
Conflict of Interest (COI) Risk ManagerTool Manager/Reviewer1 Guide

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The purpose of this guide is to provide step-by-step instructions for the Supervisor/Reviewer Role in the COI Risk Manager Tool.

Note: Supervisors are first level reviewers. After your review, the disclosure form will go to the Office of Compliance and/or Research Compliance & Assurance for the 2nd review. Here is the Conflicts of Interest Review Process:

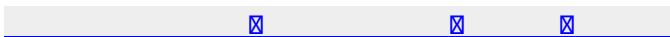
Employee completes and submits their online COI disclosure form
If any questions are answered
Supervisor reviews the form, proposes any necessary follow-up, then submits to 2nd reviewer
2nd reviewer either concurs, adds note, or completes necessary Mgt Plan revisions
2nd reviewer (J.Y., DYUb) to discuss with the COI Risk Manager Tool

How to Review a Submitted Disclosure Form

Supervisor receives system-generated email from COI Risk Manager Tool when a COI form with a Yes answer has been submitted, awaiting their review.

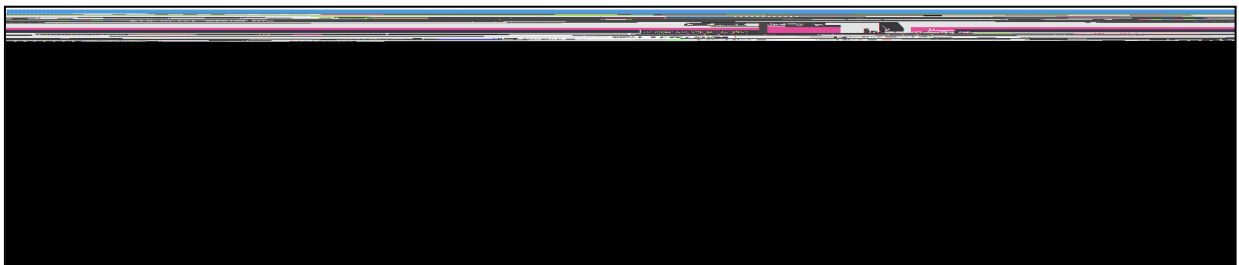
Step 1:

Click the link within the email to access COI Risk Manager. You can also also log into COI Risk Manager Tool by bookmarking the following link:



Step 2:

From the Reviewer Center, click on the radio button to the left of Direct Review name.



Step 3:

Click on the radio button to the left of the name of the form to be reviewed.

scroll bar. Here you will see only their responses to the COI form, including details they provided related to that particular conflict of interest category.

Step 4:

Scroll down to the Action Steps section. There will be an action item corresponding to each COI category. For example: if Direct Report selected to three COI categories, then Manager will have three action steps (Actions 1, 2, 3).

Click on action icons or arrow button to move onto the next step.

Step 5:

For each of the numbered disclosures (Action Steps), you will need to determine if a Management Plan is

After you make your selection, please review the associated guidance that appears in the text box.

5.b. If you select "No", the following statement will auto-fill in the textbox to explain your decision:

"No action necessary because the disclosed activities and/or relationships are compliant with University policy and the Alabama Ethics Law, and do not rise to the level of a perceived, potential or actual COI."

You may edit this statement to be more specific, for instance to cite University policy. You may also believe the activity or relationship is a perceived, potential or actual COI.

Note: Be sure to repeat the above steps for each additional potential conflict of interest disclosed by your employee (numbered 1, 2, 3, etc.).

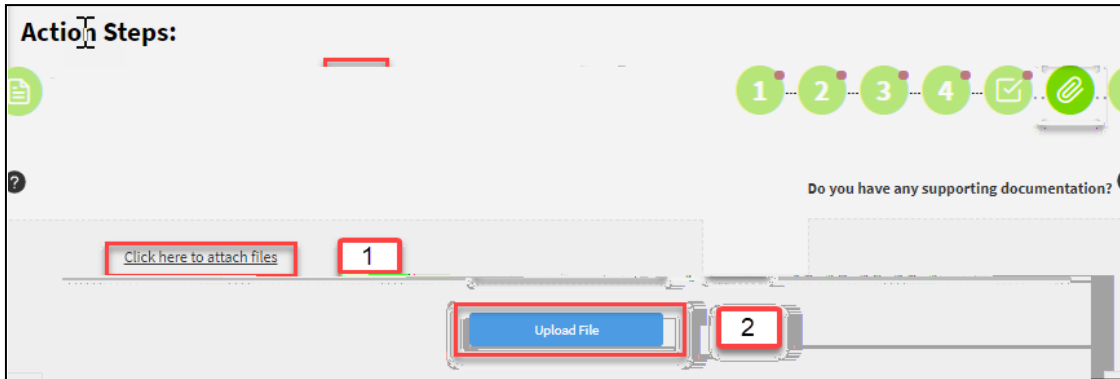
Click on action step icons or arrow button to advance to the next step.

Step 6:

When you have responded to each of the potential conflicts (represented by the Action Step numerals), click the check box to certify that you have reviewed the entire disclosure (e.g., (e)-4 (r1D00 (u)-3 (me)-

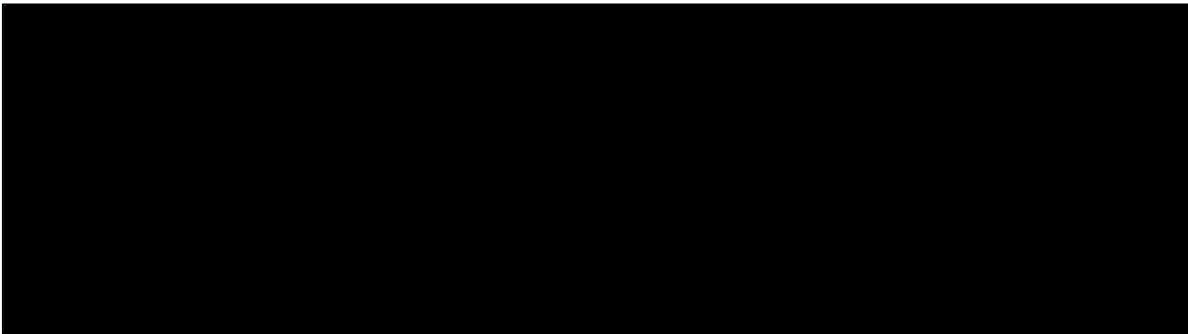
Step 7:

Click on the "Click here to attach files" link, choose documents, and then click "Upload Files".



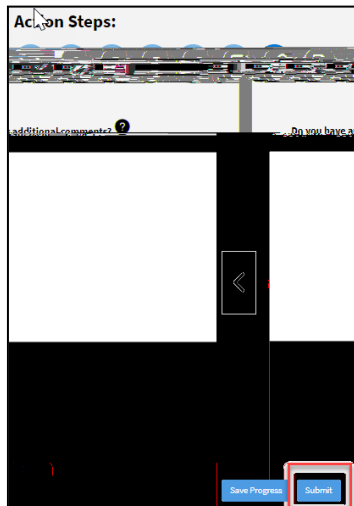
Step 8:

You have the option to add any additional comments before finalizing review.



Step 9:

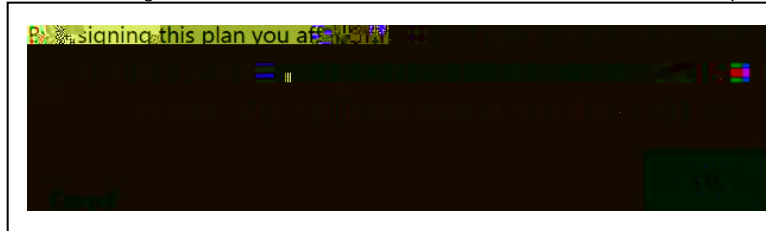
Click on the "Save Progress" or "Submit" button. Otherwise, click the



The screenshot shows a web interface titled "Management Plans". Below the title is a section labeled "Assigned Plans" containing a table with the following data:

Case Id	Last Name	First Name	Disclosure Form	Form Submitted Date	Plan Assigned Date	Plan Status
22	Tester	Elena	UAT3 Test Campaign-Conflict of Interest Questionnaire	3/24/2021 12:48:24 PM	3/30/2021 9:35:51 PM	Published

A pop-up box will appear, and you need to click " Ok" in order to complete the process.



4. You will receive a system-generated email confirming completion of management plan sign-off.

How to View Cases and Management Plans

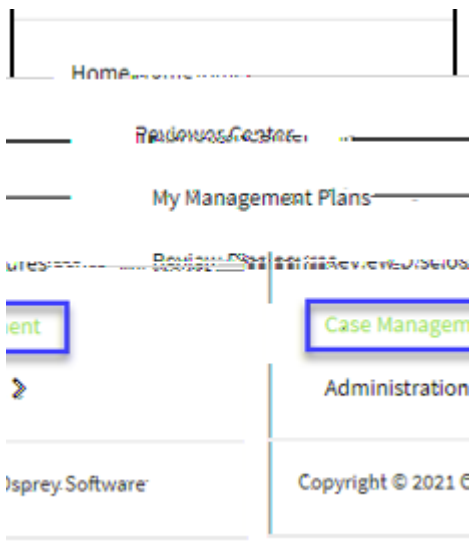
Step 1:

Log into COI Risk Manager



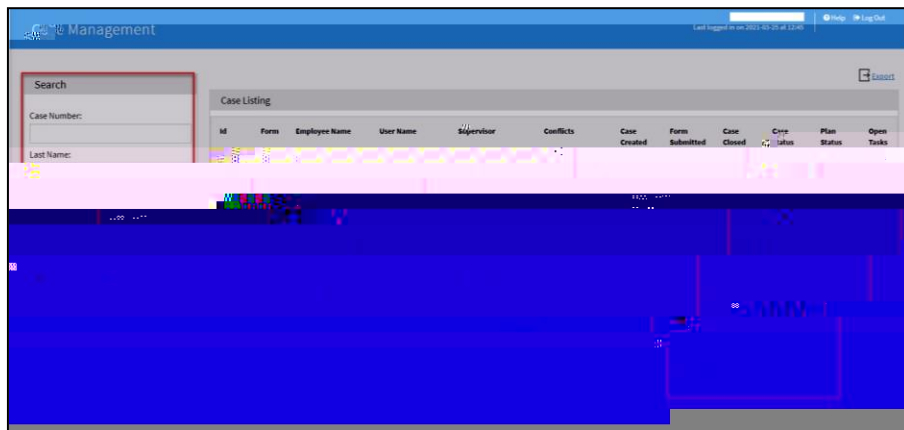
Step 2:

Click " Case Management" menu item.



Step 3:

Using the Search pane, search for cases created for your direct reports and where you were Reviewer 1. You can search by: Case Number, Last Name, First Name, Plan Status, Type of Conflict of Interest, etc.



Step 4

In the Case Listing Search results, click on the Case ID you want to open.

The Management Plan tab will list specific details of the Management Plan, which includes Conflict of Interest Category and comments from Reviewers.

The Signatures tab will list all of the