**Management and Mitigation Plans**

If the committee has determined that a management or mitigation plan is necessary, a COI Monitor will complete a Monitor Report at scheduled intervals to indicate whether or not any risk of non-compliance is being managed. The COI Monitor will also notify the research sponsor of the plan.

**Review Complete: Preparing Correspondence**

**Note:** These actions are performed by the *COI Administrator*

1. Log into the Click Portal and navigate the **COI** tab.
2. Locate the appropriate submission on the **All Certifications** tab.
3. Click the **Name** of the submission.
4. Click **Create or Upload Management Plan**, located under **My Current Actions** on the left side of the **Certification Workspace**.

* Select the appropriate plan template from the drop-down menu, then click the **Generate** button.

OR

* Upload a plan by clicking the **Choose File** (or **Upload**) button.

1. Click **OK**.
2. Click Prepare Correspondence, located under **My Current Actions** on the left side of the **Certification Workspace**.
3. Select the appropriate letter template from the drop-down menu, and then click **OK**.
4. Form the **Certification Workspace**, click **Send Correspondence** and then click **OK**.

* *The page will refresh and the certification will transition from the* ***Review Complete: Preparing Correspondence*** *state to the* ***Discloser Review of Plan*** *state.*

**Discloser Review of Plan**

**Note:** These actions are performed by the *COI Discloser*

1. Log into the Click Portal and click on the **SPO Tasks** tab in **My Inbox**
2. Click the **Name** of the submission in the **Discloser Review of Plan** state.
3. In the Certification Workspace, locate the **Summary** section of the **Summary** tab.
4. Click the link to the right of **Management Plan** to open the plan and review it. The plan will download as a Microsoft Word document.
5. Click **Submit Response Plan**, located under **My Current Actions** on the left side of the **Certification Workspace**.

* Select **Accept** to consent to the plan.

OR

* Click **Request Further Clarification** to send any questions/concerns back to the *COI Administrator*.

1. Click **OK**.

* *If the COI Discloser has accepted the plan, the page will refresh and the certification will transition from the* ***Discloser Review of Plan*** *state to the* ***Under Management/Mitigation Plan*** *state.*
* *If the COI Discloser has not accepted the plan, the page will refresh and the certification will transition from the* ***Discloser Review of Plan*** *state to the* ***Administrative Review*** *state.*

**Under Management/Mitigation Plan**

**Note:** These actions are performed by the *COI Monitor*

**Submit a Monitor Report:**

1. Log into the Click Portal and navigate the **COI** tab.
2. Locate the appropriate submission on the **Under Management Plan** tab.
3. Click the **Name** of the submission.
4. Click **Complete Monitor Report**, located under **My Current Actions** on the left side of the **Certification Workspace**.

* Indicate whether or not the plan is on track and in full compliance.
* Select the **Date** that the report was completed.
* Place a checkmark next to the confirmation statement.
* Click **OK**.

**Indicate that the Plan is Satisfied:**

1. Click **Plan Satisfied**, located under **My Current Actions** on the left side of the **Certification Workspace**.
2. Type Comments, if necessary. Click **OK**.

* *The page will refresh and the certification will transition from the* ***Under Management/Mitigation Plan*** *state to the* ***Management/Mitigation Plan Satisfied*** *state.*