



National Institutes of Health Office of Extramural Research



eCOI Users' Guide

(Peer Review/IAR)

Version 2.13.0.0 – December 14, 2007



Table of Contents

Electronic Conflict of Interest (eCOI)	1
Reviewers—eCOI	2
Access eCOI Forms	2
Sign the Pre-meeting COI Form	2
Sign the Post-meeting COI Form	6
Sign the SRG Minutes/Budget Form	8
SRA/GTA—eCOI	12
Enable/Disable eCOI Meeting-Wide Option	12
Track eCOI Forms	13
View Specific Reviewer’s List of Applications	17
Designate SRG Minutes/Budget Signee	17
Pre-meeting COI Form-Page 1	19
Post-meeting COI	20
Conflict Report	21
Grant Application Reviewers—Confidentiality and Non Disclosure Rules	22

Electronic Conflict of Interest (eCOI)

With this IAR release, Reviewers can *electronically* sign Conflict of Interest forms. The eCOI forms are accessed from the IAR module. eCOIs will co-exist with the paper forms. The form will be available as long as reviewers have access to the Internet Assisted Review (IAR) module for that particular meeting. There is no change in the conflict of interest policy with the electronic forms' introduction (*see Grant Application Reviewers—Confidentiality and Non Disclosure Rules* on page 22, or access the policy at http://grants.nih.gov/grants/peer/COI_Information.pdf).

NOTE: The eRA system maintains a meeting's eCOI information for 10 years.

Reviewers—eCOI

Reviewers access specific eCOI forms from the **List of Meetings** screen when the “Allow eCOI Submission” meeting option is enabled (*see* **Enable/Disable eCOI Meeting-Wide Option** on page 12).

Access eCOI Forms

To access an eCOI form:

1. Click the desired form’s link on the **List of Meetings** screen (*see* Figure 1).

Form Links:

Action	
View List of Applications	
SRG Minutes/Budget Form	
Pre-Meeting COI Form	
Post-Meeting COI Form	
Meeting Materials	

Meeting	Meeting Dates/Location	SRA Name	Phase	Critique Due	Read Phase End	Edit Phase End	Action
2007 NIH Directors New Innovator Award Edemal Review- 02	07/05/2007-07/23/2007 National Institute of Health, Bethesda, MD						View List of Applications SRG Minutes/Budget Form Pre-Meeting COI Form Post-Meeting COI Form Meeting Materials
	06/17/2007-03/25/2008 Covance Plaza - Silver Spring, Silver Spring, MD		EDIT	08/10/2007 11:00 PM	10/20/2007 08:30 AM	11/20/2007 08:30 AM	View List of Applications SRG Minutes/Budget Form Pre-Meeting COI Form Post-Meeting COI Form Meeting Materials

Figure 1: List of Meetings Screen (IAR0001).

NOTE: The [Post-Meeting COI Form](#) link is not available for reviewers designated as “Mail/Outside Opinion Reviewers” in the Committee Management system.

Sign the Pre-meeting COI Form

To sign the **Pre-meeting COI Form**:

1. Open the **Pre-meeting COI Form** (*see* **Access eCOI Forms** on page 2).
 - The **Pre Meeting Form** screen displays (*see* Figure 2).

The following information was removed from Figure 2 to maintain data privacy:

Reviewer Name
Scientific Review Group
Electronic Signature (Reviewer Name)

Figure 2: Pre Meeting Form Screen.

- Click the [Pre-meeting COI Form – Page 2-3 \(suffix\)](#) link to read COI certification rules and information.

NOTE: The [Pre-meeting COI Form – Page 2-3 \(suffix\)](#) links displays as follows:

The link displays with the “[Fed](#)” suffix when the user is a federal employee as specified within the Committee Management system.

The link displays with the “[non-Fed](#)” suffix when the user is **not** a federal employee as specified within the Committee Management system.

- Click the desired radio button (*see Pre-meeting COI Form Fields/Links/Actions* on page 4 for radio button selection descriptions).

NOTE: Only one radio button can be selected and at least one radio button must be selected to certify the form.

- Click the button to electronically sign the form.

The system redisplay the **Pre Meeting Form** screen with the electronic signature (*see Figure 3*).

Figure 3: Pre Meeting Form—Electronic Signature.


NOTE: Click the button to return to the **List of Meetings** screen.

NOTE: The **Pre-meeting COI Form** can be re-signed when necessary. To re-sign the form, follow steps 1 through 4 above.

Pre-meeting COI Form Fields/Links/Actions

The following list describes **Pre Meeting Form** screen fields, links, and actions.

<u>Field/Link/Action</u>	<u>Description</u>
List of Meetings (Hypertext Link)	When clicked, displays the List of Meetings screen.
Project Personnel Institutions (Hypertext Link)	When clicked, displays the “Unique Institutions - Project Personnel Report”.
Pre-Meeting COI Form – Page 2-3 (Fed) (Hypertext Link)	When clicked, displays rules and information related to COI certification for federal employees. <i>See Pre-meeting COI Form – Page 2-3 (Fed / non-Fed) on page 3.</i>
Pre-Meeting COI Form – Page 2-3 (non-Fed) (Hypertext Link)	When clicked, displays rules and information related to COI certification for non-federal employees. <i>See Pre-meeting COI Form – Page 2-3 (Fed / non-Fed) on page 3.</i>
Reviewer Name	The last and first name of the individual certifying the form. The system automatically determines the displayed value.
Address	The reviewer’s address—the system automatically determines the displayed value.
Scientific Review Group	Identifies the meeting related to the COI certification. The system automatically determines the displayed value.
Date(s) of Review	The meeting’s start and end date in Month DD, YYYY – Month DD, YYYY format. The system automatically determines the displayed value.
Radio Button 1	“I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and have examined the list of applications/proposals to be reviewed, and hereby certify that, based on the information provided to me, I do not have a conflict of interest in any of them. ”

<u>Field/Link/Action</u>	<u>Description</u>
Radio Button 2	“For grant application reviews only: I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and examined the list of applications to be reviewed and hereby certify that, based on the information provided, I have a conflict of interest in the specific applications listed below and hereby recuse myself from their review.”
Radio Button 3	“For contract proposal reviews only: I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and examined the list of proposals to be reviewed and hereby certify that based on the information provided, I have a conflict of interest in the specific proposals listed below and hereby recuse myself from their reviews (requires a waiver to participate in review meeting).”
Applications in Conflict	<p>A list of applications that the SRA has designated as in conflict.</p> <p>Displays the following:</p> <p>PI Name – last, First name of the PI</p> <p>Grant # - The grant Number of the proposal</p> <p>The system automatically determines the displayed value.</p>
Certification	“I certify that I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers." Under penalty of perjury (US Code Title 18 chapter 47 section 1001), I certify that to the best of my knowledge I have disclosed all conflicts of interest that I may have with the applications or R&D contract proposals and I fully understand the confidential nature of the review process and agree: (1) to destroy or return all materials related to it; (2) not to disclose or discuss the materials associated with the review, my evaluation, or the review meeting with any other individual except as authorized by the Scientific Review Administrator (SRA) or other designated DHHS official; (3) not to disclose procurement information prior to the award of a contract; and (4) to refer all inquiries concerning the review to the SRA or other designated DHHS official.”
I Certify (Action Button)	See Click the  button to electronically sign the form on page 3
Cancel (Action Button)	When clicked before signing, returns the user to the List of Meetings screen leaving the form unsigned.

<u>Field/Link/Action</u>	<u>Description</u>
Signature	<p>Displays the following when the form is signed:</p> <p>“Electronically signed by [Reviewer Last Name, Reviewer First Name] via Internet Assisted Review on MM/DD/YYYY HH:MI AM/PM.</p> <p>The system automatically determines the displayed name value.</p>

Sign the Post-meeting COI Form

A system generated email (*see* **Email Reminder Text** on page 8) is forwarded to reviewers as a reminder to sign the Post-meeting COI Form when the following conditions exist:

- The “Allow eCOI Submission” option is enabled.
- The reviewer is not designated as “Mail/Outside Opinion Reviewers” in the Committee Management system.
- The reviewer did not sign the form.
- The meeting end date has past.
- The meeting “Edit” phase (if exists) has not yet past.
- The meeting “Read” phase (if “Edit” phase does not exist) has not yet past.

To sign the **Post-meeting COI Form**:

1. Open the **Post-meeting COI Form** (*see* **Access eCOI Forms** on page 2).

NOTE: The Post-meeting COI Form is **not** available to reviewers designated as “Mail/Outside Opinion Reviewers” in the Committee Management system.

- The **Post Meeting Form** screen displays (*see* Figure 4).

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health
 Version 2.12.1.1.dev

Welcome
 Institution: Not Affiliated
 Authority: IAR [Log out](#)

Home Admin Personal Profile Internet Assisted Review Links eRA Partners Help

Post Meeting Form

[List of Meetings](#)

**DHHS POST-REVIEW CERTIFICATION FORM
 REGARDING CONFLICT OF INTEREST, CONFIDENTIALITY, AND NON-DISCLOSURE OF INFORMATION FOR NON-FEDERAL AND FEDERAL REVIEWERS OF GRANT
 APPLICATIONS AND R&D CONTRACT PROPOSALS**

Scientific Review Group: _____
 Date(s) of review: July 05, 2007 - July 23, 2007

A. Confidentiality and Non-Disclosure: I fully understand the confidential nature of the review process and agree: (1) to destroy or return all materials related to the evaluation; (2) not to disclose or discuss the materials associated with the review, my evaluation, or the review meeting outside of that meeting or with any other individual except as authorized by the Scientific Review Administrator (SRA) or other DHHS designated official; (3) not to disclose procurement information prior to the award of a contract; and (4) to refer all inquiries concerning the review to the SRA or other designated DHHS official.

B. Conflict of Interest For Non-Federal Reviewers: This is to certify that in the review identified above, I did not participate in an evaluation of any application or proposal: (1) from any applicant institution or offeror where I am a full- or part-time salaried employee or where I am negotiating for such employment; (2) from any applicant institution or offeror where I have received or could receive a direct financial benefit in relation to the application or proposal under review or have received or could receive a financial benefit from the applicant institution or offeror or principal investigator valued at \$10,000 or more per year that is unrelated to the application or proposal under review; (3) submitted by a close personal relative, a member of my household, or professional associate, or if such person receives financial benefits from or provides financial benefits to an applicant or offeror; if there was an appearance or real conflict of interest, or (4) any application submitted by my former (within the past year) employer I recused myself from the review of the application/proposal or was granted an appropriate waiver.

C. Conflict of Interest For Federal Reviewers: This is to certify that in the review identified above, I did not participate in an evaluation from (1) any applicant institution where I have an outside activity; (2) any applicant institution where I serve as an officer, director, trustee or partner; (3) any applicant institution where I am seeking employment; (4) any applicant institution in which I, my spouse, and my minor child hold, in aggregate, more than \$15,000 worth of stock; (5) any applicant institution where my spouse is employed; (6) any application submitted by a close personal relative, a member of my household, a colleague with whom I have a business or other contractual relationship, the employer of my spouse, parent, or child, or (7) any application submitted by my former (within the past year) non-Federal employer. If there was an appearance or actual conflict of interest, I recused myself from the review of the application/proposal or was granted an appropriate waiver.

CERTIFICATION

Under penalty of perjury (US Code Title 18 Chapter 47 section 1001), I fully understand the confidential nature of the review process and agree to confidentiality and non-disclosure (Paragraph A) and certify that in the review above I did not participate in an evaluation of any application or proposal with which I knowingly had a conflict of interest (Paragraph B or C).

Printed Name _____ Signature _____

Electronically signed by [] via Internet Assisted Review
 on 10/30/2007 11:23 AM

(Date)

[Contact Us/Help Desk](#) | [Privacy Notice](#) | [Disclaimer](#) | [Accessibility](#)

National Institutes of Health (NIH)
 9000 Rockville Pike
 Bethesda, Maryland 20892

Department of Health
 and Human Services

© 2007 NIH. All Rights Reserved.
 Screen Rendered: 11/01/2007 04:21:07 EDT
 Screen ID

GRANTS.GOV
 FIND. APPLY. SUCCESS.

Link

The following information was removed from Figure 4 to maintain data privacy:

Scientific Review Group
 Printed Name (Reviewer Name)
 Electronic Signature (Reviewer Name)

Figure 4: Post Meeting Form Screen.

- Click the button to electronically sign the form.
 - The system redisplay the **Post Meeting Form** screen with the reviewer's printed name and electronic signature (see Figure 5).

last, first name

Printed Name
 (last, first name)

Signature _____

Electronically signed by [] via Internet Assisted Review
 on 10/30/2007 11:23 AM

Figure 5: Post Meeting Form—Electronic Signature.


NOTE: Click the button to return to the **List of Meetings** screen.

NOTE: The **Post-meeting COI Form** can be re-signed when necessary. To re-sign the form, follow steps 1 and 2 above.

Post-meeting COI Form Fields, Links, Actions

The following list describes **Post Meeting Form** screen fields, links, and actions.

Field/Link/Action	Description
List of Meetings (Hypertext Link)	When clicked, displays the List of Meetings screen.
Scientific Review Group	Identifies the meeting related to the COI certification. The system automatically determines the displayed value.

<u>Field/Link/Action</u>	<u>Description</u>
Date(s) of Review	The meeting's start and end date in Month DD, YYYY – Month DD, YYYY format. The system automatically determines the displayed value.
I Certify (Action Button)	See Click the  button to electronically sign the form on page 7.
Cancel (Action Button)	When clicked before signing, returns the user to the List of Meetings screen leaving the form unsigned.
Signature	Displays the following when the form is signed: “Electronically signed by [Reviewer Last Name, Reviewer First Name] via Internet Assisted Review on MM/DD/YYYY HH:MI AM/PM” The system automatically determines the displayed name value.

Email Reminder Text

“Our records indicate that you still need to certify the Post-Meeting Conflict of Interest form for the [Meeting Identifier] meeting that took place on [Meeting Start Date]. The Federal Advisory Committee Act (FACA) requires us to file these documents in order to close out the meeting, and timely completion of this task is an essential part of my duties as the Designated Federal Official who was appointed to this meeting. Please log into your Commons account at <http://commons.era.nih.gov>, navigate to Internet Assisted Review, and click the Post-Meeting COI Form link next to the meeting. Click [I Certify] button on the bottom of the page after you read the form.

Thank you for your cooperation with this request. As always, we are grateful for your participation in the peer review process.”

Sign the SRG Minutes/Budget Form

The SRG Minutes/Budget Form is accessed from the **List of Meetings** screen. SRAs sign the form; reviewers sign the form only when the “Allow eCOI Submission” option is enabled (*see* **Enable/Disable eCOI Meeting-Wide Option** on page 12), and the reviewer is designated as a signee by the SRA (*see* **Designate SRG Minutes/Budget Signee** on page 17).

To sign the **SRG Minutes/Budget Form**:

1. Open the **SRG Minutes/Budget Form** (*see* **Access eCOI Forms** on page 2).
- The **SRG Minutes/Budget Form** screen displays (*see* Figure 6).

The following information was removed from Figure 6 to maintain data privacy:

- Scientific Review Group Chairperson Names (designated signees)
- Budget Information (Amounts)
- Designated Signee Name
- Electronic Signatures

Figure 6: SRG Minutes/Budget Form (IAR0904).

2. Enter the **Meeting Adjourned Time** and **Meeting Adjourned Date** (see Figure 7).

The meeting was adjourned at (time HH:MM AM) on (date MM/DD/YYYY) .

Figure 7: View of Meeting Adjourned Time and Date.

NOTE: The time and date fields must be entered before signing the form.

3. Click the button to electronically sign the form:
 - a. Designees (reviewers/chairpersons)—click the button adjacent to their name on the lower **left** of the screen.
 - b. SRAs—click the button adjacent to their name on the lower **right** of the screen.
 - The system redisplay the **SRG Minutes/Budget Form** screen with the electronic signature (see Figure 8).

Figure 8: SRG Minutes/Budget Form—Electronic Signatures.

NOTE: Click the button to return to the **List of Meetings** screen.

NOTE: The **SRG Minutes/Budget Form** can be re-signed and the **Meeting Adjourned Time** and **Meeting Adjourned Date** can be re-entered. To re-sign the form, follow steps 1 through 3 above.

Multiple Reviewers (designees)

The **SRG Minutes/Budget Form** screen displays all reviewers with signee designation and displays the **I Certify** button only for the specific designee accessing the form (see Figure 9). SRAs and reviewers cannot sign the form for other designees.

Multiple designees (reviewers/chairpersons)

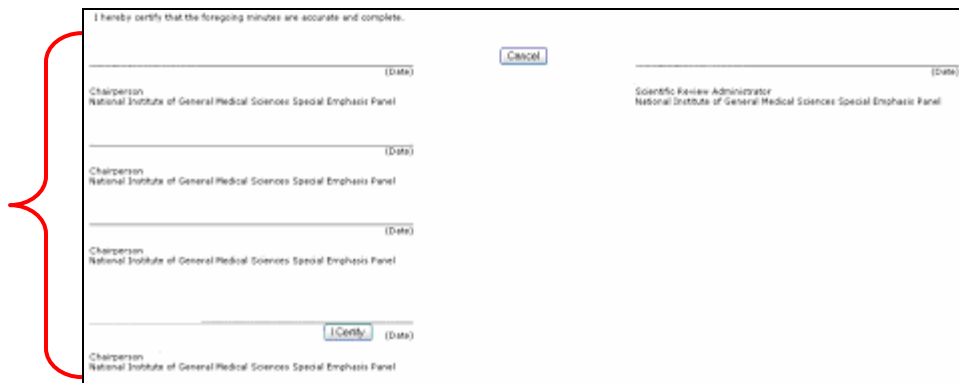



Figure 9: Partial View SRG Minutes/Budget Form Screen (IAR0904).

SRG Minutes/Budget Form Fields, Links, Actions

The following list describes **SRG Minutes/Budget Form** screen fields, links, and actions.

<u>Field/Link/Action</u>	<u>Description</u>
Adjourned Meeting Date	The date the meeting was adjourned. The Adjourned Meeting Date must be entered before signing the form. The valid format is mm/dd/yyyy.
Adjourned Meeting Time	The time the meeting was adjourned. The Adjourned Meeting Time must be entered before signing the form. The valid format is HH:MI AM/PM, for example—1:15 PM
SRA	The meeting’s SRA first and last name. The SRA field displays on the screen’s lower right. The system automatically determines the displayed value.

<u>Field/Link/Action</u>	<u>Description</u>
Chairperson	<p>The reviewer's (designated as signee) first and last name.</p> <p>The Chairperson field displays on the screen's lower left. More than one can display.</p> <p>The system automatically determines the displayed value.</p>
I Certify (Action Button)	<p>See Click the  button to electronically sign the form on page 9.</p> <p>This button displays for reviewers designated as signees and SRAs.</p>
Signature	<p>Displays the following when the form is signed:</p> <p>“Electronically signed by [last, first name] via Internet Assisted Review on MM/DD/YYYY HH:MI AM/PM.</p> <p>The system automatically determines the displayed name value.</p> <p>The SRA's electronic signature displays on the SRG Minutes/Budget Form screen's lower right.</p> <p>The reviewer's (with signee designation) electronic signature displays on the SRG Minutes/Budget Form screen's lower left for each designee.</p>
Cancel (Action Button)	<p>When clicked before signing, returns the user to the List of Meetings screen leaving the form unsigned.</p>

SRA/GTA—eCOI

Enable/Disable eCOI Meeting-Wide Option

The IAR Control Center now incorporates a new feature—Allow eCOI Submission. This new feature allows SRAs/GTAs to control reviewer access to eCOI forms.

To enable or disable eCOI access:

1. Access the **Control Center** screen in IAR.
2. Click the [Edit](#) link in the IAR Phases and Options section (see Figure 10).

The screenshot shows the eRA Commons interface. At the top, it says "Electronic Research Administration" and "Sponsored by National Institutes of Health". Below that are navigation links: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain. The main heading is "Control Center". There are several links: List of Meetings, Track COI Forms, SRG Minutes, Budget Form, and List of Applications. Below these is a "Download Zip of All Prelim-SS" link. The main content area is titled "IAR Phases and Options" and has an "Edit" link highlighted with a red box. Below this is a table with the following data:

SUBMIT Phase End	09/27/2007 11:59 PM
READ Phase End	10/02/2007 05:00 PM
EDIT Phase End	10/04/2007 11:59 PM
Assignment Purge Date	
Closure Date	
Allow Unassigned During SUBMIT	Yes
Allow Unassigned During EDIT	Yes
Include Reviewer Names in Pre-SS	No
Include Discussant/Reader Critiques in Pre-SS	Yes
Allow non-numeric scores	Yes
Show Subprojects in IAR	Yes
Create Preliminary Summary Statements	WHEN SUBMIT PHASE IS OVER
Allow eCOI Submission	No

Two red arrows point to the "Edit" link and the "Allow eCOI Submission" row. Labels next to the arrows are "Edit IAR Phases and Options" and "Allow eCOI Submission—Label and Value Display".

Figure 10: Control Center Screen Partial View (IAR0002).

- The **Control Center – Edit IAR Phases and Options** screen displays (see Figure 11).

Allow eCOI Submission—
Default Value is “No”

Yes No

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome Institution: Authority: [Log out](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Internet Assisted Review Links eRA Partners Help

Control Center - Edit IAR Phases and Options

Enter or Change Phase Dates and Meeting Wide Options. Press Update to continue.

Allow Reviewers to Submit Unassigned Critiques in the SUBMIT phase Yes No
 Allow Reviewers to Submit Unassigned Critiques in the EDIT phase Yes No
 Include Reviewer Names in Preliminary Summary Statement bodies Yes No
 Include Discussant/Reader critiques in Preliminary Summary Statement bodies Yes No
 Allow non-numeric score submission Yes No
 Show Subprojects in IAR Yes No
 Create Preliminary Summary Statements Yes No
 Allow eCOI Submission Yes No

WHEN SUBMIT PHASE IS OVER

SUBMIT Phase End Date/Time (MM/DD/YYYY HH:MM AM)
 (initiates Read Phase)

READ Phase End Date/Time (MM/DD/YYYY HH:MM AM)
 (initiates Edit Phase if Edit Phase End Date exists)

EDIT Phase End Date/Time (MM/DD/YYYY HH:MM AM)

Assignment Purge Date (will be set to 15 days after meeting release)
 Closure Date (will be set to 6 months after meeting release)

Assignment Purge Date: Assignment information (reviewers, assignments to applications, and conflicts) is deleted.
 Closure Date: All data in IAR corresponding to the meeting is deleted (critiques, preliminary scores, etc.)

Contact Us Help Desk Privacy Notice Disclaimers Accessibility

National Institutes of Health
9000 Rockville Pike
Bethesda, Maryland 20892

Department of Health and Human Services

© 2007 NIH. All Rights Reserved.
Screen Rendered: 12/03/2007 12:11:27 EST
Screen ID: IAR0006

GRANTS.GOV™
FIND. APPLY. SUCCEED™

Figure 11: Control Center – Edit IAR Phases and Options Screen (IAR0006).

3. Select the **Yes** (enable) or **No** (disable) radio button option on the **Control Center – Edit IAR Phases and Options** screen

NOTE: The Allow eCOI Submission default value is **No**.

Track eCOI Forms

IAR eCOI features include a new **Track Conflict of Interest** screen that allows SRAs/GTAs to monitor eCOI reviewer signatures.

To access the **Track Conflict of Interest** screen from the **List of Meetings** screen:

1. Click the [Track COI Forms](#) link in a listed meeting’s **Action** column (see Figure 12).

Track COI Forms Link

Action

[Track COI Forms](#)

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome Institution: Authority: [Log out](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Internet Assisted Review Links eRA Partners Help

List of Meetings

Enter search criteria (Council Date Required). Click Search.
 This is a the top of the Meeting List screen in IAR.

Council* (YYYY/MM) SRG Code / Flex SRA Designator / Flex Group SRA Last Name

All times are in Eastern Standard Time/Eastern Daylight Time.

1 - 50 out of 216 records Prev 1 2 3 4 5 Next

Meeting	Meeting Dates/Location	SRA Name	Phase	Critique Due	Read Phase End	Edit Phase End	# of Apps	Action
			S3 PREP	09/03/2007 08:00 PM	09/23/2007 05:00 PM		0	Control Center Track COI Forms SRG Minutes/Budget Form List of Applicants: By Application By Reviewer Check List of Applicants Preliminary Score Matrix Final Scores Download Zip of All Pre-S3 Meeting Material

Figure 12: List of Meetings Screen (IAR0001).

- The **Track Conflict of Interest Forms** screen displays (see Figure 14).

To access the **Track Conflict of Interest** screen from the **Control Center** screen:

1. Click the [Track COI Forms](#) link (see Figure 13).

Track COI Forms Link



Figure 13: Control Center Screen Partial View—Track COI Forms Link (IAR0002).

- The Track Conflict of Interest Forms screen displays (see Figure 14).

The following information was removed from Figure 14 to maintain data privacy:

Meeting Title
Meeting Identifier
Meeting Phase
Reviewer Name
User ID

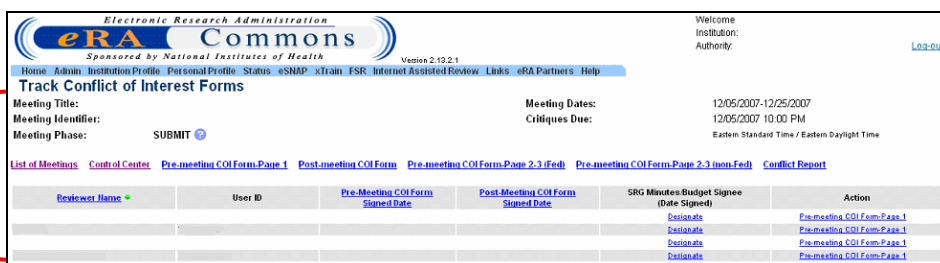


Figure 14: Track Conflict of Interest Screen Partial View (IAR0900).

NOTE: When no reviewers are associated with a meeting, the **Track Conflict of Interest** screen displays with the message shown in Figure 15.

No Reviewers Message

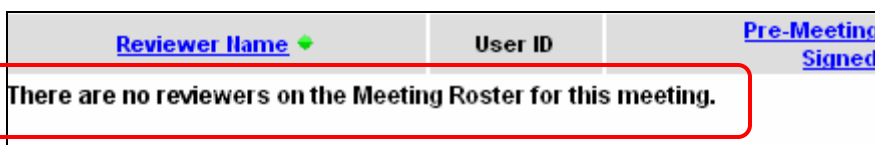


Figure 15: Partial View Track Conflict of Interest Screen (IAR0900).

Track Conflict of Interest Forms Screen—Fields, Links, Actions

The following list describes **Track Conflict of Interest Forms** screen fields, links, and actions.

<u>Field/Link/Action</u>	<u>Description</u>
Meeting Title	The title of the meeting or panel name if meeting is SEP.
Meeting Identifier	Displays a value used to distinguish the meeting, for example: “2008/01 GCMB”.
Meeting Phase	The meeting’s current IAR phase.
Meeting Dates	The meeting’s actual start and finish dates.
Critiques Due	The date and time application critiques are due.

<u>Field/Link/Action</u>	<u>Description</u>
List of Meetings (Hypertext Link)	When clicked, displays the List of Meetings screen.
Control Center (Hypertext Link)	When clicked, displays the Control Center screen.
Pre-meeting COI Form-Page 1 (Hypertext Link)	When clicked, displays a report consisting of the Pre-meeting COI Form-Page 1 for each meeting reviewer. The reviewer's signature displays for each reviewer that signed the form. <i>See Pre-meeting COI Form-Page 1 on page 19.</i>
Post-meeting COI Form (Hypertext Link)	When clicked, displays the Post-meeting COI Form listing all meeting reviewers. The reviewer's signature displays for each reviewer that signed the form. <i>See Post-meeting COI on page 20.</i>
Pre-meeting COI Form-Page 2-3 (Fed) (Hypertext Link)	When clicked, displays rules and information related to COI certification for federal employees.
Pre-meeting COI Form-Page 2-3 (non-Fed) (Hypertext Link)	When clicked, displays rules and information related to COI certification for non-federal employees.
Conflict Report (Hypertext Link)	When clicked, displays a list of meeting reviewers and COI information. <i>See Conflict Report on page 21.</i>
Reviewer Name (Hypertext Link)	The reviewer's last and first name. When the listed reviewer is designated as "Mail/Outside Opinion Reviewer" in the Committee Management system, a "(Mail)" label displays adjacent to the reviewer's name. The Reviewer Name links can be sorted. The default sort is by last and first name in ascending order. Clicking a specific reviewer name displays the IAR List of Applications for Reviewer screen for that individual (<i>see View Specific Reviewer's List of Applications on page 17</i>).

<u>Field/Link/Action</u>	<u>Description</u>
User ID	The reviewer's Commons User ID.
Pre-Meeting COI Form (Signed Date)	<p>The date and time that the reviewer signed the Pre-Meeting COI form.</p> <p>A blank value indicates no form signature.</p> <p>The Pre-Meeting COI Form Signed Date field can be sorted.</p>
Post-Meeting COI Form (Signed Date)	<p>The date and time that the reviewer signed the Post-Meeting COI form.</p> <p>A blank value indicates no form signature.</p> <p>The Post-Meeting COI Form Signed Date field can be sorted.</p>
<hr/> <p>NOTE: This field is not applicable to reviewers designated as "Mail/Outside Opinion Reviewer" in the Committee Management system.</p> <hr/>	
SRG Minutes/Budget Signee (Date Signed) (Hypertext Link) "Designate"(default) — Or — "Clear"	<p>Clicking "Designate" triggers the system to designate the adjacent reviewer as the SRG Minutes/Budget form signee and changes the field's display value to "Clear":</p> <p>Clicking "Clear" triggers the system to remove the adjacent reviewer's SRG Minutes/Budget form signee designation and changes the field's display value to "Designate".</p>
<hr/> <p>NOTE: <i>See Designate SRG Minutes/Budget Signee</i> on page 17,</p> <p>— Also —</p> <p><i>see Sign the SRG Minutes/Budget Form</i> on page 8.</p> <hr/>	
Action (Hypertext Link) "Pre-meeting COI Form Page 1"	When clicked, displays the Pre-meeting COI Form-Page 1 for the adjacent reviewer.

View Specific Reviewer's List of Applications

The following information was removed from Figure 16 to maintain data privacy:

Reviewer Name
Meeting Title
Meeting Identifier
Meeting Phase
Reviewer
PI Name
Application

The existing IAR List of Applications for Reviewer screen displays when the Reviewer Name is clicked on the Track Conflict of Interest Forms screen (see Figure 16, also see Reviewer Name on page 15).

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.13.3.1

Welcome Institution: Authority: Log-out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Internet Assisted Review Links eRA Partners Help

List of Applications for Reviewer -

Meeting Title: Meeting Identifier: Meeting Phase: READ Meeting Dates: 12/05/2007-12/25/2007 Critiques Due: 09/28/2007 10:00 PM Eastern Standard Time / Eastern Daylight Time

List of Meetings: Conf of Center: List of Applications: By Application By Reviewer Single List of Applications Preliminary Score Matrix Final Scores Meeting Materials

View All Meeting Critiques: By App: By PI: Download 2a_of All Pn 53

Reviewer	PI Name (Parent Application PI)	New PI	Role	Application	Prelim. Score	Submitted Date	Action
		Y	See 1				InMail

Contact [SRA/GTA](#) if you identify any conflicts or assignment discrepancies with Internet Assisted Review

Contact Us/Help Desk | Privacy Notice | Disclaimer | Accessibility

National Institutes of Health, 9000 Rockville Pike, Bethesda, Maryland 20892
Department of Health and Human Services
© 2007 NIH. All Rights Reserved. Screen Randered: 12/06/2007 02:10:43 EST. Screen ID: IAR0007

GRANTS.GOV™ FIND. APPLY. SUCCEED™

Figure 16: List of Applications for Reviewer – (Reviewer Name) Screen (IAR0007).

Designate SRG Minutes/Budget Signee

One or more reviewers listed on the Track Conflict of Interest Forms screen can be designated as a SRG Minutes/Budget Signee.

To designate a reviewer:

1. Click the [Designate](#) link adjacent to a listed reviewer (see Figure 17).

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.13.2.1

Welcome Institution: Authority: Log-out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain FSR Internet Assisted Review Links eRA Partners Help

Track Conflict of Interest Forms

Meeting Title: Meeting Identifier: Meeting Phase: SUBMIT Meeting Dates: 12/05/2007-12/25/2007 Critiques Due: 12/05/2007 10:00 PM Eastern Standard Time / Eastern Daylight Time

List of Meetings: Conf of Center: Pre-meeting COI Form Page 1 Post-meeting COI Form Pre-meeting COI Form Page 2-3 (Feed) Pre-meeting COI Form Page 2-3 (Info/Feed) Conflict Report

Reviewer Name	User ID	Pre-Meeting COI Form Signed Date	Post-Meeting COI Form Signed Date	SRG Minutes/Budget Signee (Date Signed)	Action
					Designate Pre-meeting COI Form Page 1
					Designate Pre-meeting COI Form Page 1
					Designate Pre-meeting COI Form Page 1
					Designate Pre-meeting COI Form Page 1

Designate Link

SRG Minutes/Budget Signee (Date Signed)

[Designate](#)

[Designate](#)

[Designate](#)

Figure 17: Track Conflict of Interest Screen Partial View (IAR0900).

NOTE: The Meeting Title, Meeting Identifier, Meeting Phase, Reviewer Name, and User ID values were removed from Figure 17 to maintain data privacy.

The system performs the following:

- Designates the selected reviewer as the SRG Minutes/Budget signee.
- Changes the SRG Minutes/Budget Signee column value to [Clear](#) for the selected reviewer (see Figure 18).

Click [Clear](#) to remove a designation.



Figure 18: Track Conflict of Interest Screen Partial View (IAR0900).

Remove Designation

To remove a SRG Minutes/Budget Signee designation:

1. Click the [Clear](#) link adjacent to a listed reviewer (see Figure 18).

The system performs the following:

- Removes the reviewer's SRG Minutes/Budget designation.
- Changes the SRG Minutes/Budget Signee column value to [Designate](#) for the selected reviewer.

Sign the SRG Minutes/Budget Form

See **Sign the SRG Minutes/Budget Form** on page 8.

Pre-meeting COI Form-Page 1

Name information was removed
from Figure 19 to maintain data
privacy.

NIH/OER/OEP { 1/12/2005 }		
DHHS PRE-REVIEW CERTIFICATION FORM REGARDING CONFLICT OF INTEREST, CONFIDENTIALITY, AND NON-DISCLOSURE FOR REVIEWERS OF GRANT APPLICATIONS AND R&D CONTRACT PROPOSALS		
Name (Last, First):	_____ (Please print)	
Address:	Department of Nutritional Sciences College of Natural Resources University of California, Berkeley Berkeley, CA 94720	
Other Employers (if applicable):	_____	
Scientific Review Group:	_____	
Date(s) of review:	December 06, 2007 - December 26, 2007	
Check only one (and provide any comments or explanations on reverse side):		
<input type="checkbox"/>	I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and have examined the list of applications/proposals to be reviewed, and hereby certify that, based on the information provided to me, I do not have a conflict of interest in any of them.	
OR		
<input type="checkbox"/>	For grant application reviews only: I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and examined the list of applications to be reviewed and hereby certify that, based on the information provided, I have a conflict of interest in the specific applications listed below and hereby recuse myself from their review.	
OR		
<input type="checkbox"/>	For contract proposal reviews only: I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers" and examined the list of proposals to be reviewed and hereby certify that based on the information provided, I have a conflict of interest in the specific proposals listed below and hereby recuse myself from their reviews (requires a waiver to participate in review meeting).	
I am in conflict with the following applications/proposals (identify applications by number and identify proposals by name of offeror)		
_____	_____	_____
_____	_____	_____
_____	_____	_____
Certification		
I certify that I have read the attached "DHHS Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers." Under penalty of perjury (US Code Title 18 chapter 47 section 1001), I certify that to the best of my knowledge I have disclosed all conflicts of interest that I may have with the applications or R&D contract proposals and I fully understand the confidential nature of the review process and agree: (1) to destroy or return all materials related to it; (2) not to disclose or discuss the materials associated with the review, my evaluation, or the review meeting with any other individual except as authorized by the Scientific Review Administrator (SRA) or other designated DHHS official; (3) not to disclose procurement information prior to the award of a contract; and (4) to refer all inquiries concerning the review to the SRA or other designated DHHS official.		
Signature:	_____	
	Date	
REV6240	Page 1	DEC-07-07 06:58 AM

Figure 19: Pre-meeting COI Form-Page 1.

NOTE: Clicking the [Pre-meeting COI Form-Page 1](#) link on the **Track Conflict of Interest Forms** screen displays the form for all meeting reviewers.

Clicking the [Pre-meeting COI Form-Page 1](#) link in the **Action** column for a specific reviewer, displays the form for that reviewer.

Post-meeting COI

NIH/OER/OEP 1/12/2005

DHHS POST-REVIEW CERTIFICATION FORM
REGARDING CONFLICT OF INTEREST, CONFIDENTIALITY, AND NON-DISCLOSURE OF INFORMATION FOR NON-FEDERAL AND FEDERAL REVIEWERS OF GRANT APPLICATIONS AND R&D CONTRACT PROPOSALS

Scientific Review Group: _____
Date(s) of review: December 05, 2007 - December 25, 2007

A. Confidentiality and Non-Disclosure: I fully understand the confidential nature of the review process and agree: (1) to destroy or return all materials related to the evaluation; (2) not to disclose or discuss the materials associated with the review, my evaluation, or the review meeting outside of that meeting or with any other individual except as authorized by the Scientific Review Administrator (SRA) or other DHHS designated official; (3) not to disclose procurement information prior to the award of a contract; and (4) to refer all inquiries concerning the review to the SRA or other designated DHHS official.

B. Conflict of Interest For Non-Federal Reviewers: This is to certify that in the review identified above, I did not participate in an evaluation of any application or proposal: (1) from any applicant institution or offeror where I am a full- or part-time salaried employee or where I am negotiating for such employment; (2) from any applicant institution or offeror where I have received or could receive a direct financial benefit in relation to the application or proposal under review or have received or could receive a financial benefit from the applicant institution or offeror or principal investigator valued at \$10,000 or more per year that is unrelated to the application or proposal under review; (3) submitted by a close personal relative, a member of my household, or professional associate, or if such person receives financial benefits from or provides financial benefits to an applicant or offeror; or (4) any application submitted by my former (within the past year) employer I recused myself from the review of the application/proposal or was granted an appropriate waiver.

C. Conflict of Interest For Federal reviewers: This is to certify that in the review identified above, I did not participate in an evaluation from (1) any applicant institution where I have an outside activity; (2) any applicant institution where I serve as an officer, director, trustee or partner; (3) any applicant institution where I am seeking employment; (4) any applicant institution in which I, my spouse, and my minor child hold, in aggregate, more than \$15,000 worth of stock; (5) any applicant institution where my spouse is employed; (6) any application submitted by a close personal relative, a member of my household, a colleague with whom I have a business or other contractual relationship, the employer of my spouse, parent, or child, or (7) any application submitted by my former (within the past year) non-Federal employer. If there was an appearance or actual conflict of interest, I recused myself from the review of the application/proposal or was granted an appropriate waiver.

CERTIFICATION

Under penalty of perjury (US Code Title 18 Chapter 47 section 1001), I fully understand the confidential nature of the review process and agree to confidentiality and non-disclosure (Paragraph A) and certify that in the review above I did not participate in an evaluation of any application or proposal with which I knowingly had a conflict of interest (Paragraph B or C).

Printed Name	Signature
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

REV6245 Page 1 DEC-07-07 07:34 AM

Name information was removed from Figure 20 to maintain data privacy.

Figure 20: Post-meeting COI.

Conflict Report

The following information was removed from Figure 21 to maintain data privacy:

Council (identifier)
 SRA (name)
 Application (identifiers)
 PI Name
 Conflicts

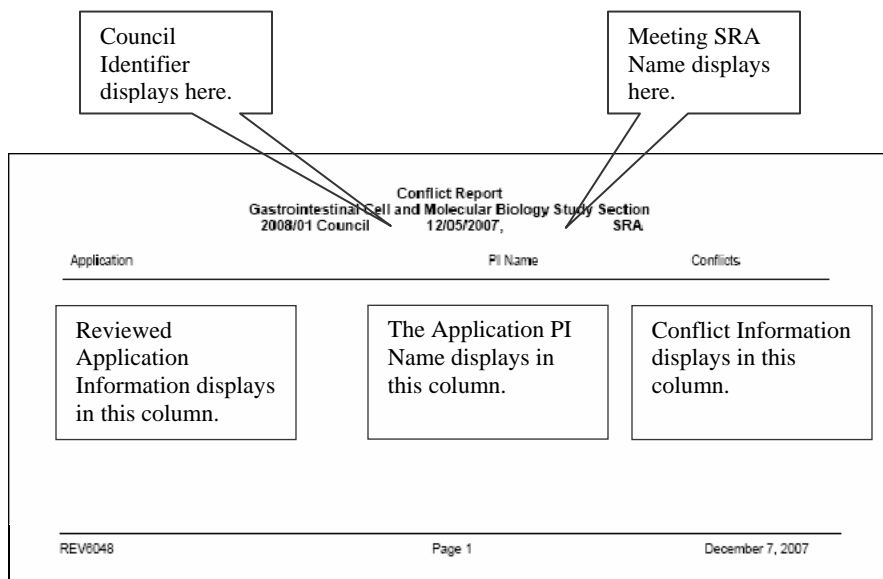



Figure 21: Conflict Report.

Grant Application Reviewers— Confidentiality and Non Disclosure Rules

 NIH/OER/OEP (01/12/2005)

**NIH CONFLICT OF INTEREST, CONFIDENTIALITY AND NON DISCLOSURE RULES:
INFORMATION FOR REVIEWERS OF GRANT APPLICATIONS AND R&D CONTRACT PROPOSALS**

As reviewers themselves are most familiar with their own situations, it is their personal responsibility: (1) to alert the Scientific Review Administrator (SRA) to any possible conflict of interest situation, whether real or apparent, that may impact on the review, and (2) to identify and certify on the pre-meeting and post-meeting Conflict of Interest Certification Forms associated with this information sheet, (a) any application where they have a conflict of interest, and (b) that they will not be, and have not been, involved in the review of any application where their participation constitutes a conflict of interest. Reviewers must also certify that they will maintain the confidentiality of the proceedings and associated materials and that they will not disclose to another individual any matter or information related to the review proceedings. In addition, the NIH may determine that a particular situation involves a conflict of interest and require that the potential reviewer not be involved in the review of the application(s) or proposal(s) in question.

Where permissible by regulation, the agency head (Director, NIH), or his/her designee may grant a waiver relating to the real conflict of interest requirements. Before a waiver can be granted, it must be determined that there are no other practical means for securing appropriate expert advice to provide a competent review of an application or proposal, and that the real conflict of interest is not so substantial as to be likely to affect the integrity of the advice to be provided by the reviewer.

All reviewers are covered by this information sheet and associated Certification Forms. Membership on a scientific review group does not make an individual an employee or officer of the Federal Government. This information sheet and associated Certification Form do not apply to individuals serving on National Advisory Councils or Boards, Boards of Scientific Counselors, or Program Advisory Committees. When Federal Employees serve as reviewers, they are, in addition, covered by 18 USC 201-216, 5 CFR Part 2635, 5CFR Part 5501, and Executive Order 12674 as amended. The Public Health Service Act allows up to 25% of a scientific review group to be Federal employees.

There are several bases for a conflict of interest: **employment, financial benefit, personal relationships, professional relationships or other interests.** If applicable, any one condition may serve to disqualify a reviewer from participating in the review of an application or proposal. A conflict of interest may be real or apparent.

The following guidance and definitions, derived from federal regulations governing the Scientific Peer Review of Research Grant Applications and Research and Development Contract Projects (42 CFR Part 52h), will assist you in determining whether you are faced with a real or apparent conflict of interest. The guidance is not all-inclusive, due to the variety of possible conflicts of interest. Therefore, it is important that you should consult the SRA in charge of the meeting when there is any question about your participation in a review.

GUIDANCE AND DEFINITIONS

A **Conflict Of Interest** in scientific peer review exists when a reviewer has an interest in a grant or cooperative agreement application or an R&D contract proposal that is likely to bias his or her evaluation of it. A reviewer who has a real conflict of interest with an application or proposal may not participate in its review.

Real Conflict Of Interest means a reviewer or a close relative or professional associate of the reviewer has a financial or other interest in an application or proposal that is known to the reviewer and is likely to bias the reviewer's evaluation of that application or proposal as determined by the SRA managing the review, as acknowledged by the reviewer, or as prescribed by 42 CFR 52h as follows:


A reviewer shall have a real conflict of interest if he/she or a close relative or professional associate of the reviewer: (1) has received or could receive a direct financial benefit of any amount deriving from an application or proposal under review; (2) has received or could receive a financial benefit from the applicant institution, offeror or principal investigator that in the aggregate exceeds \$10,000 per year (for reviewers who are federal employees the amount is \$15,000 per year); this amount includes honoraria, fees, stock or other financial benefit, and additionally includes the current value of the reviewer's already existing stock holdings, apart from any direct financial benefit deriving from an application or proposal under review; or (3) has any other interest in the application or proposal that is likely to bias the reviewer's evaluation of that application or proposal.

Regardless of the level of financial involvement or other interest, if the reviewer feels unable to provide objective advice, he/she must recuse him/herself from the review of the application or proposal at issue. The peer review system relies on the professionalism of each reviewer to identify to the SRA any real or apparent conflicts of interest that are likely to bias the reviewer's evaluation of an application or proposal.

Employment: A reviewer who is a salaried employee, whether full-time or part-time, of the applicant institution, offeror, or principal investigator, or is negotiating for employment, shall be considered to have a real conflict of interest with regard to an application/proposal from that organization or principal investigator. The Director of NIH or designee may determine there is no real conflict of interest or an appearance of a conflict of interest where the

1

Figure 22: Conflict of Interest Rules Page 1.

 NIH/EOER/OEP (01/12/2005)

components of a large or multi-component organization are sufficiently independent to constitute, in effect, separate organizations, provided that the reviewer has no responsibilities at the institution that would significantly affect the other component. Membership on a scientific review group does not make an individual an employee or officer of the Federal Government.

Financial Benefit: See definition of Real Conflict of Interest above.

Personal Relationships (Relatives): A close relative means a parent, spouse, sibling, son or daughter or domestic partner. A conflict of interest exists if a close relative of a reviewer submits an application or proposal, or receives or could receive financial benefits from or provides financial benefits to an applicant or offeror. In such case, it will be treated as the reviewer's financial benefit.

Professional Associates: Professional associate means any colleague, scientific mentor, or student with whom the peer reviewer is currently conducting research or other significant professional activities or with whom the member has conducted such activities within three years of the date of the review.

Standing Review Group Membership: When a scientific review group meets regularly, a relationship among the individual members exists; therefore, the group as a whole may not be objective about evaluating the work of one of its members. In such a case, a member's application or proposal will be reviewed by another qualified review group to insure that a competent and objective review is obtained.

Longstanding Disagreements: A conflict of interest may exist where a potential reviewer has had longstanding scientific or personal differences with an applicant.

Multi-Site Or Multi-Component Project: An individual serving as either the principal investigator or key personnel on one component of a multi-site or multi-component project has a conflict of interest with all of the applications or proposals from all investigators or key personnel associated with the project. The individual should be considered a professional associate when evaluating applications or proposals submitted by the other participants in the project.

Request For Applications (RFA) Or Request For Proposals (RFP): Persons serving as the principal investigator or key personnel on an application submitted in response to an RFA or on a proposal in response to an RFP are generally considered to have a conflict of interest with all of the applications or proposals submitted in response to the RFA or RFP. However, if no other reviewer is available with the expertise necessary to ensure a competent and fair review, a waiver may be granted by the Director of NIH or his/her designee that will permit an individual to review only those applications or proposals with which he/she has no conflict of interest that is likely to affect the integrity of the advice to be provided by the reviewer.

Appearance Of A Conflict Of Interest means that a reviewer or close relative or professional associate of the reviewer has a financial or other interest in an application or proposal that is known to the reviewer or the SRA managing the review and would cause a reasonable person to question the reviewer's impartiality if he or she were to participate in the review. The SRA will evaluate the appearance of a conflict of interest and determine whether or not the interest would likely bias the reviewer's evaluation of the application or proposal. Where there is an appearance of conflict of interest, but not sufficient grounds for disqualifying the reviewer, the SRA in charge of the review will document: (1) that there is no real conflict of interest; and (2) that, at the time of the review, no practical alternative exists for obtaining the necessary scientific advice from the reviewer with the apparent conflict.

Waivers If no other reviewer is available with the expertise necessary to ensure a competent review, a waiver may be granted by the Director of NIH or his/her designee to allow participation in the review.

CONFIDENTIALITY AND NON-DISCLOSURE OF MATERIALS AND PROCEEDINGS

The applications and proposals and associated materials made available to reviewers, as well as the discussions that take place during review meetings are strictly confidential and must not be disclosed to or discussed with any one who has not been officially designated to participate in the review process. In addition, disclosure of procurement information prior to the award of a contract is prohibited by the Procurement Integrity Act.

CERTIFICATION

All reviewers must certify that they have read these instructions on "NIH Conflict of Interest, Confidentiality, and Non-Disclosure Rules and Information for Reviewers." Under penalty of perjury (US Code Title 18 chapter 47 section 1001), the reviewer must certify that, to the best of his/her knowledge, he/she has disclosed all conflicts of interest that he/she may have with the applications or R&D contract proposals and he/she fully understands the confidential nature of the review process and agrees: (1) to destroy or return all materials related to it; (2) not to disclose or discuss the materials associated with the review, their evaluation, or the review meeting with any other individual except as authorized by the SRA or other designated NIH official; (3) not to disclose procurement information prior to the award of a contract; and (4) to refer all inquiries concerning the review to the SRA or other designated NIH official.

2

Figure 23: Conflict of Interest Rules Continued.