict requiring a management plan.

Is either a new management plan or revisions to an existing management plan needed?*

☐ Yes ☐ No

Submit

If you select "No," your role in the review is complete, unless OCE, SRS, or your supervisor determine a management plan is necessary.

If you select "Yes," you will start the management plan process.

Creating a Management Plan (for Supervisors)

Once you submit a "Yes" answer to creating a management plan, scroll down to the Management Plan panel and select a template and, when applicable, an outside organization. (You should not select an outside organization for a Nepotism plan.)

Then click the green button to generate the plan.

^ Management Plans

Choose Template*

Select one

Outside Organization

Select one

Generate Management Plan

The templates provide RIT's standard terms and conditions for general conflicts and family relationship conflicts. The template form will prompt you to provide information

necessary to build the management plan. The question marks inside the blue circles provide additional information as you complete the fields.

You have the opportunity to update that information as you review and revise the management plan.

Each time you want to update the management plan, select Generate Management Plan to include any new information you typed.

Once the management plan reflects the terms you are ready to present to your direct report, click in the box agreeing to sign electronically then click Sign & Save.

I understand that by signing the Management Plan, I agree to meet my responsibilities as outlined in the Management Plan.

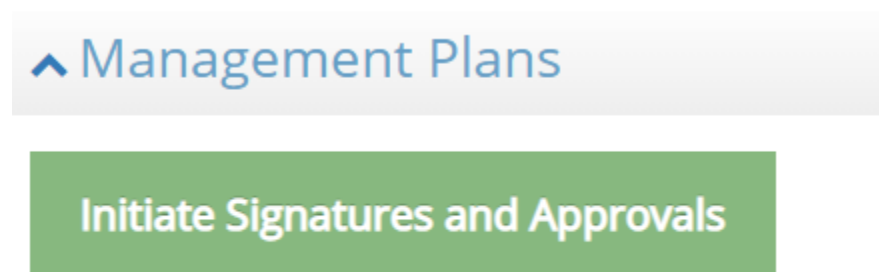
☐ I agree to electronically sign this document

[Cancel](#) [Save](#) [Sign & Save](#)

NOTE: At this point, you have only signed the management plan. You still need to send this to your direct report for their review. If you need to create more than one management plan for your direct report, you should first create, sign, and save all the plans before sending them on to review. This allows the plans to route together and saves time.

Routing a management plan

When you are ready to send the management plan(s) to your direct report, click the green button that says Initiate Signatures and Approvals.



At this point, the management plan will be routed to various individuals including the original discloser and the second level supervisor for review and signature. Some situations may require a review by Sponsored Research Services or the Office of Compliance and Ethics. Each person in the review has the opportunity to review the management plan and make comments before signing.

If someone rejects a management plan, it will return to the supervisor with comments, allowing the supervisor to create a new version or maintain the same version.

To create a new version, the supervisor must create a new version of the declined plan then edit the new draft plan. This is done in the Management Plans panel.

Management Plans

Choose Template*
Select one

Outside Organization
Select one

Generate Management Plan

Title	Status	Action
+ General Management Plan	Declined	...

Title	Status	Action
+ General Management Plan	Declined	...

View
Copy
Archive
Create New Version

Screening Questions

Outside Activity

Title	Status	Action
+ General Management Plan	Archived	...
+ General Management Plan Copy	Draft	...

Edit
Delete
Copy
Archive
Create New Version

Screening Questions

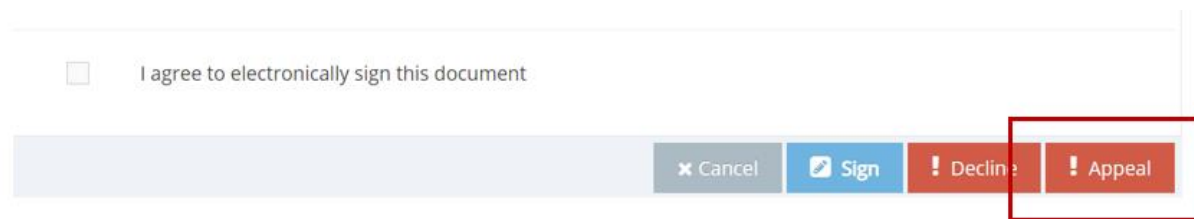
Outside Activity

From this point, the supervisor can update the same fields used to first create the management plan. To incorporate the changes, the supervisor must select the green Generate Management Plan button again, agree to sign electronically, sign and save, then initiate signatures and approvals to start the routing process again.

Assistance and Appeals

There are times when an employee and supervisor or second level supervisor struggle to find a management plan that mitigates the conflict in a way all parties can agree. These discussions often happen best outside the platform. Additionally, the Office of Compliance and Ethics (“OCE”) and Sponsored Research Services (“SRS”) can assist when colleagues want an additional opinion or advice to resolve a matter.

Any signatory can opt to appeal a management plan to the Individual Conflict of Interest and Commitment Committee.



☐ I agree to electronically sign this document

✕ Cancel Sign ! Decline ! Appeal

When this is chosen, OCE or SRS will walk the parties through the appeal process.

Contact

conflictinterest@rit.edu