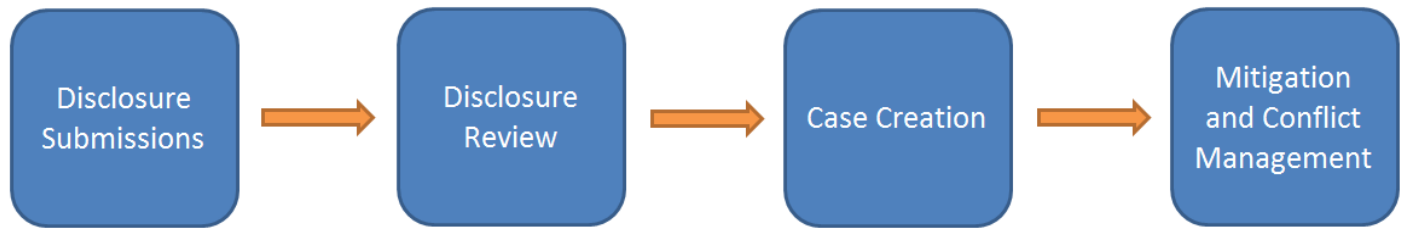


Part 1: System Workflow

- 1:15 of Training Video

The flowchart below shows a general overview of the processes in COI RiskManager used to capture and manage conflict of interest information:



Part 2: Reviewing Submitted Disclosures

- 1:52 of Training Video

Action Steps:

1. Log into COI RiskManager
2. Click on the Review Disclosures Tab
3. Using the Search pane at the left of the page, search for forms of users in your hierarchy
 - a. To search for all forms that you are able to review, scroll to the bottom of the page and click the Search button without entering any criteria
4. In the disclosures search results, click on the name or username in the row of the submitted form:
5. The user's My Forms page will load
6. Click the link "Show Disclosure History"
7. In the row of the Submitted form, click on the pdf icon to view the disclosure:
8. If the form submission does not present a potential conflict of interest, click the "+" in the Actions column
9. The Actions menu pop-up will appear:
10. Click the button "Review" in the pop-up menu
11. A second pop-up will appear. Click "OK" to proceed with marking the form as Reviewed
12. Note that the status of the disclosure has now changed to Reviewed:

Part 3: Creating Cases for Conflict Disclosures

- 4:34 of Training Video

Action Steps:

1. Log into COI RiskManager
2. Click on the Review Disclosures Tab
3. Using the Search pane at the left of the page, search for forms of users in your hierarchy
 - a. To search for all forms that you are able to review, scroll to the bottom of the page and click the Search button without entering any criteria
4. Locate the user's Submitted disclosure (row) for which you would like to Create a Case

5. Click the “ + ” in the in the Actions column (far right) of the form’s row
6. The Actions menu pop-up will appear
 - a. Click the “Submit” button to Create a Case for the record
7. A pop-up will open and display the Case ID number for the case that was created
 - a. Take note of the Case ID number to locate the case in the system in the future
8. Click the Return button to close the pop-up
 - a. The page will refresh and the form’s status will be changed to Case Created
9. The Case will now be accessible by searching by the Case ID on the Home -> Case Management tab

Part 4: Case Management

- 6:34 of Training Video

Action Steps:

1. Log into COI RiskManager
2. Click on the Home -> Case Management tab
3. Use the search pane at the left to search for a case by Case ID number or other criteria
4. Click on the Case ID number in the Case Listing of the case you wish to open
 - a. The Case Details page will load
5. In the lower half of the screen, click on the Notes sub-tab
 - a. On this sub-tab, you can enter notes for the case in the text box
 - b. Click the Submit Notes Button to Save a note to the Notes History below
6. In the lower half of the screen, click on the Documents sub-tab
 - a. Click the pdf icon to right of the page to open the disclosure for which the case was created
 - b. You can upload documents from your computer to the case by clicking the Add Document button
 - i. Click the Choose File button to select a file from your computer, and then Save to add the file to the case
 - i. Most major file types are supported and can be added to the case with this feature

Part 5: Mitigation and Management Plans

- 8:11 of Training Video

Action Steps:

1. Log into COI RiskManager
2. Click on the Home -> Case Management tab
3. Use the search pane at the left to search for a case by Case ID number or other criteria
4. Click on the Case ID number in the Case Listing of the case you wish to open
 - a. The Case Details page will load
5. In the lower half of the screen, click on the Management Plan sub-tab
6. At the lower left of the page, click the Edit button to enable the Resolution text box
7. Enter the desired management plan text. The text entered will be sent to the user in the next steps
8. Click the Save button to save the management plan text to the case
9. In the lower half of the screen, click the Signatures sub-tab
 - a. The user who submitted the form for which the case was created will always be included as a signatory on the plan by default
10. If you wish to add additional signatories to the plan, click the Add Signatory button at the bottom right of the page.
 - a. Proceed to Step X if you don’t wish to add additional signatories.

11. The user search page will load
 - a. Use the search pane at the left of the page to search for users to add to the plan
 - b. After locating the desired user, click on the name of the user in the Name column to select the user
 - i. You will be brought back to the Case Details page
12. Click on the Signatures Tab to view the updated list of signatories
13. Click on the Management Plan Sub-Tab
14. After a final review of the Resolution text, click the Publish button at the lower left of the page
 - a. A confirmation pop-up box will open. Click OK to proceed with publishing the plan to the signatories
 - i. Clicking the OK button will prompt the system to send a Management Plan Published email to each signatory on the plan.
15. The management plan resolution text will now be available for all signatories to approve by logging into the system, clicking on the My Management Plans tab and then clicking the Sign button

Recall a Published Plan for Editing:

- 11:05 of Training Video

If a published plan needs to be edited, either to correct an error, or modify the resolution based on signatory feedback, you can recall the plan for editing using the Recall button on the Management Plan sub-tab. After making the necessary edits, the plan can be Published again. **Each time a plan is published the system will send a Management Plan Published email to each signatory on the plan.**