OSPREY
Compliance Software

coi riskmanager™

(3.0)

End User Guide

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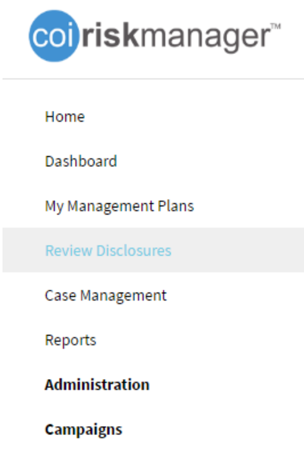
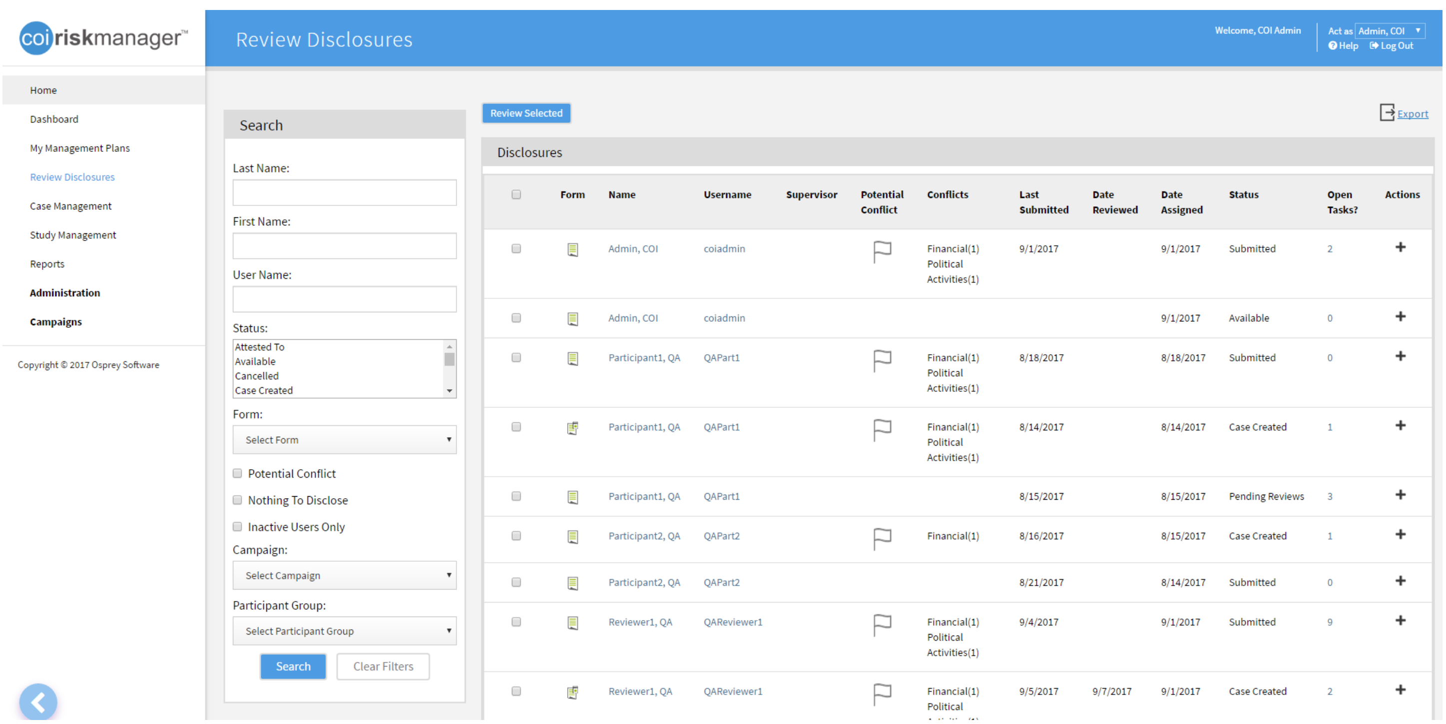
Search for and Review Submitted Forms

Sort by assigned and submitted forms

1. Log into COI RiskManager
2. Click on the Review Disclosure menu item

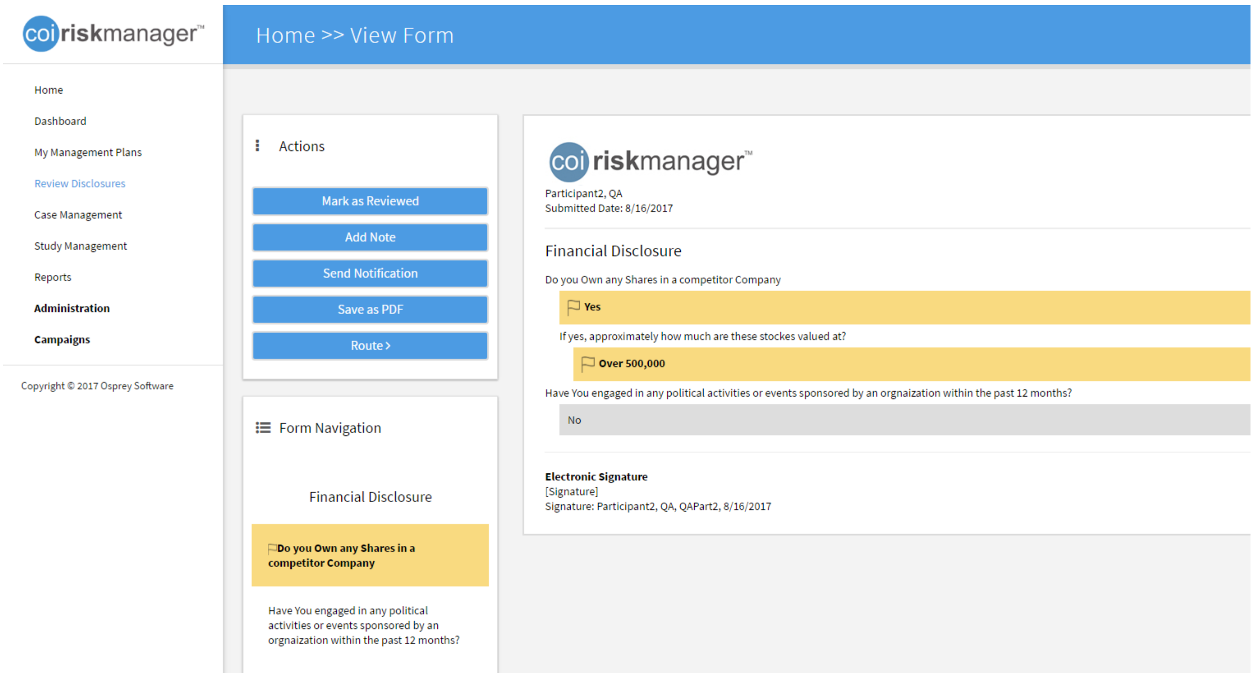


3. Using the Search pane at the left of the page, search for forms by name of the filer, form title, or form status.

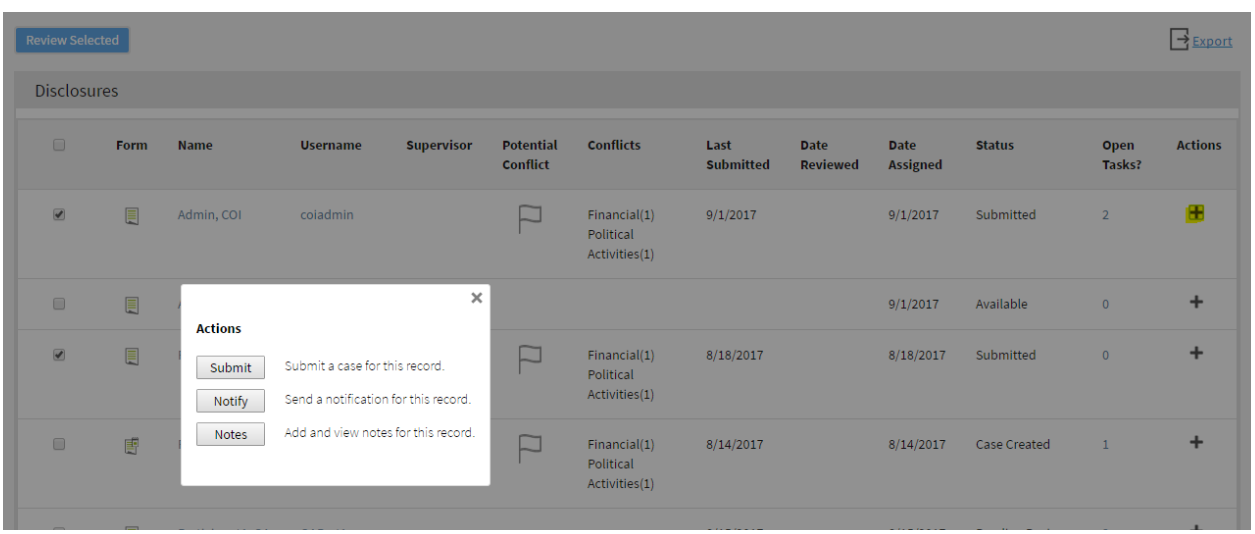


View disclosure, send individual notifications, add notes to disclosures

1. To view the disclosure, click on the form icon. The user will be redirected to View Form page.
2. By clicking on Actions in the upper left corner the user can mark as reviewed, view or add notes, send notifications, see highlighted in yellow any potential conflict, and save as PDF.
3. Click the back button to return to Review Disclosure page.



4. Alternatively, click on + sign to take additional actions directly from Review Disclosure page. A popup window will display the actions that can be taken (e.g. Submit Case, Add Note, Send Notifications)



Create a Case for Potential Conflict Disclosure

1. Click on the Review Disclosures menu

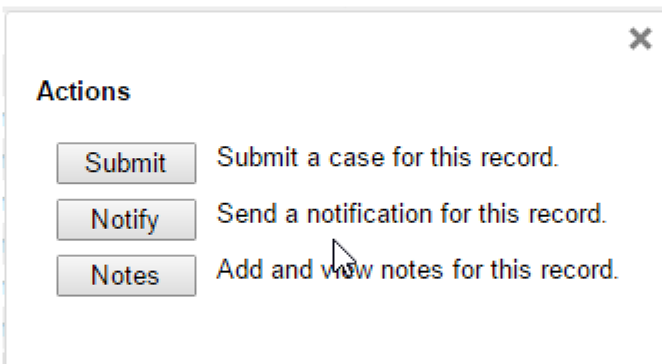
2. Using the Search pane at the left of the page, locate the user's Submitted disclosure for which you would like to Create a Case:

Compliance Tip:
Create a case to document further review of any potential conflict(s) of interest that were disclosed.

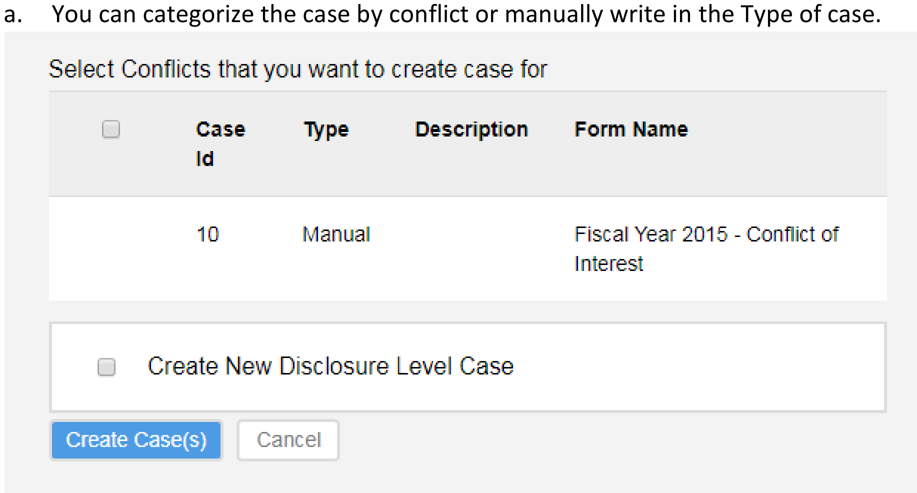
There are two ways to create a case:
(1) Through the Review Disclosures main screen; or
(2) From within the individual's form.

Creating a case from the Review Disclosures Screen:

1. Click the " + " in the Actions column for the corresponding disclosure
2. A popup will appear



3. Click Submit
4. A pop-up will open and display the Case ID number for the case that was created
    a. You can categorize the case by conflict or manually write in the Type of case.

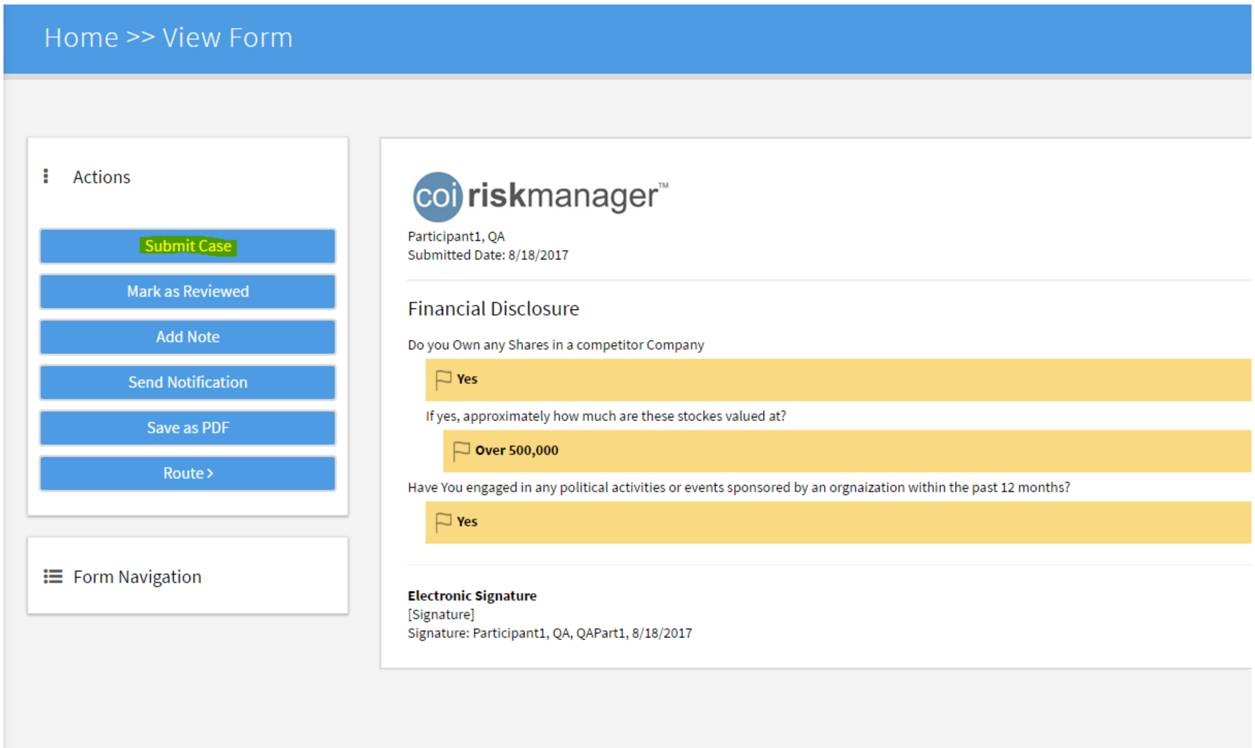


    b. Then select Create Case(s) to create the case.

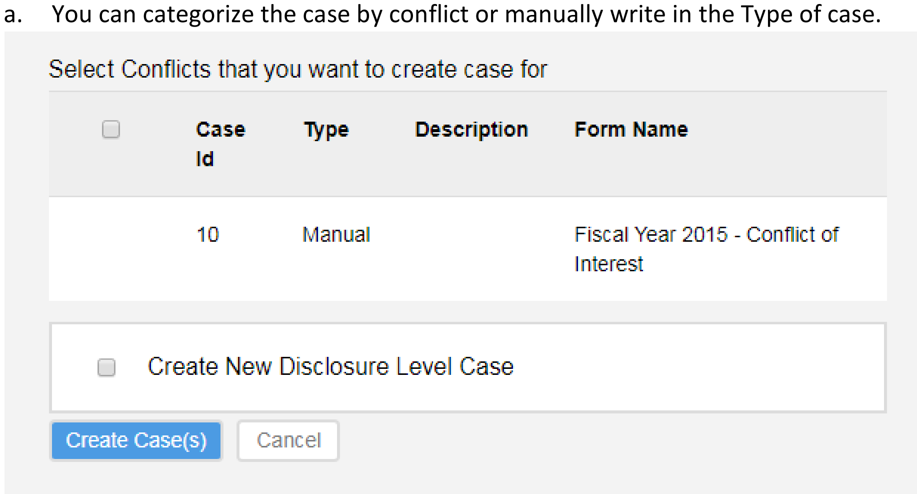
Creating a case from within an individual's form:

1. Click on the form icon to view form

2. The Form will load for review.



3. In the actions pane, Click the "Submit Case" button to submit a case for the user's disclosure form
4. A pop-up will open and display the Case ID number for the case that was created
   a. You can categorize the case by conflict or manually write in the Type of case.



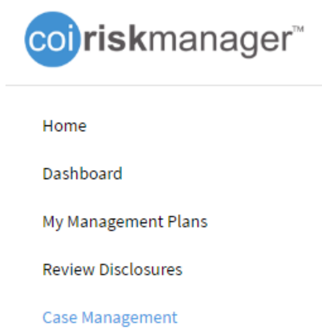
   b. Then select Create Case(s) to create the case.

5. The page will refresh and the form’s status will be changed to Case Created
6. The Case will now be accessible on the Case Management tab if you have access rights to view cases

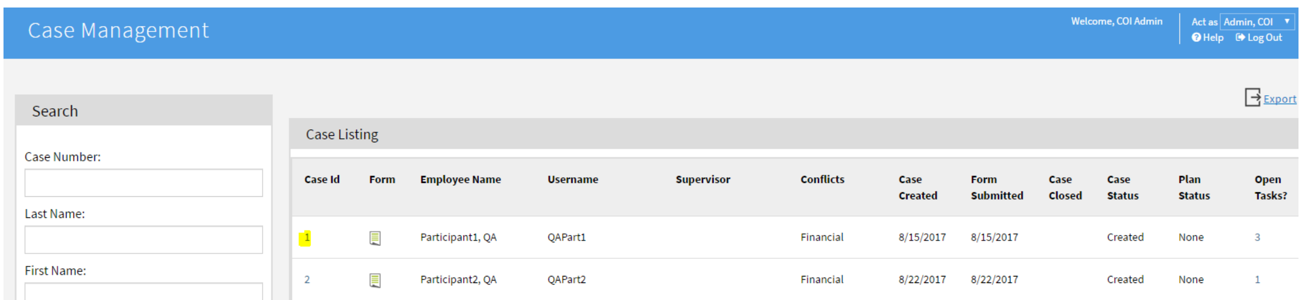
Note: It is recommended that a Case is created in the system for each form reporting a potential Conflict of Interest

Locate and manage a Created Case

1. From the main Home screen, click on the Case Management menu item:

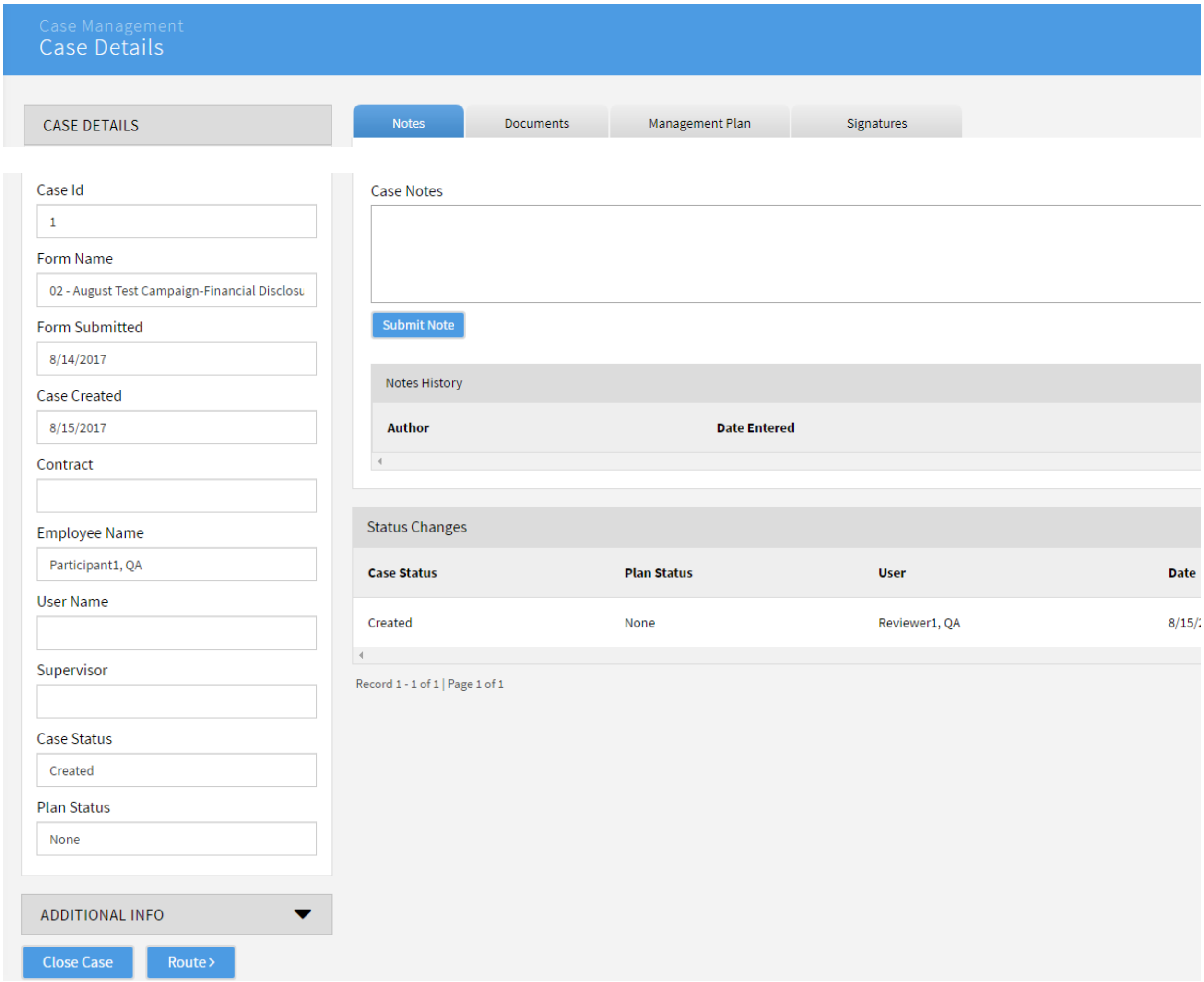


Using the Search pane at the left of the page, search for Cases Created by user.



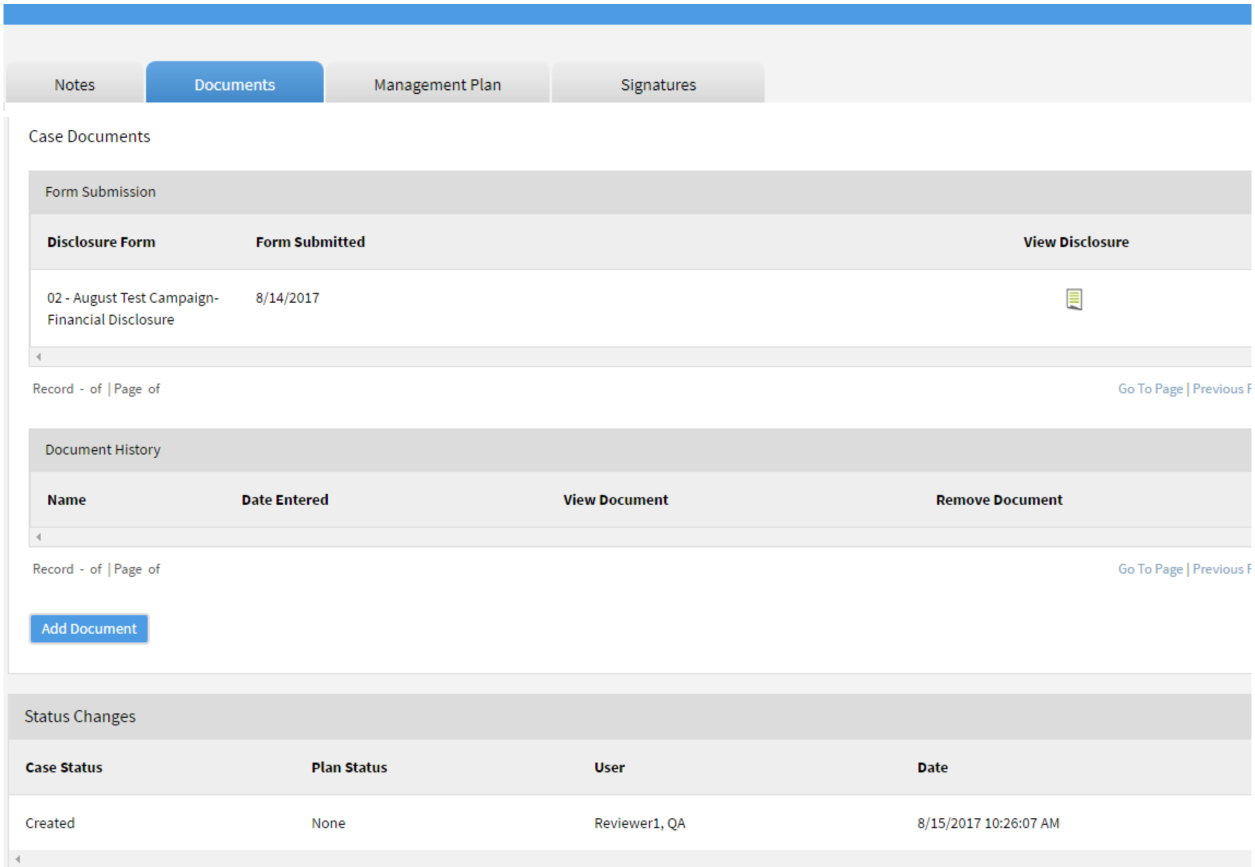
2. In the Case Listing Search Results, click the Case Id number of the Case you would like to open

3. The page will refresh to show the details of the selected case.



4. The Notes tab will be selected by default. Enter any notes that should be associated with the case in the text box and click the Submit Note button to save the note to the case.
5. On the Documents tab, you will find a copy of the disclosure pdf submitted by the filer, for which the case has been created. The documents tab will also allow you to browse and attach additional files (Windows file types supported) that should be attached to the case.

Compliance Tip:
Use this section to document any additional information related to the case or COI disclosure (e.g., explanation of why no management plan was required).


Notes | Documents | Management Plan | Signatures

Case Documents

Form Submission

Disclosure Form	Form Submitted	View Disclosure
02 - August Test Campaign-Financial Disclosure	8/14/2017	

Record - of | Page of

Go To Page | Previous F

Document History

Name	Date Entered	View Document	Remove Document

Record - of | Page of

Go To Page | Previous F

Add Document

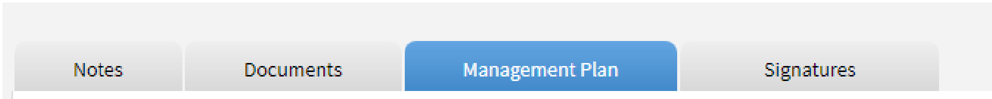
Status Changes

Case Status	Plan Status	User	Date
Created	None	Reviewer1, QA	8/15/2017 10:26:07 AM

Compliance Tip:
Documents attached may include email correspondence related to the potential conflict of interest.

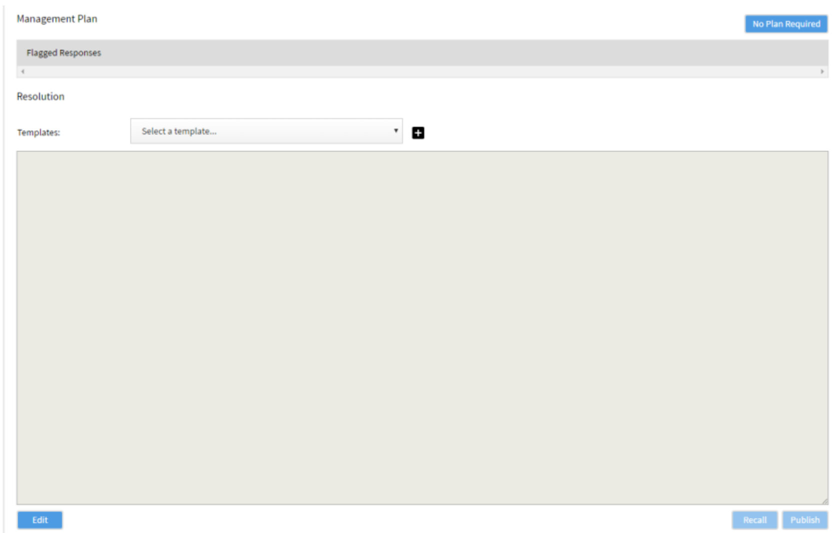
Create and Publish a Management Plan

1. On the Case Management page, select the "Management Plan" tab

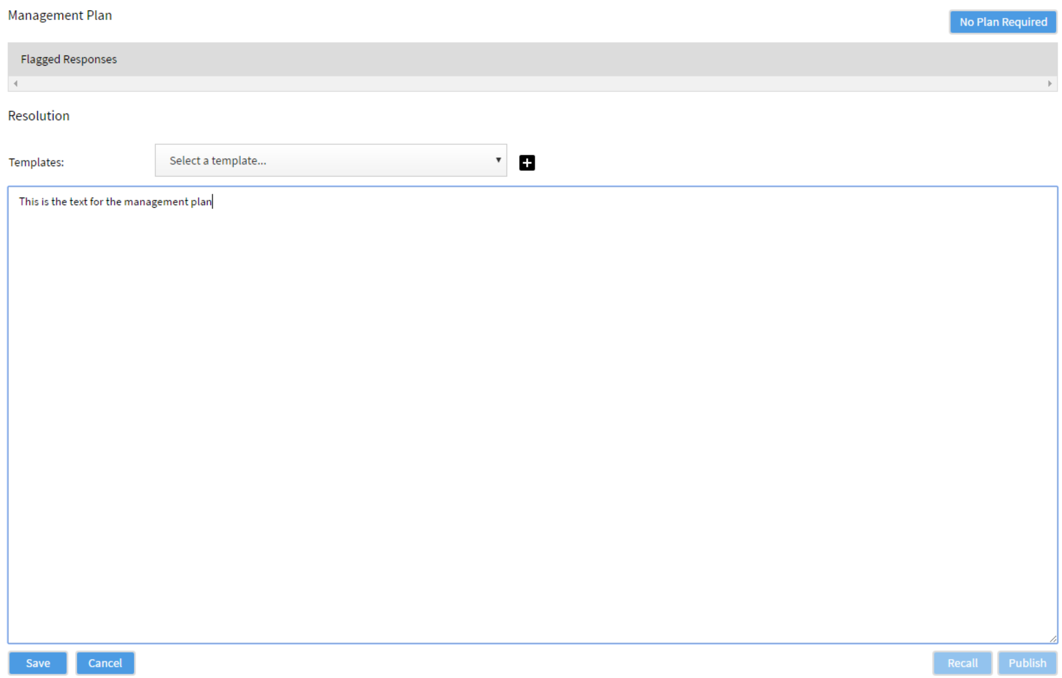


Create a Management Plan

1. Click Edit beneath the textbox



2. The textbox will now be in edit mode. Enter the Management Plan that has been determined for the filer's disclosure form.



3. Click Save

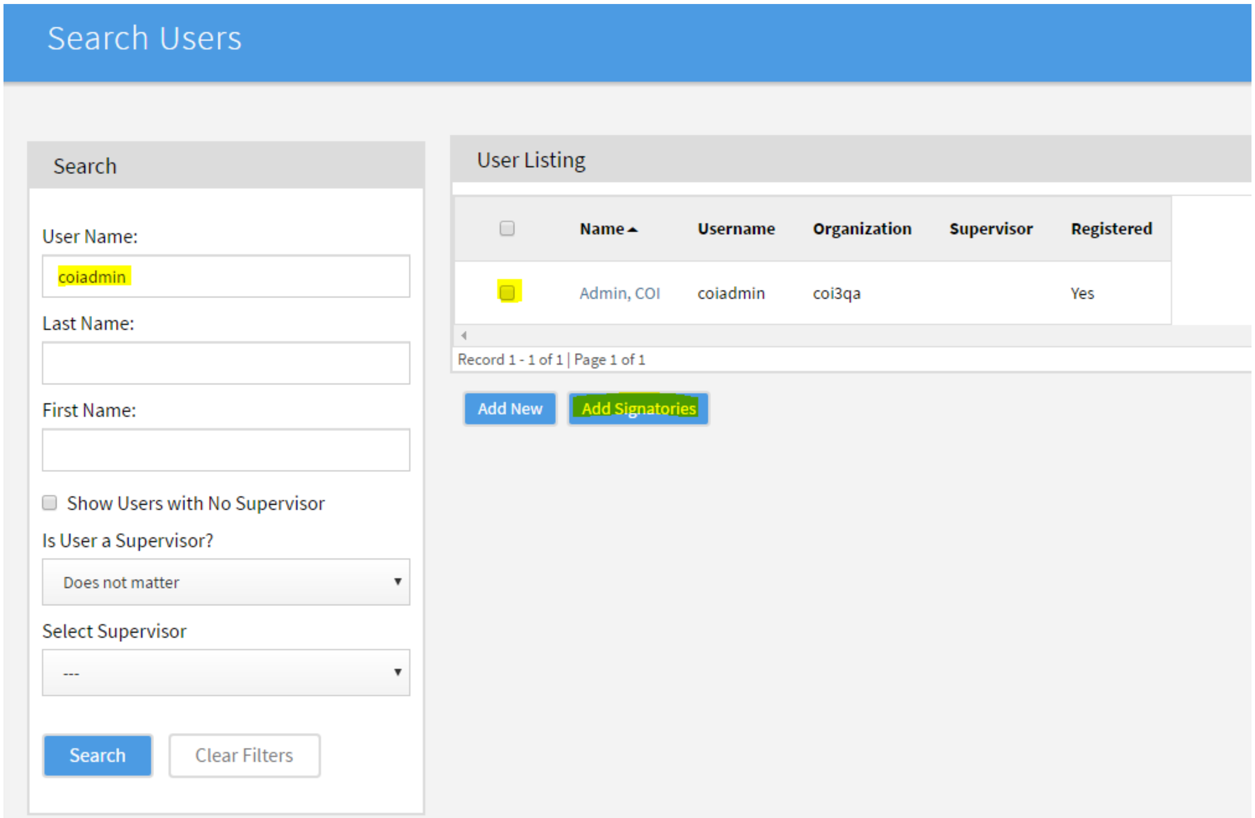
Add Signatories for the Management Plan

1. Click the “Signatures” sub-tab on the Case Details page

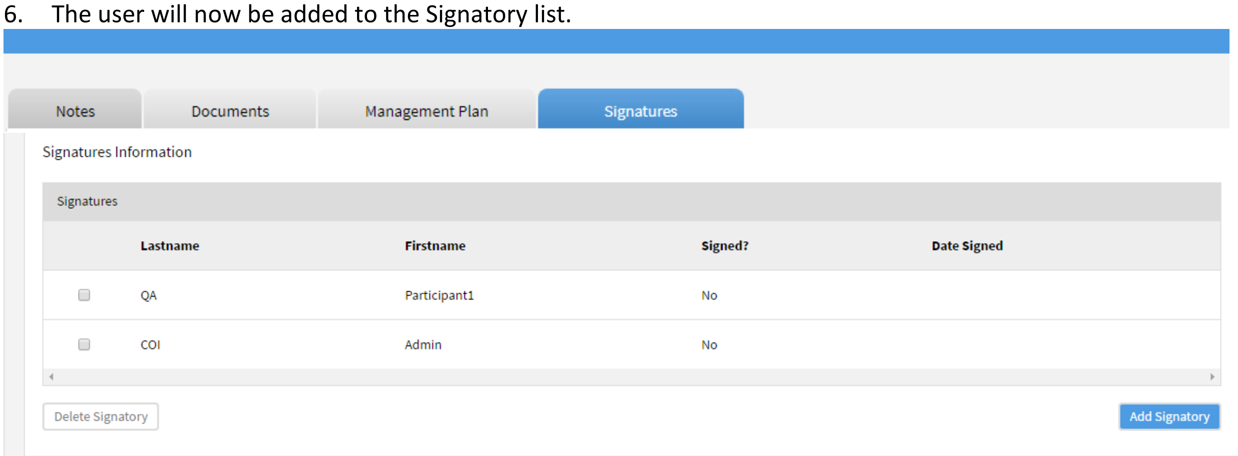
2. A list of users currently included as signatories on the plan will appear

3. To add a user, click the “Add Signatory” button
4. You will be taken to the Search Users page. Type in a User Name, Last Name, or First Name and click Search.

Compliance Tip:
You can add signatories if there are multiple people that should sign and agree to the management plan.



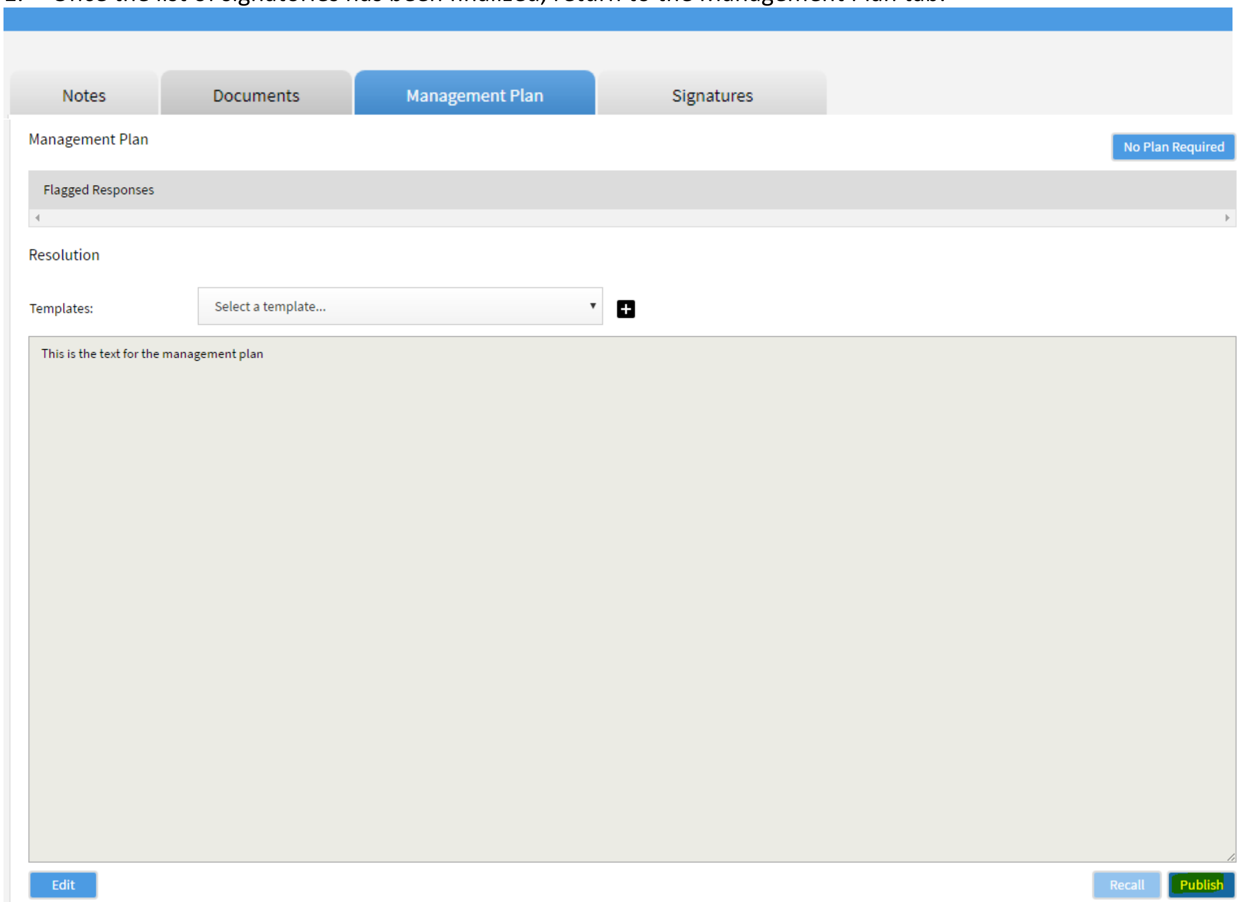
5. Click the User's Name to select the user.
6. The user will now be added to the Signatory list.



7. To remove a Signatory from the list, check the box next to the name and click Delete Signatory

Publish the Plan

1. Once the list of signatories has been finalized, return to the Management Plan tab.



2. Click Publish
3. Note: Each time a plan is published, a notification will be sent to all Signatories, requesting they log into the system to sign the plan.

Recall the Plan

1. If the case is published, click Recall on the Management Plan tab. This will allow the plan or list of signatories to be edited and the plan to be re-published.
2. Recalling a plan will void any signatories signoff on the management plan. Signatories will need to sign the plan once it is re-published

Set No Plan Required

1. Click No Plan Required on the Management Plan Tab
2. A pop-up will appear. Click "OK" to proceed with setting No Plan Required

Compliance Tip:
After further review of the potential conflict(s) of interest disclosed, you may determine there is no conflict and therefore, a management plan will not be necessary.

Close a case

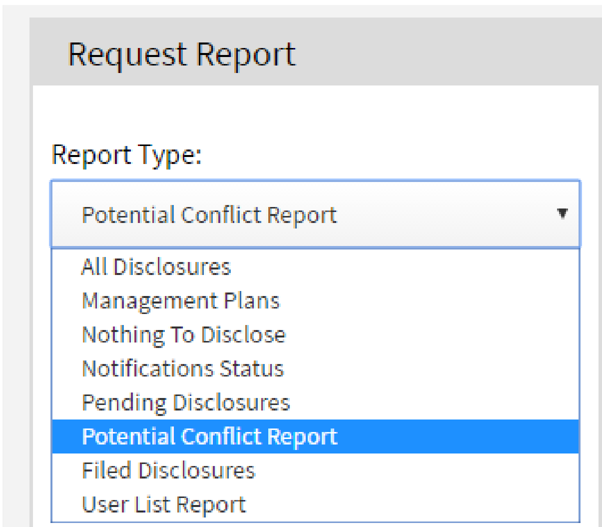
1. Click Close Case on the Management Plan Tab
2. A pop-up will appear. Click “OK” to proceed with closing the case
3. Note: Closing a case is a permanent action in the system and prohibits editing to certain aspects of the case

Compliance Tip:
Once you have determined a management plan is not necessary you will want to close the case. When you close the case add a note to document the explanation.

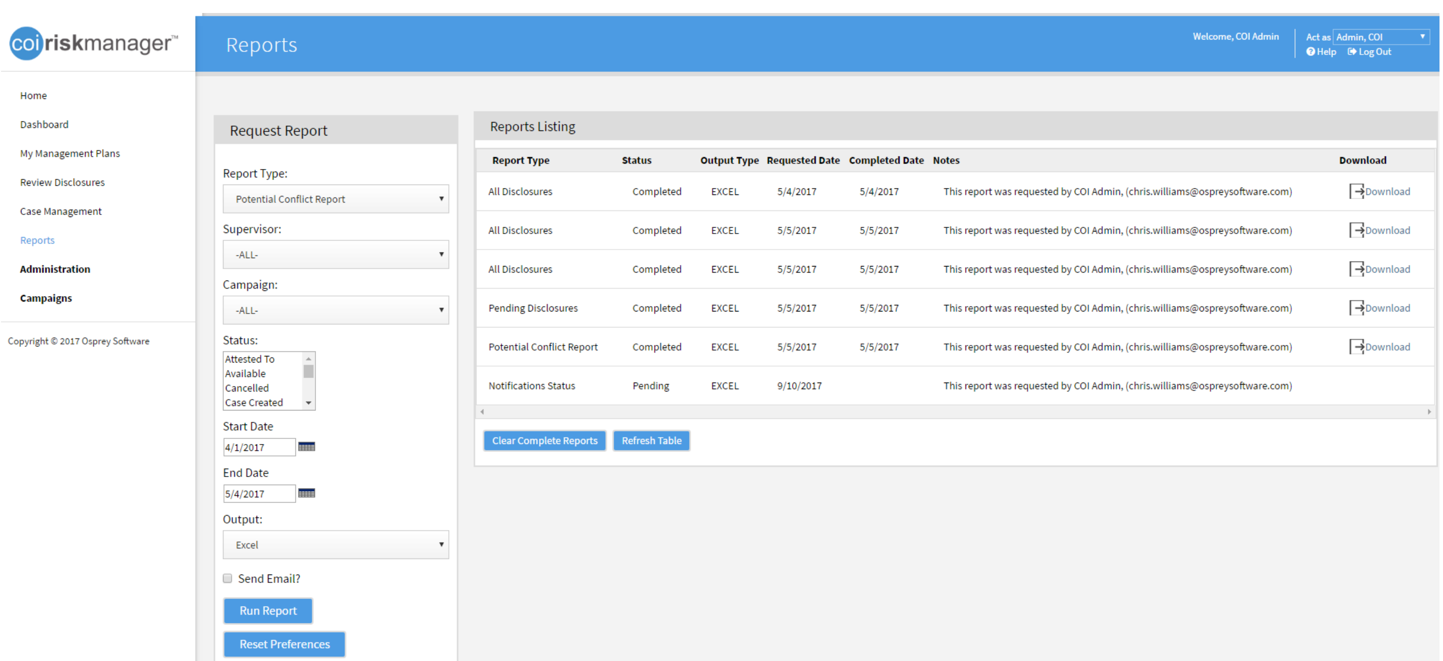
Reports

Create new reports

1. Log into COI RiskManager
2. Go to Reports menu item
3. In the Request Report pane, select the report you want to run



4. Enter other parameters for the report
5. Click “Run Report” button, see figure below
6. The report will show under “Reports Listing” with the Pending status.
7. Once report is generated, it will become available for download.



COI DASHBOARD

Click on Dashboard menu item shows various dashboard widgets, description below