RRS COMPLIANCE REPORT INSTRUCTIONS

Individual Compliance Report

The Individual Compliance Report displays the status of any individual university-wide and whether they are compliant with the UM Conflict of Interest (COI) policy.

1. Go to Research Reporting System (RRS) website and sign in with your CaneID and password. To attain access to the RRS system, please complete the RRS access request form.
2. Click the “Project / Disclosures” tab on the left of the screen
3. Select “Individual Compliance” to display the report which is updated nightly.

4. Use the “Filter Column” to search for an investigator by Name, Title, Campus, School…etc. If you need to attain an individual’s C Number, you are able to do so using this feature by searching the individual with any other information you may have.
5. In the “Comparison” dropdown box, select a column heading to search under. If you are looking someone up by their name, it is best to use the “Starts with” or “Contains” options.

6. Input the information into the “Value” text box and press “Add.”

7. If you need to change the information you are looking for: you may either press the
   1. “Remove” button to delete the filter(s) and start a new search, or
   2. Input the new information and press the “Replace” button next to the filter item you would like to replace

8. Below the table will populate with all of the entries that meet the criteria. The table displays basic information for the individual.
9. The columns to the far right [“Has COI Training” and “Has Disclosed”] display the individual’s status for two requirements to be compliant:

- **COI CITI** Training
- Disclosure Profile System (**DPS**)

<table>
<thead>
<tr>
<th>Has COI Training</th>
<th>Has Disclosed</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Yes</td>
<td>Yes</td>
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<td>Yes</td>
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<td>No</td>
<td>No</td>
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<tr>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

A "YES" answer indicates that the individual has successfully completed the COI compliance requirement.

A "NO" answer indicates that the individual has not successfully completed the COI compliance requirement.

10. The table can be exported using the “Excel”, “CSV”, or “PDF” buttons on the right side of the table.
Project Compliance Report

The Project Compliance Report displays the status of each project and whether a team member is compliant with the UM Conflict of Interest (COI) policy. Projects and team members will only be displayed once they have been entered into the Disclosure Profile System (DPS) by the principal investigator (PI) or if the Office of Research Administration has received a notice of grant award.

1. Go to Research Reporting System (RRS) website and sign in with your CaneID and password. To attain access to the RRS system, please complete the RRS access request form.

2. Click the “Project / Disclosures” tab on the left of the screen

3. Select “Project Compliance” to display the report which is updated nightly.

- PI: Investigators may only view projects for which they are the PI (see #5).
- Those with administrative access (at the departmental or divisional level) can see projects under PIs within their department or division (see #4).
4. Use the Filter tab to filter for a specific column (C-Number, PI Name, Title, Campus, etc.). You may also use the other tabs for more information. The “Using RRS Reports” guide explains how to use each tab option.

5. At the top of every page there is a legend that explains the table.

**Project Compliance Report**

This report is updated nightly. Projects are listed here if they have been declared in the Disclosure Profile System or if a notice of grant award has been received.

**Legend**

- **Clear of COI Concerns:**
  - A “YES” answer indicates that there are no reasons for the ORC to withhold funding.
  - A “NO” answer indicates one of the following:
    1. That one or more team members have not made disclosures or have not completed the required training entitled “Conflict of Interest Course” in the CITI program, or
    2. If all team members have completed the requirements, implies that the ORC is reviewing team member disclosures for potential COI.
- **InfoEd #:** The proposal's identity code.
- **Principal Investigator:** The project's director/principal investigator.
- **Sponsor:** The entity providing funding for the project, as entered into the InfoEd system.
- **Title:** The project's title.
- **Last Certified:** The most recent date on which the PI certified the project in the Disclosure Profile System.

**Project Compliance Report - Study Team for InfoEd Number**

Clear of COI concerns: Yes
Project entered into the DPS by PI: Yes

**Legend**

- **Clear of COI Concerns:**
  - A “YES” answer indicates that there are no reasons for the ORC to withhold funding.
  - A “NO” answer indicates one of the following:
    1. That one or more team members have not made disclosures or have not completed the required training entitled “Conflict of Interest Course” in the CITI program, or
    2. If all team members have completed the requirements, implies that the ORC is reviewing team member disclosures for potential COI.
- **C Number:** The project team member's UM identity number.
- **Last Name and First Name:** The team member's name.
- **Title:** The team member's employment title, according to HR.
- **Campus, School, Department, and Division:** The team member's employment group, according to HR.
- **Email:** The team member's email address.
- **Phone:** The team member's phone number.
- **Has COI Training:** If the team member has completed COI training.
- **Has Disclosed:** If the team member has completed his/her profile at the Disclosure Profile System.
- **Has Certified:** If the team member has certified his/her involvement in the project at the Disclosure Profile System.

Disclosure Profile System - www.miami.edu/dps

Study last updated by the PI 08/22/2012
6. The far left column, “Clear of COI Concerns,” shows the projects that are cleared (YES) and the projects that are not cleared (NO).

<table>
<thead>
<tr>
<th>Clear of COI Concerns</th>
</tr>
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<tbody>
<tr>
<td>Yes</td>
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</tr>
</tbody>
</table>

- A "YES" answer indicates that there are no reasons for the ORC to withhold funding.
- A "NO" answer indicates one of the following:
  1. That one or more team members have not made disclosures or completed training, or
  2. If all team members have completed the requirements, implies that the ORC is reviewing team member disclosures for potential COI.

7. To see the status of all the team members that have been entered into the DPS select the InfoEd # for the corresponding project.

8. The Study Team screen allows you to see each team member and their status for the three requirements to be compliant:
   - COI CITI Training
   - DPS profile
   - Project certification

<table>
<thead>
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</tr>
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</table>

9. The table can be exported using the “Excel”, “CSV”, or “PDF” buttons on the right side of the table.

10. If no team members are listed, check that the PI has entered the project and designated team members in the DPS (see at the top of the page).
11. If all team members have completed the three requirements but the project is not compliant, then the project may be under review.

If you would like more assistance, please contact Heather Osorio, the Compliance Representative in the Office of Research Compliance (h.osorio@med.miami.edu / 305-243-3605) or the DPS help line (305-243-0877).

**Helpful Links:**


COI page: [http://uresearch.miami.edu/coi](http://uresearch.miami.edu/coi)

DPS: [www.miami.edu/dps](http://www.miami.edu/dps)

DPS Help/Overview: [http://uresearch.miami.edu/dps](http://uresearch.miami.edu/dps)

CITI Training: [https://www.citiprogram.org/](https://www.citiprogram.org/)

COI CITI Module Instructions: [https://uresearch.miami.edu/site/clients/UMOR/user/45/images/coi%20citi%20course%20instructionsv5.pdf](https://uresearch.miami.edu/site/clients/UMOR/user/45/images/coi%20citi%20course%20instructionsv5.pdf)

COI Website: [http://uresearch.miami.edu/?p=173](http://uresearch.miami.edu/?p=173)

RRS: [http://research.miami.edu](http://research.miami.edu)

RRS Access Request Form: [https://research.miami.edu/RRSAccessForm.pdf](https://research.miami.edu/RRSAccessForm.pdf)