

coi riskmanager™

(3.0)

End User Guide

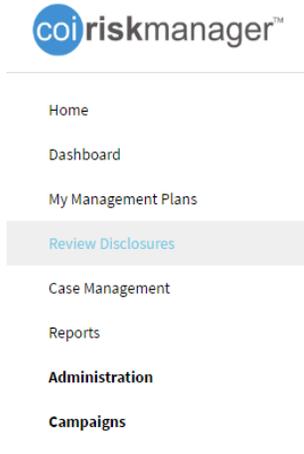
TABLE OF CONTENTS

Search for and Review Submitted Forms	3
Sort by assigned and submitted forms	3
View disclosure, send individual notifications, add notes to disclosures	4
Create a Case for Potential Conflict Disclosure	5
Creating a case from the Review Disclosures Screen:	5
Creating a case from within an individual's form:	6
Locate and manage a Created Case	8
Create and Publish a Management Plan	11
Create a Management Plan	11
Add Signatories for the Management Plan	12
Publish the Plan	14
Recall the Plan	14
Set No Plan Required	14
Close a case	15
Reports	16
Create new reports	16
COI Dashboard	17

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.

The screenshot shows the 'Review Disclosures' page in COI RiskManager. On the left is a search pane with the following fields and options:

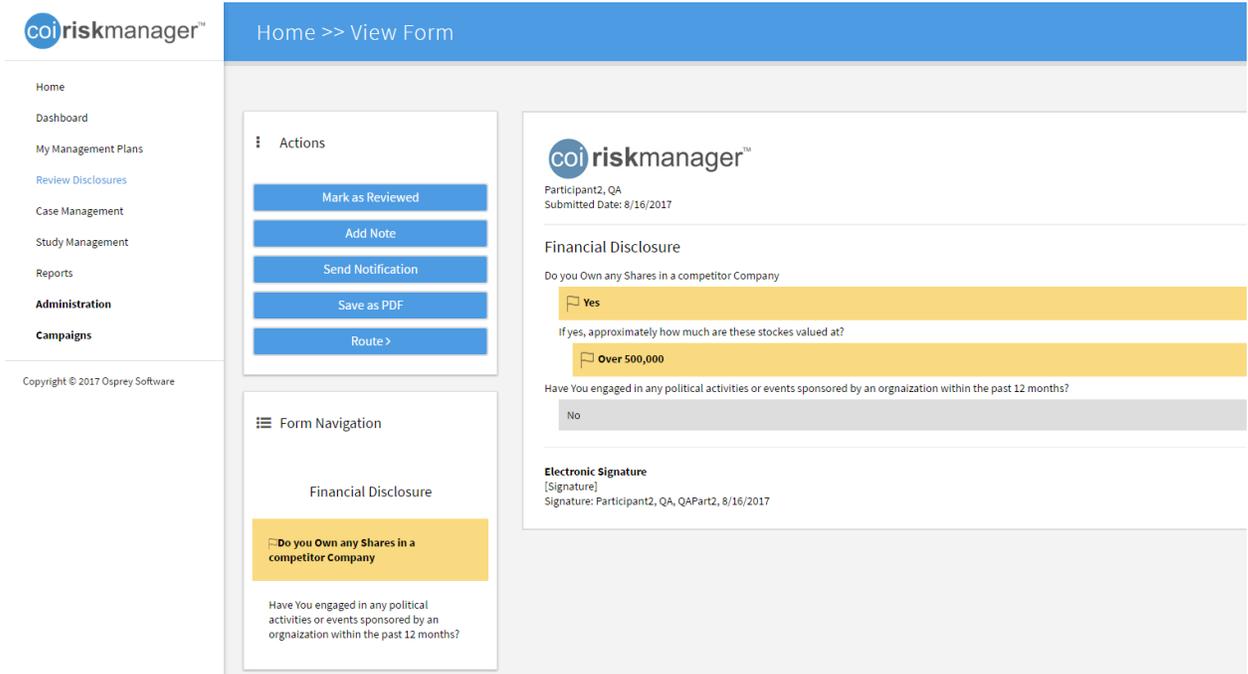
- Last Name: [Text Input]
- First Name: [Text Input]
- User Name: [Text Input]
- Status: [Dropdown Menu with options: Attested To, Available, Cancelled, Case Created]
- Form: [Dropdown Menu with option: Select Form]
- Potential Conflict: Potential Conflict
- Nothing To Disclose: Nothing To Disclose
- Inactive Users Only: Inactive Users Only
- Campaign: [Dropdown Menu with option: Select Campaign]
- Participant Group: [Dropdown Menu with option: Select Participant Group]
- [Search] [Clear Filters]

On the right, a table titled 'Disclosures' is shown. The table has the following columns: Form, Name, Username, Supervisor, Potential Conflict, Conflicts, Last Submitted, Date Reviewed, Date Assigned, Status, Open Tasks?, and Actions. The table contains 10 rows of data:

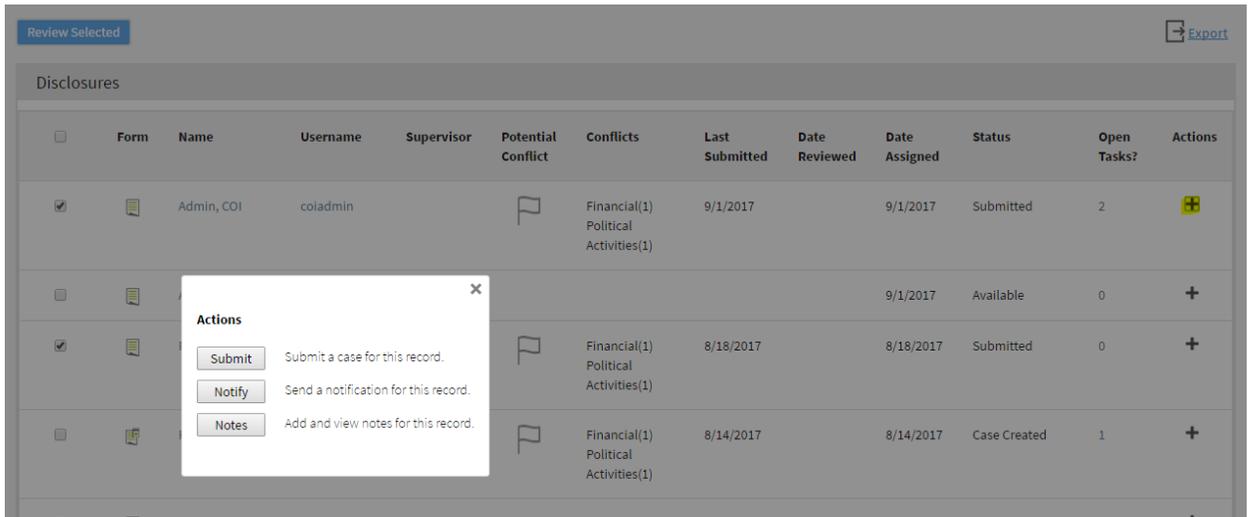
Form	Name	Username	Supervisor	Potential Conflict	Conflicts	Last Submitted	Date Reviewed	Date Assigned	Status	Open Tasks?	Actions
<input type="checkbox"/>	Admin, COI	coladmin		<input type="checkbox"/>	Financial(1) Political Activities(1)	9/1/2017		9/1/2017	Submitted	2	+
<input type="checkbox"/>	Admin, COI	coladmin						9/1/2017	Available	0	+
<input type="checkbox"/>	Participant1, QA	QAPart1		<input type="checkbox"/>	Financial(1) Political Activities(1)	8/18/2017		8/18/2017	Submitted	0	+
<input type="checkbox"/>	Participant1, QA	QAPart1		<input type="checkbox"/>	Financial(1) Political Activities(1)	8/14/2017		8/14/2017	Case Created	1	+
<input type="checkbox"/>	Participant1, QA	QAPart1				8/15/2017		8/15/2017	Pending Reviews	3	+
<input type="checkbox"/>	Participant2, QA	QAPart2		<input type="checkbox"/>	Financial(1)	8/16/2017		8/15/2017	Case Created	1	+
<input type="checkbox"/>	Participant2, QA	QAPart2				8/21/2017		8/14/2017	Submitted	0	+
<input type="checkbox"/>	Reviewer1, QA	QAReviewer1		<input type="checkbox"/>	Financial(1) Political Activities(1)	9/4/2017		9/1/2017	Submitted	9	+
<input type="checkbox"/>	Reviewer1, QA	QAReviewer1		<input type="checkbox"/>	Financial(1) Political Activities(1)	9/5/2017	9/7/2017	9/1/2017	Case Created	2	+

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

Actions

- Submit** Submit a case for this record.
- Notify** Send a notification for this record.
- Notes** Add and view notes for this record.

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.

Select Conflicts that you want to create case for

<input type="checkbox"/>	Case Id	Type	Description	Form Name
<input checked="" type="checkbox"/>	10	Manual		Fiscal Year 2015 - Conflict of Interest

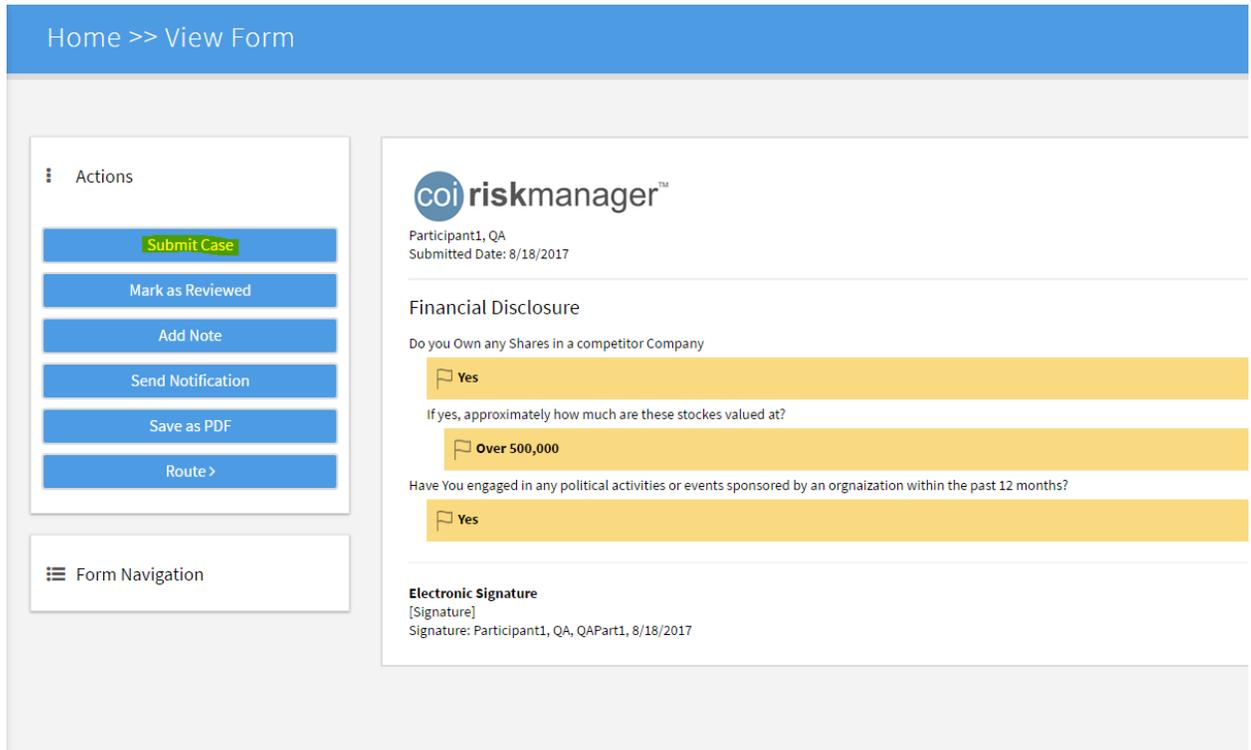
Create New Disclosure Level Case

Create Case(s) Cancel

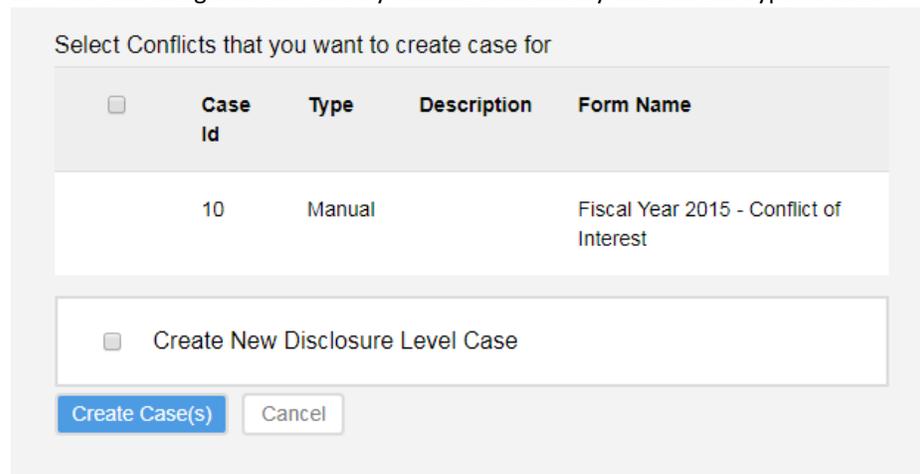
- b. Then select Create Case(s) to create the case.

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.



<input type="checkbox"/>	Case Id	Type	Description	Form Name
<input type="checkbox"/>	10	Manual	Fiscal Year 2015 - Conflict of Interest	Fiscal Year 2015 - Conflict of Interest

Create New Disclosure Level 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:



- Home
- Dashboard
- My Management Plans
- Review Disclosures
- Case Management

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

The screenshot shows the 'Case Management' interface. On the left is a search pane with fields for Case Number, Last Name, and First Name. On the right is a 'Case Listing' table with columns: Case Id, Form, Employee Name, Username, Supervisor, Conflicts, Case Created, Form Submitted, Case Closed, Case Status, Plan Status, and Open Tasks?. Two cases are listed, with the first one highlighted.

Case Id	Form	Employee Name	Username	Supervisor	Conflicts	Case Created	Form Submitted	Case Closed	Case Status	Plan Status	Open Tasks?
1		Participant1, QA	QAPart1		Financial	8/15/2017	8/15/2017		Created	None	3
2		Participant2, QA	QAPart2		Financial	8/22/2017	8/22/2017		Created	None	1

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.

Case Management
Case Details

CASE DETAILS Notes Documents Management Plan Signatures

Case Id: 1

Form Name: 02 - August Test Campaign-Financial Disclosu

Form Submitted: 8/14/2017

Case Created: 8/15/2017

Contract:

Employee Name: Participant1, QA

User Name:

Supervisor:

Case Status: Created

Plan Status: None

Case Notes

Submit Note

Notes History

Author	Date Entered

Status Changes

Case Status	Plan Status	User	Date
Created	None	Reviewer1, QA	8/15/2017

Record 1 - 1 of 1 | Page 1 of 1

ADDITIONAL INFO

Close Case Route >

- 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.
- 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

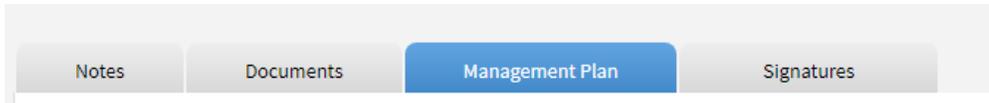
Case Status	Plan Status	User	Date
Created	None	Reviewer1, QA	8/15/2017 10:26:07 AM



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

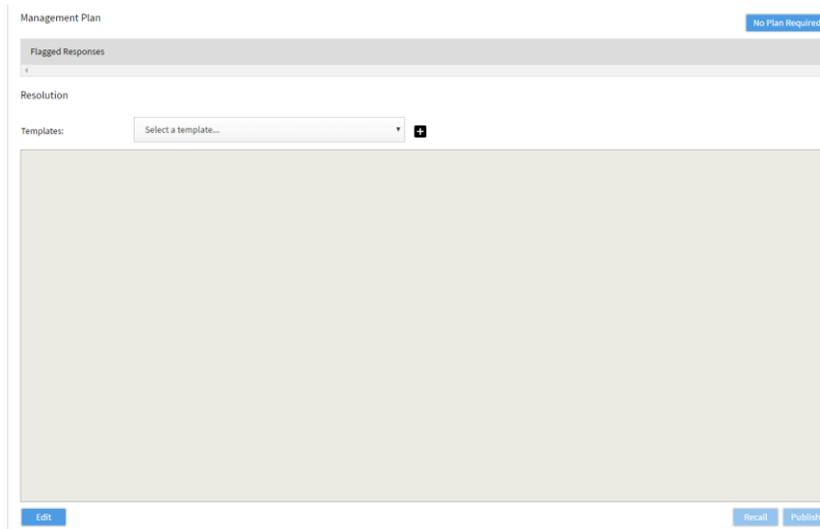
CREATE AND PUBLISH A MANAGEMENT PLAN

1. On the Case Management page, select the “Management Plan” tab



Create a Management Plan

1. Click Edit beneath the textbox

A screenshot of the 'Management Plan' creation interface. At the top, it says 'Management Plan' with a 'No Plan Required' button. Below that is a 'Flagged Responses' section. Under 'Resolution', there is a 'Templates:' label and a dropdown menu with the text 'Select a template...'. A large, empty text area is below the dropdown. At the bottom left, there is an 'Edit' button. At the bottom right, there are 'Recall' and 'Publish' buttons.

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

Management Plan No Plan Required

Flagged Responses

Resolution

Templates: +

This is the text for the management plan

Save Cancel Recall Publish

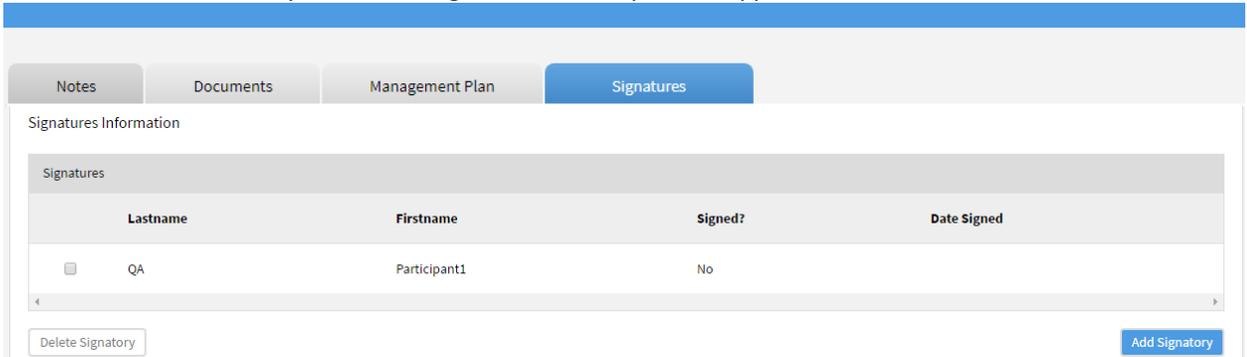
3. Click Save

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.

Search Users

Search

User Name:

Last Name:

First Name:

Show Users with No Supervisor

Is User a Supervisor?

Select Supervisor

User Listing

<input type="checkbox"/>	Name ▲	Username	Organization	Supervisor	Registered
<input checked="" type="checkbox"/>	Admin, COI	coiadmin	coi3qa		Yes

Record 1 - 1 of 1 | Page 1 of 1

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

Notes Documents Management Plan **Signatures**

Signatures Information

	Lastname	Firstname	Signed?	Date Signed
<input type="checkbox"/>	QA	Participant1	No	
<input type="checkbox"/>	COI	Admin	No	

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.

The screenshot shows the 'Management Plan' tab selected in a navigation bar with 'Notes', 'Documents', 'Management Plan', and 'Signatures'. Below the navigation bar, the 'Management Plan' section is active, featuring a 'No Plan Required' button in the top right. A 'Flagged Responses' section is visible with a scroll bar. Below that is a 'Resolution' section with a 'Templates:' label and a dropdown menu containing 'Select a template...' and a plus sign icon. The main content area is a large text box with the placeholder text 'This is the text for the management plan'. At the bottom of the interface, there are 'Edit', 'Recall', and 'Publish' buttons.

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

Request Report

Report Type:

- Potential Conflict Report
- All Disclosures
- Management Plans
- Nothing To Disclose
- Notifications Status
- Pending Disclosures
- Potential Conflict Report**
- Filed Disclosures
- User List Report

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.

Request Report

Report Type: Potential Conflict Report

Supervisor: -ALL-

Campaign: -ALL-

Status: Attested To, Available, Cancelled, Case Created

Start Date: 4/1/2017

End Date: 5/4/2017

Output: Excel

Send Email?

Run Report

Reset Preferences

Reports Listing

Report Type	Status	Output Type	Requested Date	Completed Date	Notes	Download
All Disclosures	Completed	EXCEL	5/4/2017	5/4/2017	This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	Download
All Disclosures	Completed	EXCEL	5/5/2017	5/5/2017	This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	Download
All Disclosures	Completed	EXCEL	5/5/2017	5/5/2017	This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	Download
Pending Disclosures	Completed	EXCEL	5/5/2017	5/5/2017	This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	Download
Potential Conflict Report	Completed	EXCEL	5/5/2017	5/5/2017	This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	Download
Notifications Status	Pending	EXCEL	9/10/2017		This report was requested by COI Admin, (chris.williams@ospreysoftware.com)	

[Clear Complete Reports](#) [Refresh Table](#)

COI DASHBOARD

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

