



CONFLICT OF INTEREST ASSISTANT

*For Covered Persons:
Annual COI and Commitment Reporting Form*

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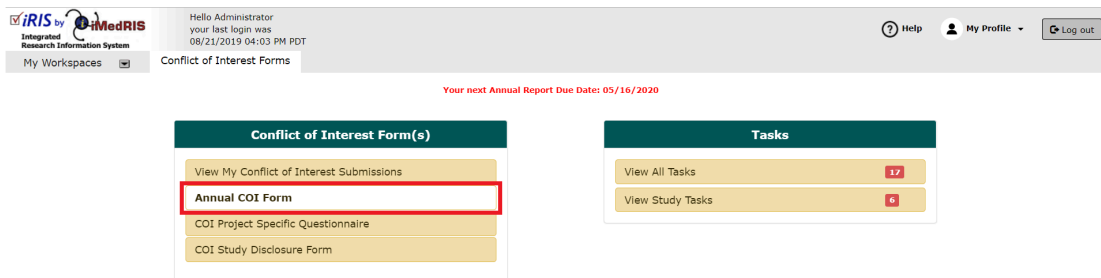
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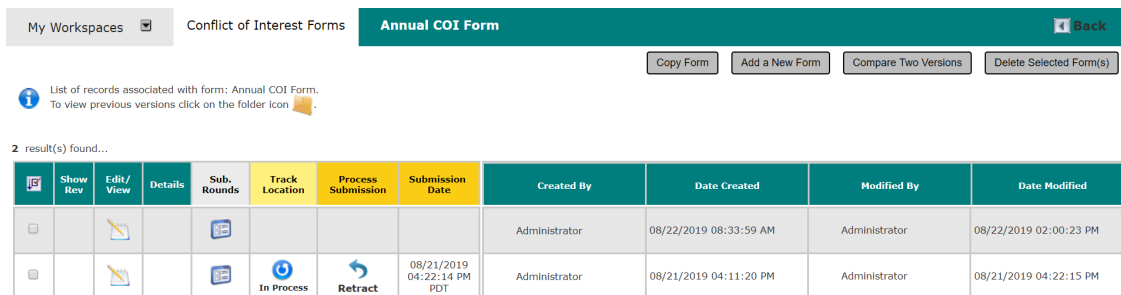
Annual COI and Commitment Reporting Form

Each year, covered persons must report their financial and effort interests on the Annual COI and Commitment Reporting Form for Individuals (or **Annual COI Form**). This manual explains the process of completing the **Annual COI Form**, and responding to a COI Management Plan (where applicable). *Note that because each institution can customize forms in the iRIS™ system, the name of the **Annual COI Form** in use at any institution may vary from that used in this manual.*

The **Conflict of Interest Form(s)** menu (shown below) populates for covered persons on their iRIS™ home screen. A link to the **Annual COI Form** is included in this menu.



Click the **Annual COI Form** link to open the **Annual COI Form** page (shown below).



Buttons are provided at the upper right of the page to **Copy Form** (copy a previous **Annual COI Form** to use as a draft for beginning a new one), **Add a New Form** (begin completion of a blank form), **Compare Two Versions**, or **Delete Selected Form(s)**. *Note that once submitted for review, forms cannot be deleted.*

Any **Annual COI Forms** associated with the logged-in user (draft/incomplete, submitted or completed) are listed in the table beneath the buttons. The table includes the following columns:

select (far left column, no title)— click to select the corresponding form; once selected a form can be copied (**Copy Form** button) or deleted (**Delete Selected Form(s)** button); select two forms to use the **Compare Two Versions** function

Show Rev — a folder icon populates in this column if the corresponding form has management plan correction revisions; click the folder icon to expand a panel containing details of previous versions of the associated **Annual COI Form**; the panel provides access to view

read-only versions of previous submissions, as well as to compare versions via the select column and **Compare Two Versions** button

Edit/View — click this icon to continue work on a draft form, or to view a read-only version of a previously submitted form

Sub. Rounds — click the icon in this column to view the number of review rounds for the corresponding form

Track Location — current status of a submitted form populates in this column; click the status text to view details of the processing and review steps the form has completed thus far (see the Submission Workflow and Tracking section of this manual for more information)

Process Submission – submission process applied to the corresponding form

Submission Date — date and the time the corresponding form was submitted; blank if the corresponding form has not yet been submitted

Created By — User ID of the user who created the form

Date Created — date and the time the form record was created

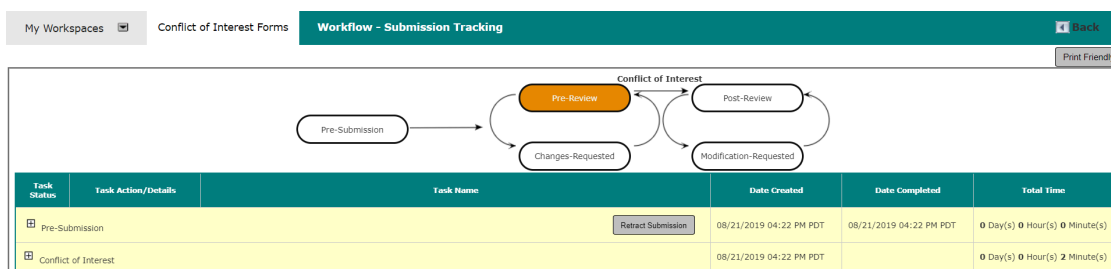
Modified By — User ID of the user who last modified the form

Date Modified — date and the time the form record was last modified

Note that different columns from the Annual COI Form can be substituted for the Created By, Date Created, Modified By, and Date Modified columns in the System Form Designer. See the Conflict of Interest — Forms and Workflow manual for more information.

Submission Workflow and Tracking

On the Annual COI Form page, when **Track Location** column status text is clicked, current workflow and location tracking details display for the applicable form in the **Workflow – Submission Tracking** page (shown below).



The top of the page shows a workflow diagram for the submission, highlighting its current location processing / review status in the workflow.

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In-processing and completed steps for the submission populate in a list table beneath the diagram, as shown below.

Task Status	Task Action/Details	Task Name	Date Created	Date Completed	Total Time
<input checked="" type="checkbox"/> Pre-Submission Retract Submission			08/21/2019 04:22 PM PDT	08/21/2019 04:22 PM PDT	0 Day(s) 0 Hour(s) 0 Minute(s)
<input type="checkbox"/> Conflict of Interest			08/21/2019 04:22 PM PDT		0 Day(s) 0 Hour(s) 0 Minute(s)
Received		Conflict of Interest received the submission	08/21/2019 04:22 PM PDT		Day Hour Minute 0 0 0

In-process steps populate at the top of the list (yellow highlighted items in screenshot above). If a processing step is cancelled, status for the submission reverts to the last applicable status.

Completed steps are displayed with a **Task Status** of “Completed”. When a step moves from “In Process” to “Completed” the list table is re-ordered, with the newly-completed step inserted in the list by order of date/time stamp.

The list table includes the following columns:

Task Status — process step / status

Task Action/Details — process step / status, and any available action button(s) (e.g., **Retract Submission**)

Task Name — description of the process

*Note that for in-process steps, at the top of the list, the first three columns are combined into a single column containing an expand icon (plus sign, minus sign when activated as shown in screenshot below) and **Task Action/Details**; this column includes action buttons where applicable (e.g., **Retract Submission** button in the screenshot below).*

Task Status	Task Action/Details	Task Name	Date Created	Date Completed	Total Time
<input checked="" type="checkbox"/> Pre-Submission Retract Submission			08/21/2019 04:22 PM PDT	08/21/2019 04:22 PM PDT	0 Day(s) 0 Hour(s) 0 Minute(s)
<input type="checkbox"/> Conflict of Interest			08/21/2019 04:22 PM PDT		0 Day(s) 0 Hour(s) 0 Minute(s)
Received		Conflict of Interest received the submission	08/21/2019 04:22 PM PDT		Day Hour Minute 0 0 0

Date Created — date the process was created / started

Date Completed — date the process was completed / ended

Total Time — total time in process

My Conflict of Interest Manager


An optional, more detailed alternative to the standard Workflow – Submission Tracking page (described in the Submission Workflow and Tracking section of this manual) is provided via a reserved property setting. The alternative, more detailed page is shown below.

Conflict of Interest – For Covered Persons








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My Workspaces ▼ Conflict of Interest Forms **My Conflict of Interest Manager** 1 [Back](#)

[Copy Disclosure](#) [Add a New Disclosure](#) [Compare Two Versions](#) [Delete Selected Disclosure\(s\)](#)

i List of records associated with form: My Conflict of Interest Manager.
To view previous versions click on the folder icon .

6 result(s) found...

	View History	Edit/View	Version	View Details	Track Location	Process Submission	Submission Date	Preliminary Request	Date Created	Date Modified	Create Revision		
			6.0				08/22/2019 09:14:05 AM PDT		08/22/2019 08:35:09 AM	08/22/2019 09:14:05 AM			
					Current Value or Income Received in Last 365 Days	Date Last Compensation Received	Annual Outside Time Commitment	Related Research	Approved by Supervisor(s)?	Written Agreement with Outside Entity	Agreement Approved by OGC?	Approved By COI?	Management Plan

No Conflict Matches have been created.

The name of the page is determined by the name of the **Annual COI Form**; in the example used here the name of the form is **My Conflict of Interest Manager** (shown in screenshot below). For the remainder of this manual section the page is referred to by that title.

My Workspaces ▼ System Administration **System Form Designer - My Conflict of Interest Manager** 1 [Back](#)


[Save Form Setup Details](#)

Section List	Define Form Usage Properties & Details
<ul style="list-style-type: none"> Edit/Save Form Details Form Tool Tips Branching into Form Logic COI Match Rule Setup Fillable PDF Print Options View Form View Branching Form Database Details 	<p>Form Type: Conflict of Interest Annual Form</p> <p>Form Name: My Conflict of Interest Manager</p> <p>Form Abbreviation: RB#-null -<Version#>.<Revision#></p> <p>Form Order Number: 1</p> <p>Navigation Name: col form</p> <p>Form Abbreviation: <input type="text"/></p> <p>Restrict form to allow only one to be under review at a time: <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Use Routing Signoff Sheet: <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Paging Increment: 50</p> <p>Use Section Numbering: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Name Created: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Date Created: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Name Modified: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Date Modified: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Reference Numbers: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Notification on Waiting Submission: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Wizard: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Display Form Option for New Study: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Validate by Section: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Use Numbering: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Does Receipt Satisfy Continuing Review Notification: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Does Receipt Satisfy Full Renewal Notification: <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Does Receipt Satisfy Study Follow-up: <input checked="" type="radio"/> Yes <input type="radio"/> No</p>








To use the alternative page in place of the standard Workflow – Submission Tracking page, select “Yes” for the system.use_coi_my_disclosure_link property under System Administration > System Configuration > Reserved Settings.

My Workspaces ▼ Conflict of Interest Forms **My Conflict of Interest Manager** 1 [Back](#)

[Copy Disclosure](#) [Add a New Disclosure](#) [Compare Two Versions](#) [Delete Selected Disclosure\(s\)](#)

i List of records associated with form: My Conflict of Interest Manager.
To view previous versions click on the folder icon .

6 result(s) found...

	View History	Edit/View	Version	View Details	Track Location	Process Submission	Submission Date	Preliminary Request	Date Created	Date Modified	Create Revision		
			6.0				08/22/2019 09:14:05 AM PDT		08/22/2019 08:35:09 AM	08/22/2019 09:14:05 AM			
					Current Value or Income Received in Last 365 Days	Date Last Compensation Received	Annual Outside Time Commitment	Related Research	Approved by Supervisor(s)?	Written Agreement with Outside Entity	Agreement Approved by OGC?	Approved By COI?	Management Plan

No Conflict Matches have been created.

The **My Conflict of Interest Manager** page contains the following columns:

- select (far left column, no title)— click to select the corresponding form; once selected a form can be copied (**Copy Form** button) or deleted (**Delete Selected Form(s)** button); select two forms to use the **Compare Two Versions** function

View History – a folder icon populates in this column for each form that has more than one version; click the folder icon to display previous versions of the form

Edit/View – click the icon in this column to open the disclosure form for review or revision; note that only forms which have not yet been submitted can be revised

Version – version number

*Note that in the iRIS™ system every new form and form revision is automatically assigned a decimal version number with one decimal place. The version number of each new form created via the **Add a New Disclosure** button is incremented by one whole number. The version number of each revision of a form created via the **Add Revision** button is incremented by one decimal number.*

*For example, if versions 1.0 and 2.0 exist in the system for a given form, clicking the **Add Revision** button for form version 2.0 creates a revision number 2.1. Clicking the **Add a New Disclosure** button for the same form creates revision number 3.0.*

View Details – click the expand (plus sign) icon to view the details of any conflict matches that were generated when the disclosure form was completed (more information below)

Track Location – current status of a submitted form populates in this column; click the status text to view details of the processing and review steps the form has completed thus far (see the Submission Workflow and Tracking section of this manual for more information)

Process Submission – current status of the submitted form:



Send – the form is complete and can be submitted; click the icon to open the signoff page for the form



In Process – the form is submitted



Retract – this icon populates if the form is submitted for review but has not yet been processed; click the icon to retract the submission for revision



Complete – matches associated to the form have been processed by the COI office and marked complete

Submission Date – date the form was submitted

Preliminary Request — populates with the corresponding value from the disclosure form if a preliminary review of a potential interest, activity, or contract is requested

Date Created — date / time the form was created

Date Modified — date / time of the last modification made to the form

Create Revision — click the icon in this column to create a revision of the Annual Disclosure form

View History	Edit/View	Version	View Details	Track Location	Process Submission	Submission Date	Preliminary Request	Date Created	Date Modified	Create Revision
		6.0			Complete	08/22/2019 09:14:05 AM PDT		08/22/2019 08:35:09 AM	08/22/2019 09:14:05 AM	

The primary feature of the **My Conflict of Interest Manager** page is the ability to view details of any conflict matches generated when the form is submitted. Click the expand icon in the **View Details** column to open the subpanel of additional detail for the applicable match item.

Nature of Outside Activity/Interest	Status	Outside Entity	Type of Activity	Current Value or Income Received in Last 365 Days	Date Last Compensation Received	Annual Outside Time Commitment	Related Research	Approved by Supervisor(s)?	Written Agreement with Outside Entity	Agreement Approved by OGC?	Approved by COI?	Management Plan
No Conflict Matches have been created.												

Columns of additional detail include:

Nature of Outside Activity/Interest — business type, as defined by the Conflict of Interest & Commitment Match Rules that generated the conflict match

Status — Disclosure Status for the match, as defined on the Outcome tab of the Conflict Match processing screens

Outside Entity — Conflict of Interest Business Associate data value associated with the match, if applicable

Type of Activity — Nature of Activity List data value associated with the match, if applicable

Current Value or Income Received in Last 365 Days — Dollar Amount Configuration List data value associated with the match, if applicable

Date Last Compensation Received — Compensation Date data value, or “Don’t Know”, as applicable

Annual Outside Time Commitment — Time Commitment data value associated with the match, if applicable

Related Research — where matching study information is available, the associated IRB number, Study Title, and Covered Person’s role on the study populate here

Approved by Supervisors — “Yes” displays if all assigned Commitment Reviewers have approved the commitment match; “No” displays if the match is flagged for a Conflict of Commitment and has been routed for review, but the review is not complete or is denied; “N/A” displays if the match is not a Conflict of Commitment

Written Agreement with Outside Entity — where applicable, a link to the document uploaded in the Written Agreement data value populates here

Agreement Approved by OGC? — Office of General Counsel outcome from the Outcome tab of the Conflict Match processing screens

Approved by COI — “Yes” displays if the Conflict Match has been submitted to the COI board and is completed; “No” displays if the Conflict Match has been submitted to the COI board and is not yet completed

Management Plan — if a Management Plan exists for the Conflict Match, a link to the PDF populates here

Completing the Annual COI Disclosure Form

To start a new **Annual COI Form**, click the **Add a New Form** button at the top of the **Annual COI Form** page (shown in screenshot below).

The screenshot shows the 'Annual COI Form' page. At the top, there are navigation elements: 'My Workspaces', 'Conflict of Interest Forms', and 'Annual COI Form'. Below these are buttons for 'Copy Form', 'Add a New Form', 'Compare Two Versions', and 'Delete Selected Form(s)'. A message indicates 'List of records associated with form: Annual COI Form. To view previous versions click on the folder icon'. Below this, it says '2 result(s) found...'. A table displays the following data:

Show Rev	Edit/View	Details	Sub. Rounds	Track Location	Process Submission	Submission Date	Created By	Date Created	Modified By	Date Modified
							Administrator	08/22/2019 08:33:59 AM	Administrator	08/22/2019 02:00:23 PM
						08/21/2019 04:22:14 PM PDT	Administrator	08/21/2019 04:11:20 PM	Administrator	08/21/2019 04:22:15 PM

A blank **Annual COI Form** opens, as shown below. *Note that because forms in the iRIS™ system are configurable, form labels and fields can vary by institution and may not match those shown in this manual.*

The screenshot shows the top navigation bar with 'My Workspaces', 'Covered Person: Admin Admin admin', 'Reference Number', and 'Conflict of Interest Forms'. The main header is 'My Conflict of Interest Manager - (Version 7.0)' with a 'Back' button. Below the header are buttons for 'Print Friendly', 'Refresh Constant Fields', 'Save Section', and 'Continue'. The main content area is titled '1.0 Annual Conflict of Interest Filing'. It contains text explaining the requirement for employees to file an annual declaration. A list of roles is shown: 'Role Name', 'Financial Investor', 'Execute Chairman', and 'Vice President'. A 'Continue' button is at the top right.

The name of the **Covered Person** populates at the top left of the form (to the immediate right of the My Workspaces menu link, see screenshot above). Later, when the form is submitted, the **Reference Number** also populates in this area.

The **Print Friendly** button can be clicked at any time while completing the form to open a print friendly copy of the current version of the form in a new tab or window.

Click the **Save Section** button to save the entries made within a section, and either exit the form to return later or continue working within the section.

Additional sections dynamically populate in the Section view of the form when each section is complete and the **Continue** button at the top right of the screen is clicked.

Typically, the first section displays instructions for the **Annual COI Form**.

The screenshot shows the '4.0 Part I.I: Assets' section. Question 4.1 asks: 'Do you have any assets that are individually worth more than \$25,000 (or \$5,000 if you are a PI or Co-PI on a proposal to or award from the Public Health Service "PHS" or National Science Foundation "NSF") to report for yourself, your spouse or dependent children?'. A tooltip is visible over the word 'dependent children', stating: 'A son, daughter, stepson, or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered a dependent under the U.S. tax code.'

Hover over any boldface, green link for additional information (shown in screenshot above). These links are configurable in the System Form Designer. After reading the instructions, click the **Continue** button to proceed to the next section.

The screenshot shows the 'Section view of the Form' on the left, with a list of sections: '1.0 Introduction', '2.0 CONFIDENTIAL ANNUAL FINANCIAL DISCLOSURE Research Instituti ...', '3.0 Filer Information', and '4.0 Part I.I: Assets' (highlighted with a red box). The main content area shows the '4.0 Part I.I: Assets' section with question 4.1 and radio buttons for 'Yes' and 'No'. Below it is section 4.5 'Examples of Assets'.

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A navigation menu dynamically builds to the left of the form as sections are completed and the **Continue** button is clicked (see red box in screenshot above). Previously completed sections of the form can be accessed via the links provided in this menu.

The Background Information section lists any current positions associated to the logged-in user within the iRIS™ system, and allows for selection of additional positions. The roles listed are configured in the Review Board Administration area of COI Assistant. Make any additional role selections and click the **Continue** button. *Note that, depending on the role configurations, selecting certain roles on this page can trigger a series of Form 990 questions later in the form.*

Following the Background Information section, the form presents a series of sections to detail specific interests the logged-in user or related person may have with certain biomedical or non-biomedical third parties (e.g., compensation, intellectual property interests, etc.).

4.0 Part I.I: Assets

4.1 Do you have any assets that are individually worth more than \$25,000 (or \$5,000 if you are a PI or Co-PI on a proposal to or award from the Public Health Service “PHS” or National Science Foundation “NSF”) to report for yourself, your [spouse](#) or [dependent children](#)? Please review the examples below before making your selection.

Yes No

4.5 Examples of Assets

Each section asks a different question regarding a specific interest, with detail provided and hover help available for certain keywords.

4.0 Part I.I: Assets

4.1 Do you have any assets that are individually worth more than \$25,000 (or \$5,000 if you are a PI or Co-PI on a proposal to or award from the Public Health Service “PHS” or National Science Foundation “NSF”) to report for yourself, your [spouse](#) or [dependent children](#)? Please review the examples below before making your selection.

Yes No

4.2 What types of assets would you like to report?

Real Estate (not including principal residence)

Stocks, Bonds, Sector Mutual Funds and Other Assets

4.4 Assets

Report only each asset that exceeded \$25,000 in value at any time during the reporting period. If you are PI or Co-PI on a proposal to or award from the Public Health Service (“PHS”) or National Science Foundation (“NSF”), your reporting obligation is subject to a different dollar threshold. Please report each asset that exceeded \$5,000 in value at any time during the reporting period.

Enter the full name of each specific asset or investment (specific stock, bond, [sector mutual fund](#), etc.)
The system will try to complete the company or asset name automatically. If the name is not already in the system, click on “Please click here to

When “Yes” is the selected answer to a question within a section, additional questions related to the specific interest populate within that section.

The screenshot shows the 'Entry 1' form with the following fields and options:

- Asset / Investment (Full name of stock, bond, etc.) *
- Entity Name: [text input]
- Report for * --none--
- Type of Asset * --none--
- Description * Provide relevant details regarding disclosed interest, e.g., fee is for teaching a physics course, asset is a variable annuity and not listed as a choice above, etc. [text area]
- Please provide the company's Tax ID (TIN) or Employer Identification Number (EIN) number, if available: [text input]
- Mark IF No Longer Held [checkbox]

Enter the requested values. If entering a Biomedical third party, type in part of the third party name to open a search list of Sponsors; click to select the applicable Sponsor. If the applicable third party name is not in the list, click in the field to enter the name of the third party.

The screenshot shows the 'Entry 1' form with the following fields and options:

- Asset / Investment (Full name of stock, bond, etc.) *
- Entity Name: pic [text input]
- Report for * --none--
- We are not finding a company name match. Please click here to enter. [button]

Other fields are dynamically populated to prompt for additional information as needed.

The screenshot shows a dynamic form section for Biomedical third party investment value:

- Biomedical third party: XYZ Pharma [text input]
- Select the estimated current value of the investment: > \$100,001 [dropdown menu]
- If > \$100,001, please specify the amount of the Investment: [text input] (format: "10000", no \$, comma)

As shown above, if > \$100,001 is selected for the **Select the estimated current value of the investment** field, a second field populates for entry of the specific amount.

The screenshot shows the 'Entry 1' and 'Entry 2' tabs with the following fields and options:

- Click here to add another entry [button, highlighted with a red box]
- Click Here to Delete this entry [button]
- Asset / Investment (Full name of stock, bond, etc.) *
- Entity Name: [text input]
- Report for * --none--
- Type of Asset * [dropdown menu]

If more than one interest is associated with a question, click the **Click here to add another entry** button (red box in screenshot above) to open another numbered **Entry** tab.

The screenshot shows the 'Entry 1' and 'Entry 2' tabs with the following fields and options:

- Click here to add another entry [button]
- Click Here to Delete this entry [button, highlighted with a red box]
- Asset / Investment (Full name of stock, bond, etc.) *
- Entity Name: [text input]
- Report for * --none--
- Type of Asset * [dropdown menu]

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A new **Entry** is created in the section, containing the same questions as the first **Entry**.

If an **Entry** is created by mistake, click the **Click Here to Delete this entry** button to remove it from the section. As many entries as are needed can be added. When all entries are added, click the **Continue** button to proceed to the next section.

The screenshot shows the 'Annual Conflict of Interest Form - (Version 6.0)' interface. The user is logged in as 'Admin Admin admin' with reference number '023303'. The current section is '8.0 Part IV. Contracts, Agreements or Arrangements (You ONLY)'. The form includes a 'REPORT:' section with a bullet point: 'Any contract, agreement or arrangement, oral or written, that you currently have or'. Navigation buttons include 'Print Friendly', 'Refresh Constant Fields', 'Save Section', and 'Continue'. A 'Back' button is also visible in the top right corner.

As form completion proceeds, the logged-in user is asked a series of questions about specific interests to help identify if that user has a conflict of interest with any sponsor or project in the system.

For each section where the logged-in user indicates “Yes”, the system flags that the user indicated an interest and automatically reports that information to the Conflict of Interest board upon submission of the COI Annual Form.

The screenshot shows the 'Annual Conflict of Interest Form - (Version 5.0)' interface. The user is logged in as 'Admin Admin admin' with reference number '023303'. The form is completed, and a message states: 'Form has been Completed! Form has Been Completed Screen'. Below the message, it says: 'You must submit a revised form within Thirty One (31) days of becoming aware that any of your answers have changed'. There are two buttons: 'Exit Form' and 'Signoff and Submit'.

When the **Annual COI Form** is complete the logged-in user has the option to initiate the signoff process, so the form can be submitted for review. Click the **Signoff and Submit** button to start the signoff process.

The screenshot shows a signoff confirmation message with the following text: 'You are required to signoff on the submission.' followed by 'You will now be redirected to the signoff screen to apply your electronic signature.' and 'You can monitor the submission progress with the Submission Status - In Progress.' There is an 'OK (2)' button at the bottom right.

Depending on system settings and the configuration of the form, the informational countdown popup message shown above can be displayed to the user before they are redirected to the **Submission Routing Signoff** page.

My Workspaces ▾ Conflict of Interest Forms **Submission Routing Signoff** Back

Submission Reference Number: 023300 Submit

Submission Form(s)	Include in PDF Packet	Submission Component Name - Version
<input type="checkbox"/>		Annual Conflict of Interest Form - (Version 6.0)

Printable Version

Electronic Signature: This form requires your electronic signature. Enter the User ID and Password that you used to access the Ethics Management System. By entering my User ID and Password, I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.

Comments:

User ID:

Password:

Submit

The **Submission Routing Signoff** page includes a Submission Routing Signoff sheet. This page list the following information:

Submission Reference Number — unique, system-generated reference number for this **Annual COI Form**

Submission Form(s) — listing of all components of the submission, including documents the user uploaded; select the checkbox in the **Include in PDF Packet** column for any item(s) to be included in a PDF packet, then click the **Printable Version** button to generate the packet in a new tab or window; click the **Submission Component Name** text for any item listed here to open that component

Electronic Signature — enter the logged-in User ID and password for iRIS™ to automatically apply that user’s electronic signature, no other user can apply the signature. Note that this is a configurable setting, the system may or may not require submission of an electronic signature

Form has been Completed!

Form has Been Completed Screen

You must submit a revised form within **Thirty One (31) days** of becoming aware that any of your answers have changed

Exit Form

Signoff and Submit

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After signoff is complete the user can check the status and location of their submission by going to their homepage and clicking on “Steps” under the Conflict of Interest Submission Status panel. Here, the user can respond to, view, or track the status of their submission (see screenshot below).

Reference Number	Form Name	Date Submitted	Actions		
023326	My Conflict of Interest Manager	08/23/2019 08:34 AM PDT	Steps		
Pre-Submission					
Task Status	Task Action/Details	Task Name	Date Created	Date Completed	Total Time
<input type="checkbox"/> Pre-Submission	Retract Submission		08/23/2019 08:34 AM PDT		0 Day(s) 0 Hour(s) 0 Minute(s)
Completed	View Signoff	Admin Admin admin, Ph.D. Brig. Gen. as Submitter review and apply signoff, assigned by Admin A admin, Ph.D. Brig. Gen.	08/23/2019 08:34 AM PDT	08/23/2019 08:34 AM PDT	Day Hour Minute 0 0 0
Completed		Send Predefined Email	08/23/2019 08:34 AM PDT	08/23/2019 08:34 AM PDT	Day Hour Minute 0 0 0
Completed		Send Predefined Email	08/23/2019 08:34 AM PDT	08/23/2019 08:34 AM PDT	Day Hour Minute 0 0 0
Completed		Send Email with Submission Forms	08/23/2019 08:34 AM PDT	08/23/2019 08:34 AM PDT	Day Hour Minute 0 0 0

Responding to a Management Plan

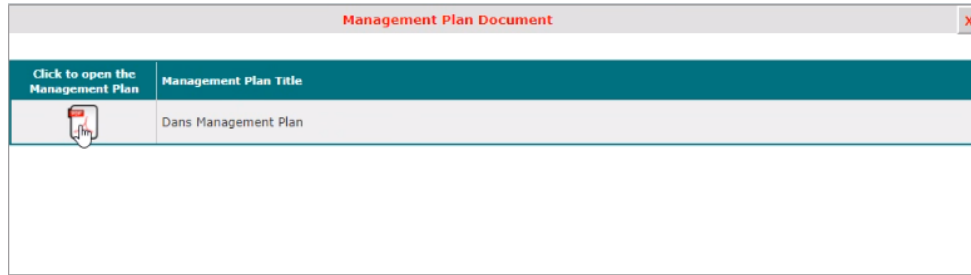
If the COI office sends a conflict management plan in response to a COI submission, the user who submitted the form receives a “Respond to Conflict Management Plan” task on their home page. A **View Details** link populates for any “Respond to Conflict Management Plan” task, as shown below.

All Tasks				
Outstanding		Completed		
All Tasks	Protocol Tasks	Project Tasks		
Click to open	Task Type	Date Received	Description	
<input type="checkbox"/>	Submission Correction	08/25/2020 09:53 AM PDT	COI returned the submission for correction	
<input type="checkbox"/>	Respond to Conflict Management Plan	08/25/2020 09:40 AM PDT	View Details	COI returned the submission with the outcome of Management Plan
<input type="checkbox"/>	Respond to Conflict Management Plan	08/24/2020 10:29 AM PDT	View Details	COI returned the submission with the outcome of Management Plan
<input type="checkbox"/>	Respond to Conflict Management Plan	08/24/2020 10:15 AM PDT	View Details	COI returned the submission with the outcome of Approved with Contingencies
<input type="checkbox"/>	Conflict of Interest Project Disclosure Questionnaire	08/21/2020 02:32 PM PDT	Notice to complete conflict of interest project disclosure questionnaire	

Click the **View Details** link to open the **Management Plan Document** popup window, shown below. Any associated management plan(s) are listed here.

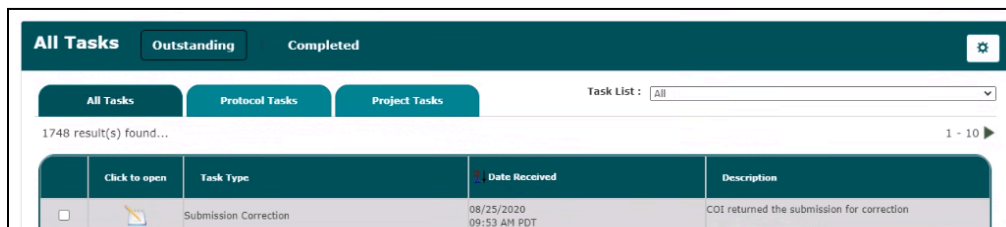
Conflict of Interest – For Covered Persons

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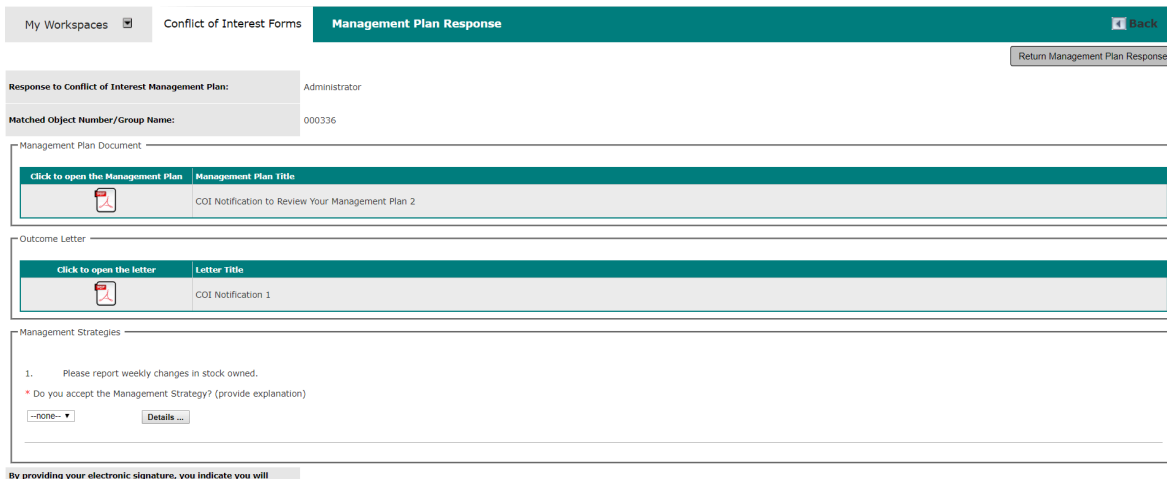


Click the icon in the **Click to open the Management Plan** column to view the document in a separate window.

Full details, associated documents and available processing options for all home page COI task items are shown in the **Management Plan Response** page. To access the page, click the icon in the **Click to open** column for the applicable task.



As demonstrated below, the selected item is opened in the **Management Plan Response** page.



The top two panels contain **Management Plan Document** and **Outcome Letter** details, as well as icons to open read-only versions of associated documents. Click the applicable PDF icon to open a document.

The Management Strategies panel lists any requested strategy(ies).

Management Strategies

1. You will need to sell all of your stocks.

Do you accept the Management Strategy? (provide explanation)

--none-- ▾ **Details...**

The user must respond to each strategy in the panel. Click in the drop down list of options to open it, then click an item in the list to select it. If applicable, click the **Details** button to open a text editor for entry of any comments.

After entering a response to the strategies, the user must apply their electronic signature by entering their **User Id** and **Password** in the fields provided at the bottom of the page.

By providing your electronic signature, you indicate you will follow the Management Plan.

User ID:

Password:

When changes are complete, scroll back to the top of the page and click the **Return Management Plan Response** button (shown in screenshot below).

My Workspaces ▾ Conflict of Interest Forms **Management Plan Response** [Back](#)

Return Management Plan Response

Response to Conflict of Interest Management Plan: Administrator

The system notifies the COI office of the user’s response.