



CONFLICT OF INTEREST ASSISTANT

Conflict Match Processing

Software Version: 12.01

Manual Version: R-1

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Introduction

The Conflict of Interest Assistant allows for processing of iRIS™ user conflict matches that have been generated by answers on COI forms. It's possible to complete many tasks from the Conflict Matches area of the system, including reviewing the match, adding documents, assigning reviewers, and sending out letters and Management Plans. This document covers steps to process Conflict Matches.

Conflict Matches

When a conflict match is found in an annual COI submission, it is routed to the **Conflict Matched Objects** processing area of the Conflict of Interest Assistant.

This page can be accessed via the Conflict of Interest Assistant > Conflict Matches menu link, or the Conflict Matches icon in the Conflict of Interest Workspace.

The Conflict Matched Objects page lists any conflict match found in any form submitted to the COI Review Board. The COI submission queue is split up into six tabs: **Submission Prereview**, **Not Assigned**, **Assigned**, **Completed Matched Objects**, **Completed Forms**, and **Agendas**.

Open	Ref Number	Type	Date Board Received	Covered Person	Matched Objects
	000686	Annual COI Form	08/21/2019 4:22:15 PM PDT	Adams, Charles M, M.D., PhD	6
	000683	COI Study Disclosure Form	08/19/2019 9:16:36 AM PDT	Adams, Charles M, M.D., PhD	1
	000682	COI Study Disclosure Form	08/19/2019 9:16:05 AM PDT	Iverson, Monique J, M.D.	4
	000676	Gifts to Report Form	08/19/2019 8:45:46 AM PDT	Adams, Charles M, M.D., PhD	1
	000675	COI Study Disclosure Form	08/19/2019		1

Submission Prereview

The page initially loads with the **Submission Prereview** tab open. This tab provides a summary view of conflict matches.

Click the icon in the **Open** column for a match to open the corresponding submission.

Open Form

When a form is opened from the **Open** column in the **Submission Prereview** tab of the **Conflict Matched Objects** page (see screenshot above), a read-only version of the form opens in the **Annual COI Form** page (shown below).

Conflict of Interest – Match Processing iRIS™ v12.01

Account: Administrator
Path: Home > match objects

My Workspaces | Conflict of Interest | **Annual COI Form** | Back

Miscellaneous

Ref Number: 000686

General Information

- Submission Components
- Submission History
- Pre-review Screening

List of Match Object(s) for Review

Interest 1	Interest 2
<p>Show Form: [icon]</p> <p>Covered Person's Name: Adams, Charles M, M.D., PhD</p> <p>Reported Interest Type: Financial Interest</p> <p>Reported Interest Third Party: 3-M Pharmaceuticals</p> <p>Business Status: In Database, not white- or blacklisted, Subrecipient</p> <p>Reported Role: Not KDM ? Other Institutional Role</p> <p>Reporting Action: Individual Annual Reporting Form</p> <p>Date Submitted: 08/21/2019 4:22:14 PM PDT</p> <p>Interest Ref Number: 000686</p>	<p>Show Form: [icon]</p> <p>Covered Person's Name: Adams, Charles M, M.D., PhD</p> <p>Reported Interest Type: Financial Interest</p> <p>Reported Interest Third Party: 3-M Pharmaceuticals</p> <p>Reported Role: Principal Investigator</p> <p>Reporting Action: Study Application</p> <p>Date Submitted: 06/15/2018 4:58:19 PM PDT</p> <p>Interest Ref Number: 000203</p> <p>Protocol Number: IRB-18-24</p> <p>Study Status: Pending - Submitted for Initial Review</p>
<p>Show Form: [icon]</p> <p>Covered Person's Name: Adams, Charles M, M.D., PhD</p> <p>Reported Interest Type: Financial Interest</p> <p>Reported Interest Third Party: 3-M Pharmaceuticals</p> <p>Business Status: In Database, not white- or blacklisted, Subrecipient</p> <p>Reported Role: Not KDM ? Other Institutional Role</p> <p>Reporting Action: Individual Annual Reporting Form</p> <p>Date Submitted: 08/21/2019 4:22:14 PM PDT</p> <p>Interest Ref Number: 000686</p>	<p>Show Form: [icon]</p> <p>Covered Person's Name: Adams, Charles M, M.D., PhD</p> <p>Reported Interest Type: Financial Interest</p> <p>Reported Interest Third Party: 3-M Pharmaceuticals</p> <p>Reported Role: Principal Investigator</p> <p>Reporting Action: Study Application</p> <p>Date Submitted:</p> <p>Interest Ref Number:</p> <p>Protocol Number: IRB-19-120</p>

The different sections of the form are accessed via the menu tabs at left. By default, this page loads with the **General Information** tab open.

Covered Person Submission History

A function to view users' historical COI data is available via the **Covered Person Submission History** link in the **Miscellaneous** menu, as shown below.

My Workspaces | COI | **Project Questionnaire** | Back

Miscellaneous

Covered Person Submission History

Number: 026565 | Project Title: Dans Test 4904-5

Project Status: Pending - Proposal Submitted

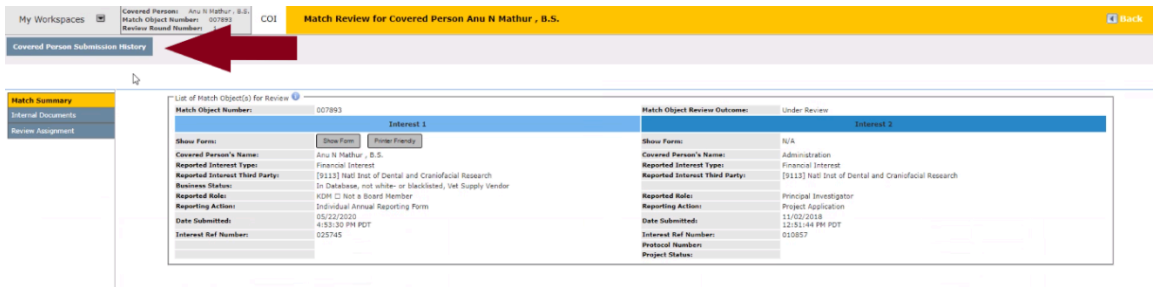
General Information

- Submission Components
- Submission History
- Pre-review Screening

List of Match Object(s) for Review

Interest 1	Interest 2
<p>Match Object Number: 008370</p> <p>Show Form: [icon] Show Form Printer Friendly</p> <p>Covered Person's Name: Dan Pope, B.S.</p> <p>Reported Interest Type: Biomedical - Compensated Commitment</p> <p>Reported Interest Third Party: [9837] Dermatology Foundation</p> <p>Business Status: In Database, not white- or blacklisted, Research Sponsor</p> <p>Reported Role: Not KDM ? Other Institutional Role</p> <p>Reporting Action: Project Specific Reporting Form</p> <p>Date Submitted: 09/09/2020 9:09:54 AM PDT</p> <p>Interest Ref Number: 026565</p>	<p>Match Object Review Outcome: Under Review</p> <p>Show Form: [icon] N/A</p> <p>Covered Person's Name:</p> <p>Reported Interest Type:</p> <p>Reported Interest Third Party:</p> <p>Reported Role: Unknown</p> <p>Reporting Action:</p> <p>Date Submitted:</p> <p>Interest Ref Number:</p> <p>Protocol Number:</p>

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Clicking the **Covered Person Submission History** link opens the new **Conflict of Interest Submission History** page, shown below.

Note that the example shown is from a test user. In common practice most users will not have more than a few line items here.

Conflict of Interest Submission History for Pope, Dan, B.S.													
COI Form Type: All													
Date Received Start/End: 09/18/2019 / 09/18/2020													
Submission Status: All													
Show Submission Revisions	Reference Number	Submission Status	Track Location	View Components	Compare Forms	Type	Project Status Proposal Number	Study Status RB Number	Principal Investigator	Date Received	Outcome Status	View Submission Preview	Show Matched Objects
	026565	In Progress	Track Location	View Components	<input type="checkbox"/>	Dans New Project Questionnaire	Pending - Proposal Submitted PRE-20-948		Dan Pope, B.S.	09/09/2020 9:09:55 AM PDT		View Submission	Show Matches (1)
	026554	Completed	Track Location	View Components	<input type="checkbox"/>	Pre-Review Correction Form - COI				09/08/2020 9:07:41 AM PDT		View Submission	Show Matches (7)
	026555	In Progress	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				09/08/2020 9:03:33 AM PDT		View Submission	Show Matches (1)
	026553	In Progress	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				09/04/2020 3:57:24 PM PDT		View Submission	Show Matches (7)
	026550	In Progress	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				09/04/2020 3:14:00 PM PDT		View Submission	Show Matches (2)
	026522	In Progress	Track Location	View Components	<input type="checkbox"/>	Dans New Project Questionnaire	Pending - Proposal Submitted PRE-20-935		Dan Pope, B.S.	09/03/2020 9:29:03 AM PDT		View Submission	0
	026517	In Progress	Track Location	View Components	<input type="checkbox"/>	PI Certification Form (Non-PHS gov't funded research)	Pending - Proposal Submitted PRE-20-933		Dan Pope, B.S.	09/02/2020 4:29:51 PM PDT		View Submission	Show Matches (1)
	026483	Completed	Track Location	View Components	<input type="checkbox"/>	Pre-Review Correction Form - COI				08/31/2020 12:21:37 PM PDT		View Submission	Show Matches (1)
	026481	Completed	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				08/31/2020 11:36:45 AM PDT		View Submission	Show Matches (1)
	026480	Completed	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				08/31/2020 10:56:40 AM PDT	Send back For Corrections	View Submission	Show Matches (1)
	026473	In Progress	Track Location	View Components	<input type="checkbox"/>	Pre-Review Correction Form - COI				08/31/2020 10:11:41 AM PDT		View Submission	Show Matches (1)
	026460	In Progress	Track Location	View Components	<input type="checkbox"/>	DAnnual COI Form				08/27/2020 12:24:41 PM PDT		View Submission	Show Matches (1)

Notice the items highlighted with black, blue and purple boxes.

A search form is provided at the top of the page (black box in screenshot above), to enable filtering results by **COI Form Type**, **Date Received** range or **Submission Status**.

The results section provides drill down access to view-only information as follows:

Track Location – click this button to view location information for the corresponding line item, including the processing flow node diagram

View Components – click this button to view submission components (documents) for the corresponding line item

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Compare Forms – in this column, click to select the checkboxes of form versions to be compared, then click the **Compare Forms** button in the column header to open the comparison page

View Submission – click this button to view Submission Prereview records, documents and information for the corresponding line item

Show Matches (#) – the number specified indicates the number of matched objects; click this button to view all of the matched objects for the corresponding line item

Interest 1

The **Interest 1** column (left hand column in the screenshot above) populates with details of the first conflict match identified by the Covered Person, as follows.

Show Form—where available, click this icon to view the form where the conflict match was identified to open the associated form (Annual COI or Study COI form); where a **Print** icon is present next to the **Show Form** icon, click it to view a print-friendly version of the information provided in the **List of Match Object(s) for Review** section

Covered Person's Name—name of the person who has indicated a conflict match

Reported Interest Type—type of interest, as noted within the form (e.g., Financial Interest, Financial Commitment, Gifts from a Biomedical Company, etc.)

Reported Interest Third Party—name of the indicated third party interest (the Sponsor with which the user indicated an interest)

Business Status—indicates whether the business is in the database, whether it's a Sponsor, and whether it's white- or blacklisted

Reported Role—role indicated by the Covered Person for this conflict match

Reporting Action—where the match originated (e.g., COI Individual Annual Reporting Form, Study COI)

Date Submitted—date the conflict form was submitted into the workflow

Interest Ref Number—reference number of the COI form

Interest 2

This area only populates with information if the Covered Person has a conflict with a certain sponsor, and has a role on a study with that same sponsor. Information about that study populates in the **Interest 2** area.

Show Form—where available, click this icon to view the form where the conflict match was identified to open the associated form (Annual COI or Study COI form); where a **Print** icon is present next to the **Show Form** icon, click it to view a print-friendly version of the information provided in the **List of Match Object(s) for Review** section

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Covered Person's Name—name of the person who has indicated a conflict match

Reported Interest Type—type of interest, as noted within the form (e.g., Financial Interest, Financial Commitment, Gifts from a Biomedical Company, etc.)

Reported Interest Third Party—name of the indicated third party interest (the Sponsor with which the user indicated an interest)

Reported Role—role indicated by the Covered Person for this conflict match

Reporting Action—where the match originated (e.g., COI Individual Annual Reporting Form, Study COI)

Date Submitted—date the conflict form was submitted into the workflow

Interest Ref Number—reference number of the COI form

Protocol Number—protocol number of the corresponding research study

Study Status—current status of the corresponding research study, where applicable; where inapplicable, the field does not display

View Status Tracking Map

A status tracking map for the submission, including previous rounds, is accessible via the **Miscellaneous > Submission History** drop down item at the upper left.

Account: Administrator
Path: Home > match objects

My Workspaces Conflict of Interest Annual COI Form

Miscellaneous
Submission History

General Information
Submission Components
Submission History
Pre-review Screening

Interest 1		Interest 2	
Show Form:		Show Form:	
Covered Person's Name:	Administrator	Covered Person's Name:	Administrator
Reported Interest Type:	Financial Interest	Reported Interest Type:	Financial Interest
Reported Interest Third Party:	3-M Pharmaceuticals	Reported Interest Third Party:	3-M Pharmaceuticals

Click the **Miscellaneous > Submission History** to open the **Submission History** page (shown below).

Account: Administrator
Path: Home > match objects > submission item

My Workspaces Conflict of Interest Submission History

Submissions in Process Completed Submissions

Reference Number	Track Location	Status	Request Type	Details	Review Process	Date Received
000683			COI Study Disclosure Form		Process Administratively	08/19/2019 09:16:36 AM PDT

The page has two tabs: **Submissions in Process** and **Completed Submissions**. Click either tab to toggle between them and view either completed submissions or those still in process. The interactive elements on the tabs of

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this page are the icons in the **Track Location** column, a link to view the form (**Request Type** column), and an icon to access **Details**.

Click the icon in the **Track Location** column to open the **Workflow – Submission Tracking** page, where a location tracking map and summary information for the selected form are displayed.

Task Status	Task Action/Details	Task Name	Date Created	Date Completed	Total Time
+		Pre-Submission	08/21/2019 04:22 PM PDT	08/21/2019 04:22 PM PDT	0 Day(s) 0 Hour(s) 0 Minute(s)
+		Conflict of Interest	08/21/2019 04:22 PM PDT		1 Day(s) 17 Hour(s) 4 Minute(s)

Specific information and page elements shown will vary according to the type of COI form under review, its current processing status, and any customizations made in Review Board Administration settings. For example, the **Retract Submission** button shown in the screenshot above will not be available for all forms at all stages of match processing.

Click the plus signs at the far left to expand status details for each **Task Status** section. Alternatively, click any step in the workflow process diagram at top to expand details specific to that step.

In the following screenshot, all available sections have been expanded by clicking the plus signs.

Task Status	Task Action/Details	Task Name	Date Created	Date Completed	Total Time
+		Pre-Submission	08/21/2019 04:22 PM PDT	08/21/2019 04:22 PM PDT	0 Day(s) 0 Hour(s) 0 Minute(s)
Completed	View Signoff	Administrator as Submitter review and apply signoff	08/21/2019 04:22 PM PDT	08/21/2019 04:22 PM PDT	Day Hour Minute 0 0 0
+		Conflict of Interest	08/21/2019 04:22 PM PDT		1 Day(s) 17 Hour(s) 4 Minute(s)
Received		Conflict of Interest received the submission	08/21/2019 04:22 PM PDT		Day Hours Minutes 1 17 4

Where a **View Signoff** button is present, click it to load the **Submission Routing Signoff** page, which is used to view and print signoff details. Click the **Include in PDF Packet** checkbox to select items, then click the **Printable Version** button.

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The screenshot shows the iRIS by iMedRIS interface. At the top, the user is logged in as Administrator, Department: GH - 7543 - General Hospital. The breadcrumb path is: Home > match objects > submission item > submission history > track submission. The current workspace is 'Conflict of Interest' and the page title is 'Submission Routing Signoff'. A 'Printable Version' button is visible. The submission reference number is 000686. Below, a table lists submission forms for inclusion in a PDF packet:

Include in PDF Packet	Submission Component Name - Version
<input type="checkbox"/>	Annual COI Form - (Version 1.0)

Below the table, it states: ELECTRONIC SIGNATURE HAS BEEN APPLIED by Administrator at 08/21/2019 04:22 PM PDT.

Note that at least one checkbox must be selected in order to print. If multiple items are selected, the option to re-order them in the PDF packet before printing is available.

Where a **Retract Submission** button is present, click it to retract the submission. A confirmation popup displays, providing the option to either **CONFIRM** or **CANCEL**.

Submission Components

Back on the page where a selected form is open (in the example below, it's an Annual COI Form), the second menu tab is **Submission Components**. On this tab, details of forms and related documentation that comprise the submission are presented.

The screenshot shows the 'Annual COI Form' page. The breadcrumb path is: Home > match objects. The submission reference number is 000675. The page title is 'Annual COI Form'. Below, a table lists submission components for inclusion in a PDF packet:

Include in PDF Packet	Current Submission Components (All Rounds)	More Details	Items in List View	Create PDF Packet
<input type="checkbox"/>	Annual COI Form - (Version 1.0)	+		

Click the **Items in List View** button at the right to toggle between **Items in List View** and **Items in Folder View**. Folder View is only applicable where the submission includes grouped forms and/or documents.

To create a PDF packet, click the checkbox in the **Include in PDF Packet** column for items to be included, then click the **Create PDF Packet** button at the right. If multiple items are selected, it will be possible to re-order them before printing the PDF Packet.

View details of a specific item in the list by clicking the plus sign icon in the **More Details** column for that item. To expand the details section for all items in the list, click the plus sign in the **More Details** column header.

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Account: Administrator
Path: Home > match objects

My Workspaces | Conflict of Interest | Annual COI Form

Ref Number: 000675

Print Friendly

Display Submission Components

Include in PDF Packet | Current Submission Components (All Rounds) | More Details

Submission Form(s)

<input type="checkbox"/>	Annual COI Form - (Version 1.0)	
	Submitted to Workflow:	08/19/2019 8:28:18 AM PDT

Use the **Print Friendly** button to open a simplified list in a new window.

Submission History

Back on the **Open Form** page, click the **Submission History** tab to view submission history for the selected open form.

The **Status** column shows an icon representative of the associated item's current processing status. A green checkmark indicates the associated item is complete. The circle of fading dots indicates the associated item is still in process.

Account: Administrator
Path: Home > match objects

My Workspaces | Conflict of Interest | Annual COI Form

Ref Number: 000674

Submission History

	Status	View Details	Date Received / Date Completed	Event Description
			08/19/2019 08:23 AM PDT /	Committee BRCA received the submission
			08/23/2019 08:57 AM PDT / 08/23/2019 08:57 AM PDT	Committee BRCA assigned a Pre-review action of Returned for Corrections
			08/23/2019 08:54 AM PDT / 08/23/2019 08:54 AM PDT	Committee BRCA assigned a Pre-review action of Proceed with matched objects review
			08/19/2019 08:23 AM PDT / 08/19/2019 08:23 AM PDT	Anton Pannette as Submitter review and apply signoff

The **View Details** column displays an icon for items that have associated forms or related documentation. Where an icon is present, click it to view details of the form or associated documentation.

The **Date Received / Date Completed** column contains the date received for the item, followed by a forward slash, followed by the date completed for the item. If processing for the item is not yet complete, only a date received and forward slash are shown.

The **Event Description** column contains a brief description of the item.

Click the plus sign to the left of any item to view **Submission Type** and **Reference Number** for that item.

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The screenshot shows the 'Annual COI Form' page in the iRIS system. The 'Ref Number' is 000674. A 'Submission History' table is displayed with the following data:

Status	View Details	Date Received / Date Completed	Event Description
		08/19/2019 08:23 AM PDT /	Committee BRCA received the submission Submission Type: Annual COI Form Reference Number: 000674
		08/23/2019 08:57 AM PDT / 08/23/2019 08:57 AM PDT	Committee BRCA assigned a Pre-review action of Returned for Corrections
		08/23/2019 08:54 AM PDT /	Committee BRCA assigned a Pre-review action of Proceed with matched objects review

Pre-review Screening

Back on the **Open Form** page, click the **Pre-review Screening** tab to enter the results of the screening.

The screenshot shows the 'Pre-review Screening' form in the iRIS system. The 'Ref Number' is 000674. A 'Save the Pre-Review Screening' button is visible. The 'Determine Review Process' section contains the following options:

<input type="radio"/>	Not Determined
<input type="radio"/>	Proceed with matched objects review
<input type="radio"/>	Review Complete Close all matches
<input type="radio"/>	Pre-Review changes requested
<input checked="" type="radio"/>	Process Administratively

The title of the form, document or object appears in the page header, and its **Ref Number** appears in red at the upper left of the page.

Status options are as follows:

Not Determined—keep the item in Pre-review Processing and make an entry to the file noting that decision

Proceed with matched objects review—move the item to the Not Assigned tab of the Conflict Matches home page, where its matched objects can be assigned for further review

Review Complete Close all matches—close all matches pertaining to this item and move the item to the Completed Matched Objects tab of the Conflict Matches home screen

Pre-review changes requested—at least one change has been requested, processing cannot continue until the request has been addressed

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Process Administratively—opens a special version of the Submission Complete page with a Pre-Review Outcome field; see the Submission Complete section of this manual for more information

Stipulation

Back on the **Open Form** page, the next tab is **Stipulation**. There are three ways to add stipulations: **Add Multiple**, **Add New** and **Add Pre-defined**.

Delete	Edit	Sorting Number	Stipulation Type	Stipulation Category	Follow-up Due	Stipulation	Created By	Edited By	Link To Component
No Stipulations entered									

Add New Stipulation

Click the **Add New** button to manually enter a stipulation line item.

The **Review Management Strategies** page opens. Type or paste in desired text for the stipulation in the provided rich text editor.

My Workspaces Conflict of Interest **Review Management Strategies**

Strategy Information:

*Strategy Type:
Strategy must be addressed

*Strategy Category:
--none--

* Strategy Content

Select a **Strategy Type** and **Strategy Category** at left, then click the **Save the Strategy** button to add the strategy to the stipulations list.

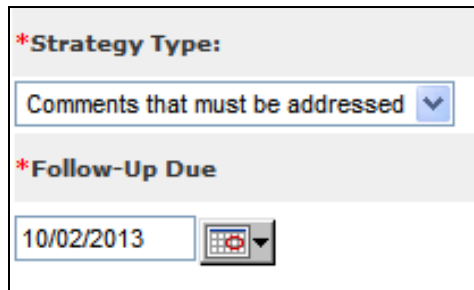
There are three **Management Strategy Types**:

Strategy must be addressed— the covered person must follow the strategy and respond to the COI office with an acknowledgement

Comments that must be addressed— when this type is selected from the drop down list the page refreshes, adding a field to specify a follow-up due date; the Covered Person must respond to the item before the specified date, outside of the main management plan

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follow-up due date (this is assigned when the management plan is sent to the Covered Person, which is covered later in this manual)



A screenshot of a web form showing two fields. The first field is labeled '*Strategy Type:' and contains a dropdown menu with the text 'Comments that must be addressed' and a downward arrow. The second field is labeled '*Follow-Up Due' and contains a date '10/02/2013' next to a calendar icon.

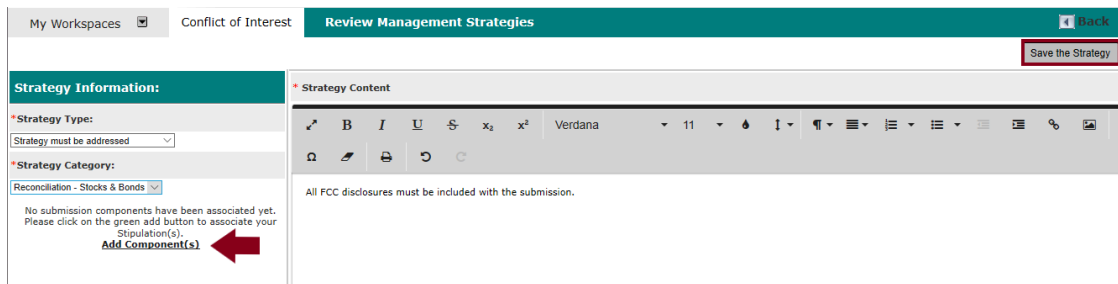
Comments— adds recommendations for the Covered Person; the comments are merged into the Management Plan and require acknowledgement from the Covered Person

Strategy Category — configurable list set up under Review Board Administration; the institution can use this list to categorize strategies as desired

Associate Component(s)

If there are submission components available for the matched object (e.g., COI Study Disclosure Form), an **Add Component(s)** link is available at the lower left of the text editor page where stipulations are added (red arrow in the screenshot below).

Submission components are associated where possible in order to provide reviewers with a link to the item referenced by a stipulation, to streamline the review process.



A screenshot of the 'Review Management Strategies' page. The page has a header with 'My Workspaces', 'Conflict of Interest', and 'Review Management Strategies'. Below the header is a 'Strategy Information' section with fields for '*Strategy Type:' (dropdown: 'Strategy must be addressed') and '*Strategy Category:' (dropdown: 'Reconciliation - Stocks & Bonds'). Below these fields is a message: 'No submission components have been associated yet. Please click on the green add button to associate your Stipulation(s).' and a link 'Add Component(s)' with a red arrow pointing to it. To the right is a 'Strategy Content' section with a rich text editor containing the text 'All FCC disclosures must be included with the submission.' and a 'Save the Strategy' button.

Click the **Add Component(s)** link to associate the applicable component with the stipulation. This opens the **Associate Submission Component(s) to your Stipulation** page.

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Associate Submission Component(s) to your Stipulation

Associate Component Removal - This option will instruct Researchers that selected component(s) should be removed from future rounds of the submission.

Associate New Component - This option will display the submission components that satisfy a data value that allows attaching of Consent form, Study document, SubForm, etc..

Associate Existing Component - This option will display the existing components that are tied to the submission packet for stipulation association. If the component is a form select the Section and Question that the change is required.

Associate Existing Component

Detach	Mod. Request	Component Type	Component Name	Version
No Component Modification(s) have been linked				

Done

Buttons shown on this page vary according to the matched object under review, its available components and stage of processing.

In the screenshot below, the **Associate Existing Component** button has been clicked. The **Associate Submission Component(s) to your Stipulation** page opens, listing components available for association.

Associate Submission Component(s) to your Stipulation

Existing - Associate an existing component from the submission components for stipulation association. If the component is a form select the Section and Question that the change is required.

Return to List Add Link to Selection

Type	Component Name	Version
Submission Form	COI Study Disclosure Form	Version 1.0

(Optional) Section: Outside Financial or Associational Interests

(Optional) Question: Do you or a Related Person have a Financial (e.g.,

Click to select the radio button for the item to be associated with the applicable stipulation (red arrow in screenshot above).

Depending on the type of item, one or more drop down lists may appear for specification of a location in the associated submission component (blue arrow in screenshot above). Making a selection in these drop downs, where available, opens the item to the specific section and/or question associated with the stipulation when the reviewer clicks the component link provided with the stipulation.

Click the **Return to List** button to close the form without saving changes.

Click the **Add Link to Selection** button to associate the selected submission component. The dialog box updates with details of the component associated with the stipulation.

Conflict of Interest – Match Processing iRIS™ v12.01

Associate Submission Component(s) to your Stipulation

Associate Component Removal - This option will instruct Researchers that selected component(s) should be removed from future rounds of the submission.

Associate New Component - This option will display the submission components that satisfy a data value that allows attaching of Consent form, Study document, SubForm, etc..

Associate Existing Component - This option will display the existing components that are tied to the submission packet for stipulation association. If the component is a form select the Section and Question that the change is required.

[Associate Existing Component](#)

Detach	Mod. Request	Component Type	Component Name	Version
		Submission Form	COI Study Disclosure Form	Version 1.0

Stipulation placed at **Section:** Outside Financial or Associational Interests
Question: Do you or a Related Person have a Financial (e.g., stock, compensated position) or Associational (e.g., uncompensated po ...

[Done](#)

Click the **Done** button to confirm the association and return to the **Review Management Strategies** text editor, where the stipulation remains in draft form.

My Workspaces Conflict of Interest [Back](#)

[Save the Strategy](#)

Strategy Information:

*Strategy Type:
Strategy must be addressed

*Strategy Category:
Reconciliation - Stocks & Bonds

Request to Modify Existing Attachment

COI Study Disclosure Form Version 1.0
Submission Form

Section: Outside Financial or Associational Interests

Question: Do you or a Related Person have a Financial (e.g., stock, compensated position) or Associational (e.g., uncompensated position) Interest in any Third Party (e.g., Sponsor, Reference lab, CRP, etc.) involved in the Study?

*** Strategy Content**

B I U S x₂ x² Verdana 11

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All FCC disclosures must be included with the submission.

The left sidebar of the page updates to include details of the associated submission component. Click the red **Delete** icon in that section to remove the associated component.

Click the **Save the Strategy** button to save the stipulation.

The **Stipulation** tab updates with the added stipulation.

[Print Friendly](#)
[Add Multiple](#)
[Add New](#)
[Add Pre-defined](#)
[Save Stipulation](#)

General Information

Submission Components

Submission History

Pre-review Screening

Stipulation

Submission Complete

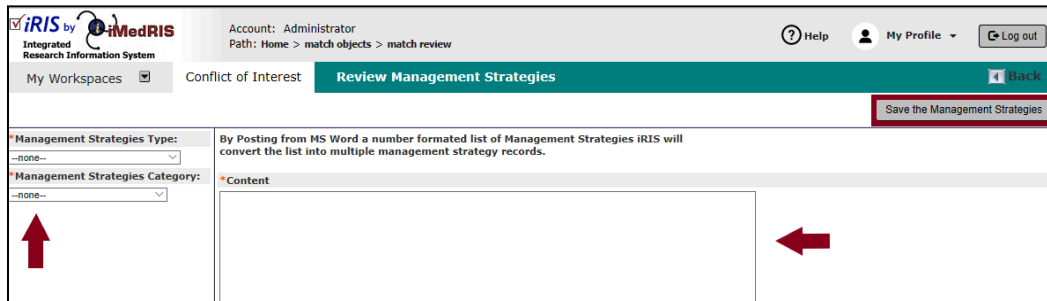
Stipulations to be sent for Response

Delete	Edit	Sorting Number	Stipulation Type	Stipulation Category	Follow-up Due	Stipulation	Created By	Edited By	Link To Component
		1	Strategy must be addressed	Reconciliation - Stocks & Bonds	N/A	All FCC disclosures must be included with the submission.	Administrator (08/30/2019)	Administrator (08/30/2019)	

Conflict of Interest – Match Processing iRIS™ v12.01

Add Multiple Stipulations

Click the **Add Multiple** button in the **Stipulation** tab to add multiple stipulations at once.



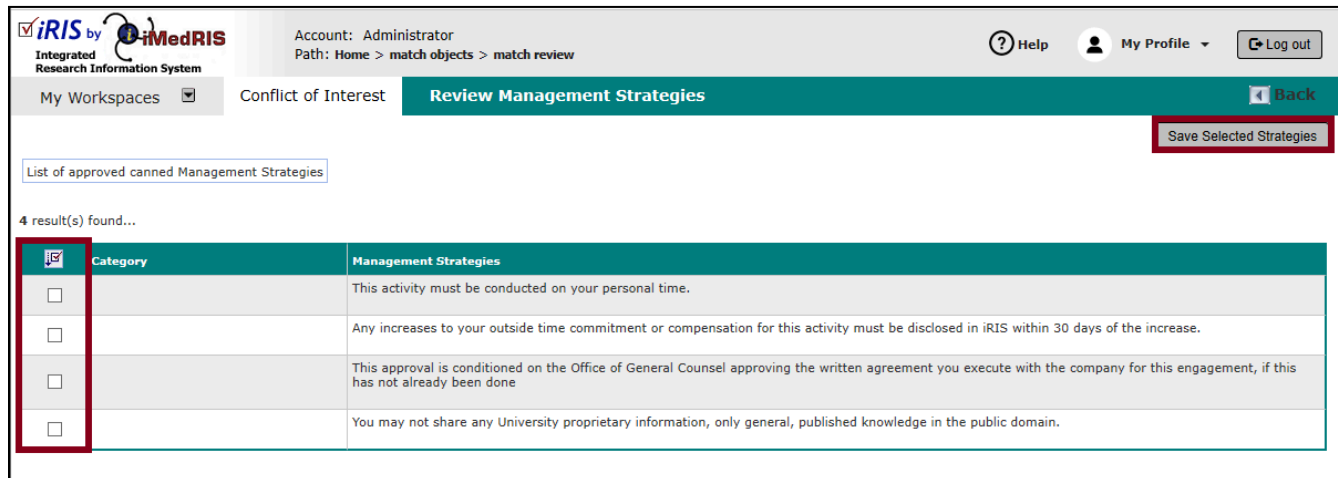
Copy stipulations that have been formatted as a numbered list in a Word document, then paste the copied, numbered list into the text editor box. Select a **Management Strategies Type** and **Management Strategies Category** at left, then click the **Save the Management Strategies** button to add the pasted list of strategies to the list of stipulations on the **Stipulations** tab.

Add Pre-defined Stipulations

If certain stipulations are commonly applied, they can be saved to the Pre-defined Strategies list under Review Board Administration > List Maintenance Setup > Predefined Strategies.

Note that this single Strategies list is used for both stipulations and management strategies.

Click the **Add Pre-defined** button in the **Stipulation** tab to open a panel listing all available predefined strategies. Select one or more strategies, then click the **Save Selected Strategies** button.



<input checked="" type="checkbox"/>	Category	Management Strategies
<input type="checkbox"/>		This activity must be conducted on your personal time.
<input type="checkbox"/>		Any increases to your outside time commitment or compensation for this activity must be disclosed in iRIS within 30 days of the increase.
<input type="checkbox"/>		This approval is conditioned on the Office of General Counsel approving the written agreement you execute with the company for this engagement, if this has not already been done
<input type="checkbox"/>		You may not share any University proprietary information, only general, published knowledge in the public domain.

The stipulation(s) is/are added as a “Strategy must be addressed” type.

All stipulations added, regardless of the method used to add them, appear in the **Stipulations to be sent for Response** table in the **Stipulation** tab.

Conflict of Interest – Match Processing iRIS™ v12.01

[Print Friendly](#) [Add Multiple](#) [Add New](#) [Add Pre-defined](#) [Save Stipulation](#)

General Information
Submission Components
Submission History
Pre-review Screening
Stipulation
Submission Complete

Stipulations to be sent for Response

Delete	Edit	Sorting Number	Stipulation Type	Stipulation Category	Follow-up Due	Stipulation	Created By	Edited By	Link To Component
		1	Strategy must be addressed	Reconciliation - Stocks & Bonds	N/A	All FCC disclosures must be included with the submission.	Administrator (08/30/2019)	Administrator (08/30/2019)	

Click the **Delete** icon next to the applicable stipulation to delete that item.

Click the icon in the **Edit** column next to the applicable stipulation item to open it for modifications.

Stipulations are displayed in the order added. To reorder them, change the numbering in the **Sorting Number** column. Change the numbers to re-order the stipulations as desired, then click the **Save Stipulation** button. Numbering starts at one (1) and continues in descending order (e.g., 2, 3, 4, etc.).

Submission Complete

Back on the **Open Form** page, click the **Submission Complete** link to set status to complete for the item currently under review.

The **Ref Number** for the form, document or object under review is shown in red at the upper left. The top section title reflects the most recent status update on the item. In the example shown below, the title is **Returned for Correction**. This section contains the following fields:

Review Process—reflects the most recent status of the item

Additional Information required—displays “Yes” if more information is required, “No” if no additional information is required

Submission processing complete—select this box to set processing status to ‘complete’ for the form, document or other object identified by the **Ref Number**

Conflict of Interest – Match Processing iRIS™ v12.01

Account: Administrator
Path: Home > match objects

My Workspaces | Conflict of Interest | **Annual COI Form** | Back

Ref Number: 000686

Save the Submission Complete

Returned for Correction

Review Process: Returned for Corrections

Additional information required: No

Submission processing complete:

Display Submission components status

Items in List View | Create PDF Packet

Include in PDF Packet	Current Submission Components (All Rounds)	More Details
<input type="checkbox"/>	Annual COI Form - (Version 1.0)	

When the **Submission processing complete** box is checked a message displays, reminding the user to click the **Save the Submission Complete** button and describing what will happen to the object next as a result of being marked complete.

Submission processing complete:

Click Complete the Submission and the correction Form will be sent back to the covered person for changes.

Use the **Display Submission components status** section in the lower half of the form to view, comment on, or package listed items into a PDF.

If there are any grouped items in the list, click the **Items in List View** button to toggle between List and Folder view.

Click the checkbox next to items to be included in the PDF packet, then click the **Create PDF Packet** button to generate a PDF Packet of the selected items. Note that if multiple items are selected, there will be an opportunity to re-order them in the PDF Packet.

Click on the name of an item in the **Current Submission Components (All Rounds)** column to open it for review as read-only. Depending on the item, it may be possible to add comments. After an item is viewed the **Submission Complete** page updates with the addition of visual and text cues demonstrating the item has been viewed, as well as a **Clear Viewed Item(s)** button:

Conflict of Interest – Match Processing iRIS™ v12.01

Account: Administrator
Path: Home > match objects

My Workspaces Conflict of Interest **Annual COI Form** Back

Miscellaneous

Ref Number: **000686**

Save the Submission Complete

General Information
Submission Components
Correspondence
Submission History
Pre-review Screening
Stipulation
Submission Complete

Returned for Correction

Review Process: Returned for Corrections
Additional information required: No
Submission processing complete?

Display Submission components status

Items in List View Clear Viewed Item(s) Create PDF Packet

Include in PDF Packet	Current Submission Components (All Rounds)	More Details
<input type="checkbox"/>	Annual COI Form - (Version 1.0) - You already viewed this item	+

In cases where numerous items are listed here, the table makes it easy to see at a glance which items have been viewed, and which have not. Click the **Clear Viewed Item(s)** button to clear the green highlight bar(s) and **You already viewed this item** message(s).

Click the **More Details** plus sign to the right of an item name to view its submission details.

If there are any grouped items in the list, click the **Items in List View** button to toggle between List and Folder view.

It is also possible to generate outcome letters during the Pre-review screening process of a COI submission form.

My Workspaces COI **Annual COI Form** Back

Miscellaneous

Ref Number: **025774**

Save the Submission Complete

General Information
Submission Components
Submission History
Pre-review Screening
Outcome Letter
Submission Complete

Response Letter

Select a Letter Template: [--none--]

Create Response Letter

Delete	Send	Edit/View	Title	Signature Required	Status	Route Signoff	Copy
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Conflict Approved Version 1	No	Waiting to be sent		<input type="checkbox"/>

As shown above, once a review process has been selected, the user is presented with the **Outcome Letter** tab allowing them to send a response letter to the covered person and add additional recipients as needed. The templates available are configured in the same area as the outcome letter while processing conflict matches.

Conflict of Interest – Match Processing iRIS™ v12.01

Group Matches During COI Prereview (Optional)

A Group COI Match Objects property is available to enable grouping of COI Match Objects during submission Pre Review.

Property Name — rb.use_group_matchobjects_prereview

Property Pathway — [COI Assistant > Review Board Administration > Board Configuration Options > Submission Review Properties]

Default Setting — “No”

Property Name	Property Value
rb.override_component_lock	<input type="radio"/> Yes <input checked="" type="radio"/> No
rb.send_expiring_study_notification_to_PI_contact	<input type="radio"/> Yes <input checked="" type="radio"/> No
rb.use_agenda_state	<input checked="" type="radio"/> Yes <input type="radio"/> No
rb.use_autocal_expiration	<input type="radio"/> Yes <input type="radio"/> No
rb.use_coord_view_all_comments	<input checked="" type="radio"/> Yes <input type="radio"/> No
rb.use_expiration_calculation_restriction	<input type="radio"/> Yes <input checked="" type="radio"/> No
rb.use_expiration_calculation_restriction_initial_review_only	<input type="radio"/> Yes <input checked="" type="radio"/> No
rb.use_group_matchobjects_prereview	<input type="radio"/> Yes <input checked="" type="radio"/> No
rb.use_meeting_vote_summary	<input checked="" type="radio"/> Yes <input type="radio"/> No
rb.use_meetings	<input checked="" type="radio"/> Yes <input type="radio"/> No
rb.use_member_checklist	<input checked="" type="radio"/> Yes <input type="radio"/> No

When this property is set to “No” the system functions as before and no option to group COI match objects is provided to users.

When this property is set to “Yes” and COI matched objects are identified during submission processing, the users now have the option to group matched objects during “Proceed with matched objects review” processing.

A **Group Match Objects** checkbox populates on the **Submission Complete** tab when the **Submission processing complete** checkbox is selected, as shown in the screenshot below.

Submission Complete

Review Process: Proceed with matched objects review

Additional information required: No

Submission processing complete:

Group Match Objects:

Click Complete the Submission and the the Matched Objects associated with this form will appear in the Not Assigned Tab.

Display Submission components status

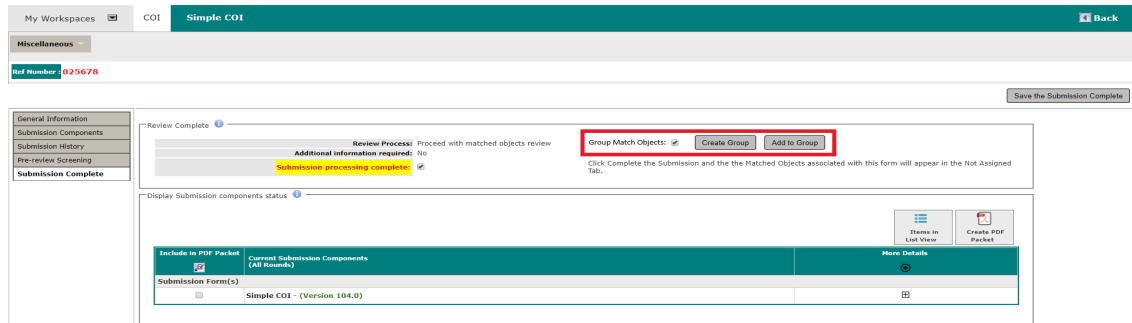
Include in PDF Packet: Create Submission Components (All Remarks)

Submission Form(s): Simple COI - (Version 104.0)

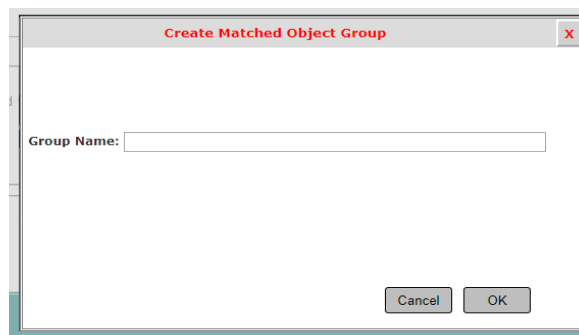
Buttons: Items in List View, Create PDF Packet

When the **Group Match Objects** checkbox is selected a **Create Group** button and **Add to Group** button populate, as shown below. These are the same buttons as those used during review of Conflict Matched Objects, and they function in the same way.

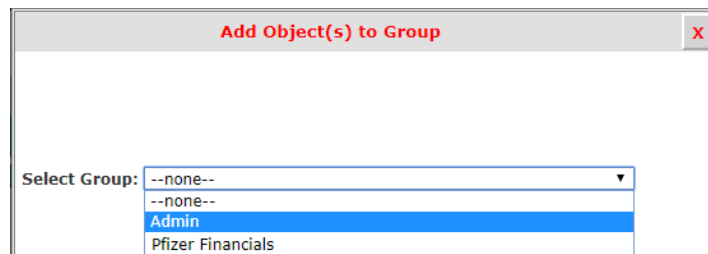
Conflict of Interest – Match Processing iRIS™ v12.01



Clicking the **Create Group** button opens the **Create Matched Object Group** popup dialog for creation of the new group, as shown below.



Clicking the **Add to Group** button opens the **Add Object(s) to Group** popup dialog for selection of the desired group, as shown below.



When the user confirms a group selection in the popup dialog (button is obscured by the drop down list in screenshot above), the applicable matched object is assigned to the selected group.

Not Assigned

Any new match that is unprocessed populates within this tab. There can be multiple conflict matches within each Annual COI form submitted to the Conflict of Interest submission queue. Each match is broken out into its own separate entry within the queue, as opposed to being contained within a single form.

Conflict of Interest – Match Processing iRIS™ v12.01

The screenshot displays the 'Conflict Matched Objects' interface. At the top, there's a search form with fields for Form Name, Match Object Number, Group Name, Covered Person Name, Reported Interest Type, Reported Interest Third Party, Department Name, Proposal Number, Project Status, Keyword Search, Reported Role, Reporting Action, Date Submitted, Reference Number, Assigned Reviewer, Assigned Analyst, Sort by Date Accessed, RB Number, and Study Status. Below the search form is a navigation bar with tabs: Form Preview, Not Assigned Objects, Assigned Objects, Pending Objects, Completed Objects, Forms with Pending Objects, Forms Completed, and Agendas. A table of results is shown below the navigation bar, with columns for Matched Object Number, Group Name, Proposal Number, RB Number, Show Form, Form Name, Project Status, Date Assigned, Study Status, Covered Person's Name, and Reported Interest Type. A single row is visible with Matched Object Number 008640 and Group Name B.S.-10/30/2020-COI.

By default, the **Not Assigned** tab loads with a search form at the top. Use the fields in this form to filter the list of records by **Form Name**, **Match Object Number**, **Group Name**, **Covered Person Name**, **Reported Interest Type**, **Reported Interest Third Party**, **Department Name**, **Keyword Search**, **Reported Role**, **Reporting Action**, **Date Submitted** range, **Reference Number**, **Assigned Reviewer** or **Assigned Analyst**.

Click the **Close Search** link at the upper left to close the search form.

*Notice that in the screenshot above, the columns under the blue header labeled **Interest 1** are truncated at the right. This is because there are more data elements to display than will fit in a single page. Use the scrollbars at the right and bottom of the form to view the rest of the **Interest 1** column and the **Interest 2** column (not shown in screenshot).*

The columns in the **Not Assigned** tab are as follows.



—select the checkbox to add matches to a group; see the Grouping Matches section of this manual for more information about grouping matches

Open—click this icon to open a match for processing

Matched Object Number—unique reference number assigned by the iRIS™ system, used to identify the individual match or match group; note that this is not the same reference number used with submission forms in iRIS™.

Group Name—after matches are added to a group, the name of the group displays in this column

Proposal Number — proposal number, where applicable

RB Number — RB number, where applicable

Interest 1

Show Form—where available, click this icon to view the form (Annual COI or the Study COI form) where the conflict match was identified; where a **Print** icon populates next to the Show

Conflict of Interest – Match Processing iRIS™ v12.01

Form icon, click it to view a print-friendly version of the information provided in the **List of Match Object(s) for Review** section

Form Name — name of the form on which the match is reported

Covered Person's Name—name of the person who has indicated a conflict match

Reported Interest Type—type of interest, as noted within the form (e.g., Financial Interest, Financial Commitment, Gifts from a Biomedical Company, etc.)

Reported Interest Third Party—name of the indicated third party interest (the Sponsor with which the user indicated an interest)

Reported Role—role indicated by the Covered Person for this conflict match

Reporting Action—where the match originated (e.g., Annual COI Individual Annual Reporting Form, Study COI)

Date Submitted—date the conflict form was submitted into the workflow

Ref Number—reference number of the COI form

Interest 2

This area only populates with information if the Covered Person has a conflict with a certain sponsor, and has a role on a study with that same sponsor. Information about that study populates in the **Interest 2** area.

Show Form—where available, click this icon to view the form where the conflict match has been identified to open the Annual COI or the Study COI form submitted; there may also be a **Print** icon next to the Show Form icon, if so, click it to view a print-friendly version of the information provided in the **List of Match Object(s) for Review** section

Form Name — name of the form on which the match is reported

Covered Person's Name—name of the person who has indicated a conflict match

Reported Interest Type—type of interest, as noted within the form (e.g., Financial Interest, Financial Commitment, Gifts from a Biomedical Company, etc.)

Reported Interest Third Party—name of the indicated third party interest (the Sponsor with which the user indicated an interest)

Reported Role—role indicated by the Covered Person for this conflict match

Reporting Action—where the match originated (e.g., Annual COI Individual Annual Reporting Form, Study COI)

Date Submitted—date the conflict form was submitted into the workflow

Conflict of Interest – Match Processing iRIS™ v12.01

Ref Number—reference number of the COI form

Proposal Number—proposal number of the corresponding research study

Project Status— status of the corresponding project

Protocol Number—protocol number of the corresponding research study

Study Status—status of the corresponding research study (e.g., Draft, Pending – Submitted for Initial Review, Approved, etc.)

Reporting Action PI—Principal Investigator of the corresponding research study

All SSF Comp?—flag to indicate when all Study Specific Forms are complete

All PSF Comp?—flag to indicate when all Project Specific Forms are complete

The screenshot shows the 'Conflict Matched Objects' search interface. At the top, there is a navigation bar with 'My Workspaces' and 'COI'. Below this is a search area with a 'Close Search' button. The search area contains several input fields and dropdown menus for filtering results, including 'Match Object Number', 'Group Name', 'Covered Person Name', 'Reported Interest Type', 'Reported Interest Third Party', 'Department Name', 'Proposal Number', 'Project Status', 'Keyword Search', 'Reported Role', 'Reporting Action', 'Date Submitted', 'Reference Number', 'Assigned Reviewer', 'Assigned Analyst', 'RB Number', and 'Study Status'. There are also buttons for 'Reset Find Options' and 'Find ...'. On the right side, there is a gear icon for settings, and a dropdown menu showing options for the number of records to display per screen: 'By 10', 'By 25', 'By 50', 'By 100', 'By 200', 'By 250', and 'By 500'. At the bottom, there is a navigation bar with tabs for 'Submission Prereview', 'Not Assigned', 'Assigned', 'Completed Matched Objects', 'Completed Forms', and 'Agendas'. There are also buttons for 'Create Group', 'Add to Group', and 'Remove from Group'. A red box highlights the '330 result(s) found...' text, and another red box highlights the '201 - 400' pagination controls.

If the quantity of matches shown is large, a small gear icon appears at the upper right hand of the screen, as shown in the screenshot above. Click the icon to set the number of records to display per screen.

Grouping Matches

Conflict matches that populate in the Conflict of Interest submission queue can be grouped together to be processed as a group on **Not Assigned** tab, instead of individually. This can be done for any conflict match, but is typically used to group matches for the same Covered Person.

Create Group

To create a Group for future use without adding any matches to it, ensure none of the checkboxes at the far left of the match list are selected and click the **Create Group** button.

Conflict of Interest – Match Processing iRIS™ v12.01

Open	Matched Object Number	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted
<input checked="" type="checkbox"/>	000326			Ng, Kevin S	Financial Interest	3-M Pharmaceuticals	KDM – Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input checked="" type="checkbox"/>	000327			Yung, Cho P, M.D.	Financial Interest	3-M Pharmaceuticals	KDM – Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input checked="" type="checkbox"/>	000328			Yung, Cho P, M.D.	Financial Interest	Bristol-Myers Squibb	KDM – Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input checked="" type="checkbox"/>	000331			Simpson, Caroline M, PhD	Financial Interest	AstraZeneca	KDM – Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A

The **Create Matched Object Group** dialog opens. Enter the desired **Group Name** and click the **OK** button to save the Group.

To create a Group and simultaneously add records to it, click the checkboxes next to the records to be added to the Group and click the **Create Group** button. The **Create Matched Object Group** dialog opens.

After a **Group Name** is entered and the **OK** button is clicked to confirm, the selected items are added to the newly created Group and the **Not Assigned** tab display updates to reflect the new grouping.

In the example that follows the first two records in the list were selected and the **Create Group** button was clicked. In the **Create Matched Object Group** dialog the **Group Name** “PRE-19-0089 Awarded” was entered and the **OK** button was clicked.

Conflict of Interest – Match Processing iRIS™ v12.01

The screenshot shows the 'Conflict Matched Objects' page in the iRIS system. At the top, there is a search section with various filters: Match Object Number, Group Name, Covered Person Name, Reported Interest Type, Reported Interest Third Party, Department Name, Keyword Search, Reported Role, Reporting Action, Date Submitted, Reference Number, Assigned Reviewer, and Assigned Analyst. Below the search filters are buttons for 'Reset Find Options' and 'Find ...'. A navigation bar includes 'Submission Prereview', 'Not Assigned', 'Assigned', 'Completed Matched Objects', 'Completed Forms', and 'Agendas'. A '94 result(s) found...' message is displayed above a table. The table has columns for 'Open', 'Matched Object Number', 'Group Name', 'Show Form', 'Covered Person's Name', 'Reported Interest Type', 'Reported Interest Third Party', 'Reported Role', 'Reporting Action', and 'Date Submitted'. The first row is highlighted in yellow, and a red box highlights the 'Matched Object Number' column for the first item (000455).

Open	Matched Object Number	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted
	000455	PRE-19-0089 Awarded							
<input type="checkbox"/>	000334			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input type="checkbox"/>	000335			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input type="checkbox"/>	000337			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A

The **Matched Object Number** for the first item added to the Group is now the **Matched Object Number** for the entire Group. Click the yellow folder icon to view the matches within a Group. The items within the Group can now be processed together.

All Groups created via the **Create Matched Object Group** dialog are added to the Groups list (see Add to Group, next section).

Add to Group

After a Group is created, other matches can be added to it.

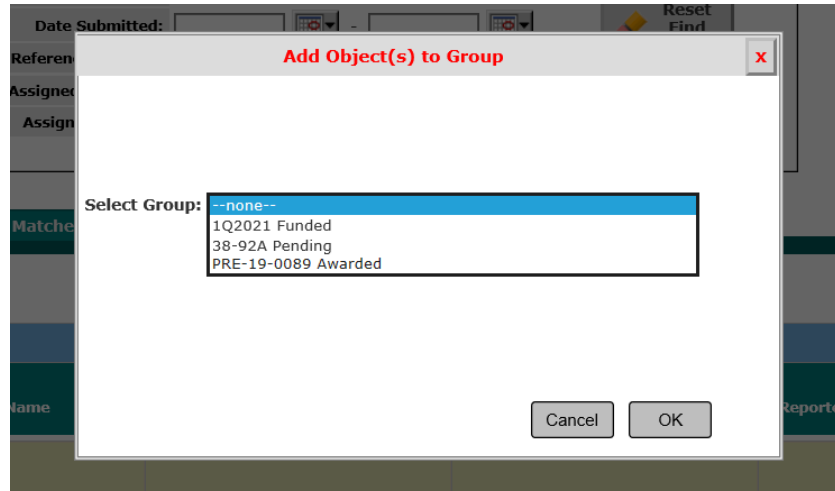
This screenshot shows the same 'Conflict Matched Objects' page, but with the 'Add to Group' button highlighted in red in the navigation bar. In the table below, the checkboxes in the 'Open' column for rows 000334 and 000335 are checked, and a red box highlights these checkboxes.

Open	Matched Object Number	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted
	000455	PRE-19-0089 Awarded							
<input checked="" type="checkbox"/>	000334			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input checked="" type="checkbox"/>	000335			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A
<input type="checkbox"/>	000337			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2015 11:28:40 A

Select the checkboxes for records to be added to a Group and click the **Add to Group** button.

Conflict of Interest – Match Processing iRIS™ v12.01

The **Add Object(s) to Group** dialog displays. Click to select an item in the **Select Group** drop down list and click the **OK** button to add the selected matched objects to that Group.



Back on the **Not Assigned** tab the selected items longer display as individual line items, but are included in the assigned Group.

Note that match items can only be part of one Group at a time. To change the Group assignment for a given item, it must first be removed from its current Group and then added to the desired Group (see next section, Remove from Group).

Remove from Group

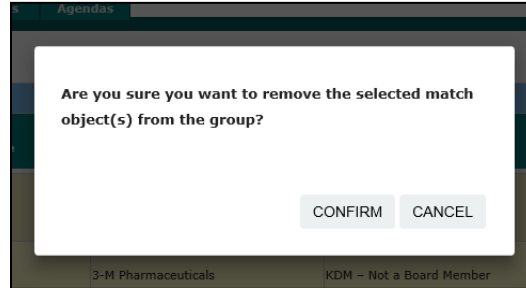
If an item was added to a Group by mistake or needs to be moved to a different Group, it is possible to remove the item from its current Group. Once removed, the item can be added to a different Group if desired. Start by clicking to open the yellow folder for the Group, to view all matches within the Group.

Matched Object Number	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted	Ref Number	Show Form	Covered Person's Name
000455	PRE-19-0089 Awarded										
			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PDT	000636	N/A	General Hospital
			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PDT	000636	N/A	General Hospital
			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PDT	000636		University of Toledo
			Administrator	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PDT	000636		University of Toledo

Conflict of Interest – Match Processing iRIS™ v12.01

Select the applicable checkboxes in the far left column for the record(s) to remove, then click the **Remove from Group** button.

A confirmation dialog displays. Click **Confirm** to remove the item from the group.



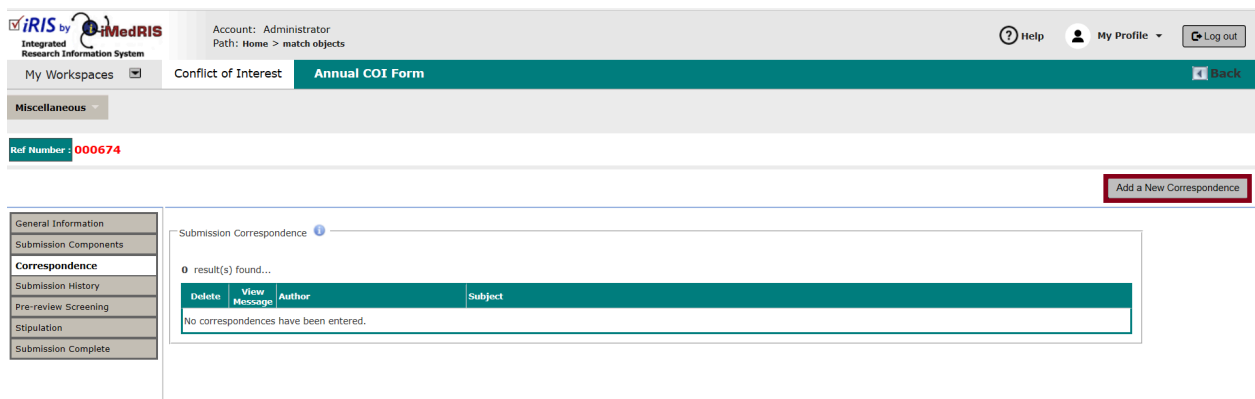
The matched objects removed from the Group now display as individual line items on the **Not Assigned** tab. To confirm the item(s) have been removed, click on the applicable Folder icon to open it and verify the removal.

Click **Cancel** in the confirmation dialog to return to the **Not Assigned** tab without making any changes.

Correspondence

Depending on their stage of processing, matched objects opened from within the **Not Assigned, Assigned** or **Completed Matched Objects** tab of Match Processing may include a **Correspondence** link in the menu at the left side of the screen.

The **Correspondence** tab provides access to view, add, reply to, or forward correspondence items attached to the open form or object.



Add a New Correspondence

Click the **Add a New Correspondence** button at the upper right (shown in screenshot above) to open the **Submission Correspondence** form (shown in screenshot below). This form is used to process correspondence attached to the selected, open form.

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This page includes the following elements:

Send Email— select this checkbox to send the email when it is saved, de-select this checkbox to save the correspondence for archive purposes without emailing it; selected by default

Subject—subject line of the email message

Recipient(s) / Reply To(s) — click these links to open a list containing the names of everyone assigned by the system as eligible to receive Correspondence related to the selected, open form (see screenshot below)

Contacts	Role	<input checked="" type="checkbox"/>	
	Covered Person	<input type="checkbox"/>	Harper, Jill M, M.D., PhD
<u>Conflict of Interest Committee BRCA</u>	Board Member	<input checked="" type="checkbox"/>	Sundeeep, Ramesh S
		<input type="checkbox"/>	Hernandez, Consuelo P, M.D.
		<input type="checkbox"/>	Weeks, Michael J, M.D., PhD
		<input type="checkbox"/>	Xuan, Pham D
		<input type="checkbox"/>	

When adding a recipient or reply-to, select the checkbox(es) next to the name(s) to be added to distribution for the message, then click the **Save Changes** button to return to the **Submission Correspondence** page.

Additional Recipient(s) / Additional Reply To(s)— to add more email recipients or reply recipients, click on either of these links to open the **Correspondence Additional Contacts** form (shown below)

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Account: Administrator
Department: GH - 7543 - General Hospital
Path: Home > match objects > submission item > correspondence

My Workspaces Conflict of Interest **Correspondence Additional Contacts** Back

Add A New Contact Save And Return

Name	E-mail Address
No Additional Recipients have been added.	

Click the **Add A New Contact** button to add a name and email address to the list. The form populates an editable **Name** and **E-mail Address** field, and a **Remove Selected Contacts** button is added to the form. Add as many additional recipients as desired.

In the example shown below, **Add A New Contact** was clicked to populate the **Name** and **E-Mail Address** fields in the first row. After the desired text was entered in each field, the **Add New Contact** button was clicked again to add another row, where another **Name** and **E-Mail Address** can be entered.

Account: Administrator
Department: GH - 7543 - General Hospital
Path: Home > match objects > submission item > correspondence

My Workspaces Conflict of Interest **Correspondence Additional Contacts** Back

Add A New Contact Remove Selected Contacts Save And Return

<input type="checkbox"/>	Name	E-mail Address
<input type="checkbox"/>	Dr. Carroll Gray, M.D.	cmgray@gsu.edu
<input type="checkbox"/>		

After all desired names and email addresses are added, click the **Save and Return** button. The names saved here are available for selection as **Additional Recipient(s)** or **Reply To(s)** as long as they remain in the list.

If any names are added to the **Additional Contacts** list in error, click the checkbox(es) next to the name(s) to be removed (area indicated by a yellow box in the screenshot above) and click the **Remove Selected Contacts** button.

Account: Administrator
Path: Home > match objects > submission item

My Workspaces Conflict of Interest **Submission Correspondence** Back

Ref Number: 000674

Save & Send Correspondence

Send Email Subject

Recipient(s):
Additional Recipient(s):
Dr. Carroll Gray, M.D., Czerwaska, Agnew
Reply To(s):
Additional Reply To(s):

Attachments:
Add Attachment
No Attachments have been added to this message

Template: Import template

Content

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Attachment—click this button to add attachments to the email message

Template—if the system has pre-configured email correspondence templates set up, select the desired email template from the **Template** drop down list; those with the necessary access rights can also use the **Import template** button to import new, pre-formatted message templates

Content—rich text editor used to compose the email message; use the icons on the toolbar at the top of the **Content** area to apply formatting, insert images or links, insert special characters, or print the message

Save & Send Correspondence—click this button to save a copy of the message to the file and where applicable, send a copy to everyone included in the **Recipient(s)** and **Additional Recipient(s)** lists; names specified as **Reply To(s)** or **Additional Reply To(s)** are included in the list of people who will receive replies to the message

Managing Correspondence

After one or more correspondence items have been created, they are managed on the **Correspondence** tab.

Delete	View Message	Author	Subject
		Administrator	Posted: 08/23/2019 03:31 PM PDT 3M Stock Purchases
		Administrator	Posted: Delivery in Progress AstraZeneca Disclosure
		Umgawe, Sufi G, M.D.	Posted: 08/02/2019 10:08 AM PDT Annual COI Form Question

To open a correspondence item to view it, reply to it or forward it, click on any of the items highlighted by orange boxes in the screenshot above: **Forward Email icon** (envelope with green arrow), **Open icon** (notepad with pencil), **Post a Reply to this Topic** link, or **Forward this Topic** link.

If the logged in user is the author of an email listed here, AND that email is either still in draft form or has been delivered by the mail system, a **Delete** icon is available for that email (highlighted by green boxes in the screenshot above).

A **Delete** icon is provided next to the first email in the list (highlighted with green boxes in the screenshot above) because “Administrator” is the logged-in user (highlighted with a blue box in the screenshot), AND

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“Administrator” is the author the first email (green box), AND that email has been delivered (see **Posted** details, second green box).

There is no **Delete** icon next to the second email authored by “Administrator” (highlighted by a yellow box in the screenshot), because that email has not yet been delivered to all recipients (see **Posted** details, second yellow box).

There is no **Delete** icon next to the third email because while **Posted** details show that the email was delivered, the email author is someone other than “Administrator” (highlighted by red boxes in the prior screenshot).

Note that while deleting an item here removes it from the list, a permanent record of any correspondence that has been sent from within the system will be retained with the associated form or document (item opened from the main Conflict Matches page).

Assigned

After a process is assigned to a Conflict Match, the record moves from the **Not Assigned** tab to the **Assigned** tab and can be accessed from this tab until Conflict Match processing is completed.

Open	Matched Object Number	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted
	000298	BRCA Working Group							
	000267	Peds-GL							
<input type="checkbox"/>	000311			Xi, Chi C, PhD	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2011 11:28:40 A
<input type="checkbox"/>	000314			Adams, Charles M, M.D., PhD	Financial Interest	Pfizer	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2011 11:28:40 A

This page contains the same columns, information, and interactive page elements as the **Not Assigned** tab, with the exception of the Grouping buttons. On this page the Grouping buttons have been removed and a **Print Friendly** button appears in the same page location. Click it to view a print friendly version of the matched objects list.

See the Not Assigned section of this manual for more information about page elements and functionality.

Completed Matched Objects

Matches for which processing is complete are listed in the **Completed Matched Objects** tab. This tab contains the same columns, information, and interactive page elements as the **Assigned** tab, with one exception: the search panel includes a **Review Process** (e.g., Expedited, Processed Administratively, etc.) search option.

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Items shown in the **Review Process** drop down list vary according the specific system installation and Review Board Administration settings.

Note that here on the **Completed Objects** tab, the search form includes a **Sort by Date Accessed** select box (see screenshot above). Select this box to sort the result set in order by most recently accessed.

See the Assigned section of this manual for more information about page elements and functionality.

Agendas

The **Agendas** tab opens to the next scheduled meeting of the COI Office and lists any conflict reviews assigned to that meeting date.

Order	Expand	Open	Group Name	Show Form	Covered Person's Name	Reported Interest Type	Reported Interest Third Party	Reported Role	Reporting Action	Date Submitted
Conflicts assigned to Meeting - 3 Objects										
1					Xi, Chi C, PhD	Financial Interest	3-M Pharmaceuticals	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PT
1					Adams, Charles M, M.D., PhD	Financial Interest	Pfizer	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PT
1					Ananth, Rajesh, M.D.	Financial Interest	AstraZeneca	KDM - Not a Board Member	Individual Annual Reporting Form	05/16/2019 11:28:40 AM PT
Expedited and Process Administratively assigned to Meeting - 0 Objects										

There are two categories on the screen: **Conflicts assigned to Meeting** for full board conflicts and **Expedited and Process Administratively assigned to Meeting** for items processed Expedited or Administratively which have also been placed on the meeting agenda.

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Click the green previous and next arrows on either side of the meeting date at the upper right of the page to select a different meeting date.

The Coordinator can use the **Order** column to set the order for items to appear on the meeting agenda. Numbering begins with one (1) and continues in descending order (e.g., 2, 3, 4, etc.).

To review a specific match review to be referenced in a meeting, locate the corresponding line item and click the icon in the **Open** column to open the match review.

Processing Matches

Conflict Matches opened from the **Not Assigned Objects** tab (shown below) are opened in the Conflict of Interest – Match Review processing pages, which contain information and tools to process a conflict match.

The screenshot shows the 'Conflict Matched Objects' interface. At the top, there is a search bar with 'Close Search' and a 'Back' button. Below the search bar is a 'Close Search' panel with various filters: Form Name, Match Object Number, Group Name, Covered Person Name, Reported Interest Type, Reported Interest Third Party, Department Name, Proposal Number, Project Status, Keyword Search, Reported Role, Reporting Action, Date Submitted, Reference Number, Assigned Reviewer, Assigned Analyst, Sort by Date Accessed, RB Number, and Study Status. There are 'Reset Find Options' and 'Find ...' buttons. Below the search panel is a navigation bar with tabs: 'Form Preview', 'Not Assigned Objects', 'Assigned Objects', 'Pending Objects', 'Completed Objects', 'Forms with Pending Objects', 'Forms Completed', and 'Agendas'. There are also 'Create Group', 'Add to Group', and 'Remove from Group' buttons. The main area shows '1286 result(s) found...' and a table with columns: 'Open', 'Matched Object Number', 'Group Name', 'Proposal Number', 'RB Number', 'Show Form', 'Form Name', 'Project Status', 'Date Assigned', 'Study Status', 'Covered Person's Name', and 'Reported Interest Type'. A single row is visible with Matched Object Number 00840 and Group Name B.S.-10/30/2020-COI.

Matched Objects Processing Tabs

A major redesign introduced in v12.01 of iRIS™ introduces new processing queue tabs and revises preexisting tabs as shown in the screenshot below.

This screenshot is similar to the one above but highlights the 'Not Assigned Objects' tab in the navigation bar with a red box. The table below shows three rows of data:

Open	Matched Object Number	Group Name	Proposal Number	RB Number	Show Form	Form Name	Project Status	Date Assigned	Study Status	Covered Person's Name
<input type="checkbox"/>	000435				Show Form	Annual COI and Commitment Reporting Form for Individuals			Draft	William Schroeder
<input type="checkbox"/>	000436			GH-19-252	Show Form	Annual COI and Commitment Reporting Form for Individuals			Pending - Submitted for Initial Review	William Schroeder
<input type="checkbox"/>	000437				Show Form	Annual COI and Commitment Reporting Form for Individuals			Draft	William Schroeder

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Tabs in the redesign are:

Forms Prereview: The Matched Objects page initially loads with the **Forms Prereview** tab open. All the COI submission forms that are submitted remain within this tab until they are processed. If the submission form is completed or contains no Matched Objects, it moves to Forms Completed. If the user breaks out Matched Objects during the review process, they will appear in the Not Assigned Objects and the form will move to Forms with Pending Objects.

Not Assigned Objects: Any new Matched Objects that are unprocessed will populate within this tab. There can be multiple Matched Objects within each COI form submitted, each of which is broken out into its own separate entry. All the entries remain in the Not Assigned Objects tab until they are assigned a review process.

Assigned Objects: After a review process is assigned to a Matched Object, the record will move from the **Not Assigned Objects** tab to the **Assigned Objects** tab and can be accessed from this tab until Conflict Match processing is completed.

Pending Objects: All the Matched Objects that have been completed with an outcome of Management Plan Required and that are still pending response will populate within the Pending Objects tab. Once the matched objects are completed, they will move to the **Completed Objects** tab.

Completed Objects: Once matched objects are completed, they will move to the **Completed Objects** tab.

Forms with Pending Objects: All forms associated with matched objects stay within this tab until all matched objects are completed. Once all the matched objects associated to a form are completed, the form moves to the **Forms Completed** queue.

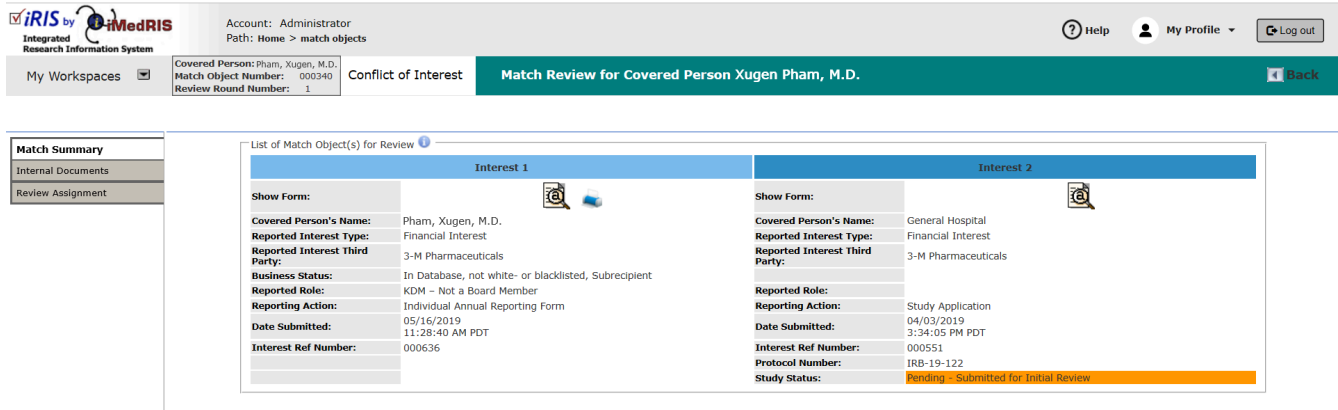
Form Completed: Once the matched objects are completed, the forms move to **the Forms Completed** tab.

Agendas: The name and function of this tab remain the same. The **Agendas** tab opens to the next COI office scheduled meeting and lists any conflict reviews assigned to that meeting date.

Match Summary

The first match processing page is **Match Review**. Tabs available on the left vary depending on the processing steps required for the specific item under review.

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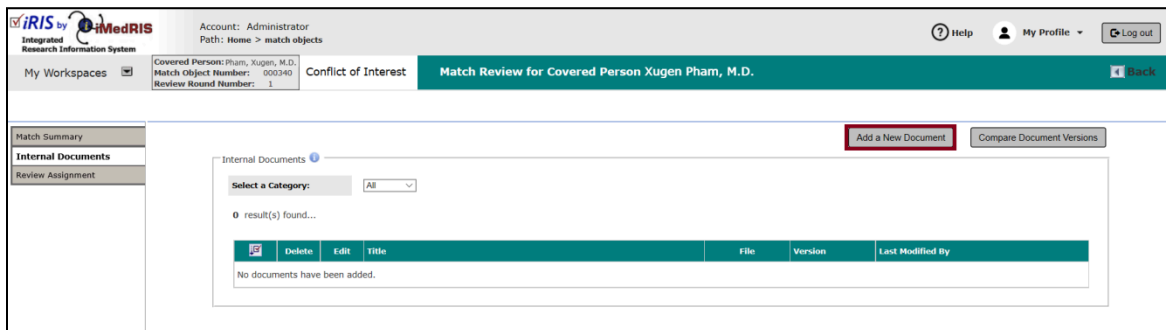
The page opens to the **Match Summary** tab by default. This tab lists brief details about the match being viewed.

When processing a Group of matches, each match is listed on this page. Scroll down to see each match in detail. Summary details on this page consist of the same information and page elements shown when viewing matched objects from within the **Not Assigned**, **Assigned** and **Submission Complete** tabs.

See the Not Assigned, Assigned or Submission Complete section of this manual for more information about page elements and functionality.

Internal Documents

The **Internal Documents** tab allows for upload of documents related to the Covered Person and the Conflict Match being processed.



Any documents previously uploaded populate in this page. Click the **Add a New Document** button to add a document to this review.

Add Documents

When the **Add a New Document** button is clicked in the **Internal Documents** tab, an add panel opens for entry of details about the document and for upload of the document file.

Fields presented in the add panel are as follows:

Title—title of the document to be uploaded

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The screenshot shows the iRIS Match Review interface. At the top, the user is logged in as Administrator, and the path is Home > match objects > match review. The page title is "Match Review for Covered Person Xugen Pham, M.D.". The interface includes a "My Workspaces" dropdown, a "Covered Person" field with the name "Pham, Xugen, M.D.", a "Match Object Number" of "000340", and a "Review Round Number" of "1". There are buttons for "Save Changes" and "View the document". The main form area contains several fields: "*Title:" (empty), "*Version Number:" (set to "1.0"), "Version Date:" (empty), "Category:" (set to "-none-"), and "Description:" (empty). Below these fields is a dashed box labeled "Load the document into iRIS:" with the instruction "Drag your file here or click in this area."

Version Number—enter the number at which to start versioning for the document to be uploaded; this can be any character or number

A close-up of the "*Version Number:" input field, showing the number "1" entered in the first box and ".0" in the second box.

Version Date—Enter or select the date of the manually-entered version number, typically the date the document was uploaded to the system.

Category—use this configurable drop down list to group documents into categories (e.g., Checklist) if desired

Description—enter a brief description of the document to be uploaded.

Load the document into iRIS—after entering the required information, click inside this box or drag the applicable document file into the box to start the upload

The "Document Location" dialog box features a "Document Location:" label and a "Browse..." button. Below this is an instruction box: "Instruction: Uploading a document into iRIS™ requires locating the document on the computer. Once you have located the document click on the 'Save selected file' button. The buttons will become disabled. If the document is a large document the window will stay in place until the upload operation has completed." At the bottom, there are two buttons: "Save selected file" (with a floppy disk icon) and "Cancel" (with a red X icon).

Click the **Browse** button at top right to navigate to the applicable document file, then click the **Save selected file** button.

The popup closes. The document is uploaded and now appears as an icon next to the document information, as shown in the screenshot below.

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The screenshot shows the 'Match Review for Covered Person Xugen Pham, M.D.' page. The top navigation bar includes 'iRIS by iMedRIS', 'Account: Administrator', 'Path: Home > match objects > match review', 'Help', 'My Profile', and 'Log out'. The main header displays 'My Workspaces', 'Covered Person: Pham, Xugen, M.D.', 'Match Object Number: 000340', 'Conflict of Interest', and 'Match Review for Covered Person Xugen Pham, M.D.'. A 'Save Changes' button is visible in the top right. The form contains the following fields:

- Title:** Xugen Pham Blind Trust Letter
- Version Number:** 1.0
- Version Date:** 08/27/2019
- Category:** -none-
- Description:** Letter from Dr. Pham indicating he has passed his Pfizer stock holdings into a blind trust.

At the bottom, there is a 'Load the document into iRIS:' section with a document icon, '(957.35 KB)', and a 'Remove' link.

Click the **Remove** link in the **Load the document into iRIS** box to remove the document.

Click the document icon in the **View the document** panel at the upper right to view the uploaded file.

Click the **Save Changes** button to add the document to Internal Documents for the matched object.

The screenshot shows the 'Internal Documents' page. The top navigation bar is identical to the previous screenshot. The main header displays 'Match Summary', 'Internal Documents', and 'Review Assignment'. The 'Internal Documents' section is active, showing a table of documents. The table has columns for 'File', 'Version', and 'Last Modified By'. A single document is listed:

File	Version	Last Modified By
Xugen Pham Blind Trust Letter 980.33 KB	1.0 08/27/2019	Administrator 08/27/2019

Any document record added is appended to the list at the bottom of the Internal Documents page and populates within Search Conflict Matches -> Documents for the Covered Person.

Select the checkboxes next to two different versions of the same document, then click the **Compare Document Versions** button to compare the two documents.

Click the icon in the **Delete** column to remove the corresponding item.

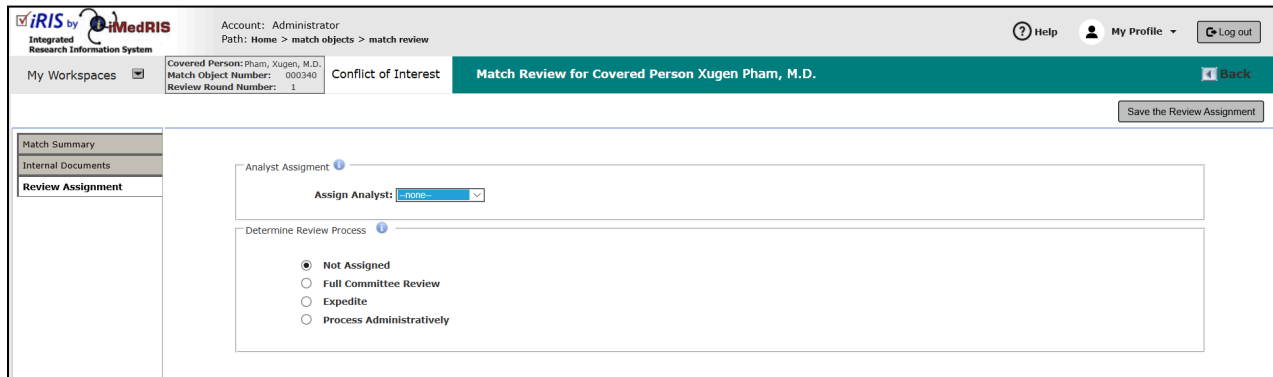
To open an uploaded document for revision, click the icon in the **Edit** column.

Click the icon in the **File** column to view the document.

Note: Access to Internal Documents is set for each COI Review Board Role within Setup Role Access in Review Board Administration, in the COI Disclosure Document row. The Document Category is set up using the Internal Document Category configuration under Review Board Administration > List Maintenance Setup.

Review Assignment

The **Review Assignment** tab is where an Analyst is assigned to review the matched object.



Analyst Assignment

The **Assign Analyst** drop down list is populated with the names of users whose Conflict of Interest role has been set to Coordinator in System Administration.

Select a name from the list to assign an Analyst. When the review assignment is saved, the assigned Analyst received a task on their home page related to this Conflict Match.

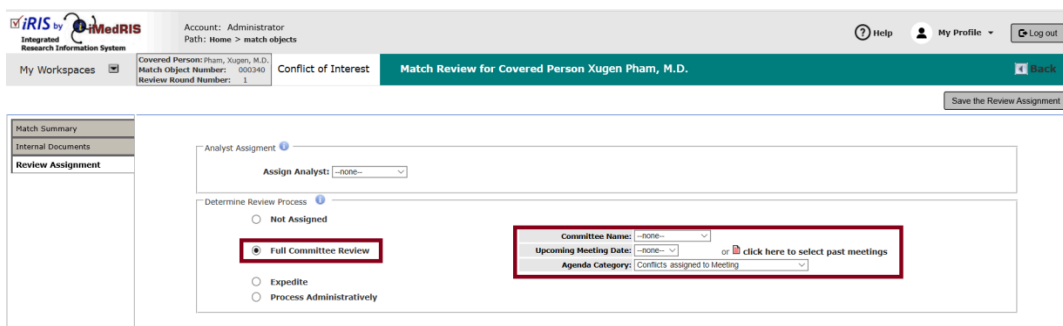
Determine Review Process

Use the selections presented here to process the Conflict Match.

Not Assigned — Conflict matches default to this status when first submitted to the Conflict Match queue. This indicates that a Review Process has not yet been assigned and causes the conflict to populate in the **Not Assigned** tab.

Full Committee Review — This option allows for assignment of the match to a committee meeting. After this option is selected, committee and meeting selection items populate to the right.

*The **Full Committee Review** option can be turned on or off in Review Board Administration settings (see the COI Review Board Administration manual for more details).*



Expedite — If this option is selected and saved by clicking the **Save the Review Assignment** button the page an **Assign Reviewers** section populates (shown below), provided the reviewer option is turned on for this processing

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type in Review Board Administration settings (see the COI Review Board Administration manual for more information). After making reviewer selections click the **Save the Review Assignment** button again.

The **Expedite** processing option can be turned on or off in Review Board Administration settings (see the COI Review Board Administration manual for more details).

The screenshot shows the iRIS v12.01 interface for a Conflict of Interest match review. The page title is "Match Review for Covered Person Xugen Pham, M.D.". The "Determine Review Process" section has three radio button options: "Not Assigned", "Full Committee Review", and "Expedite" (which is selected and highlighted with a red box). Below this is the "Assign Reviewers" section, which contains an "Add Reviewer" button and an empty table with columns: "Reviewer Role", "Reviewer", "Completed ?", "Date Notified", and "Date Completed". The table contains the text "No Reviewers have been assigned to this submission." A "Save the Review Assignment" button is visible in the top right corner.

Process Administratively – This option is used for matches that need to be processed through the office but not reviewed.

Selecting **Process Administratively** and clicking the **Save the Review Assignment** button populates an **Assign Reviewers** section, as described above for Expedited processing, if the reviewer option is turned on for this processing type in Review Board Administration settings (see the Review Board Administration manual for more details).

After making and saving any selection other than **Not Assigned**, or clicking the link to select a past meeting when the **Full Committee Review** option is selected, four new tab options populate at the left: **Review Checklist and Comments**, **Review Discussion**, **Meeting Vote** and **Outcome**. These tabs provide easy access to the most commonly used match processing functions and information.

The screenshot shows the iRIS v12.01 interface for a Conflict of Interest match review. The page title is "Match Review for Covered Person Xugen Pham, M.D.". The "Determine Review Process" section has three radio button options: "Not Assigned", "Full Committee Review" (which is selected), "Expedite", and "Process Administratively". To the right of these options are three dropdown menus: "Committee Name" (set to "--none--"), "Upcoming Meeting Date" (set to "--none--"), and "Agenda Category" (set to "Conflicts assigned to Meeting"). There is a link "or click here to select past meetings" between the "Upcoming Meeting Date" and "Agenda Category" dropdowns. Below this is the "Assign Reviewers" section, which contains an "Add Reviewer" button and an empty table with columns: "Reviewer Role", "Reviewer", "Completed ?", "Date Notified", and "Date Completed". The table contains the text "No Reviewers have been assigned to this submission." A "Save the Review Assignment" button is visible in the top right corner. On the left side, a sidebar menu has four tabs highlighted with a red box: "Review Checklist & Comments", "Review Discussion", "Meeting Vote", and "Outcome".

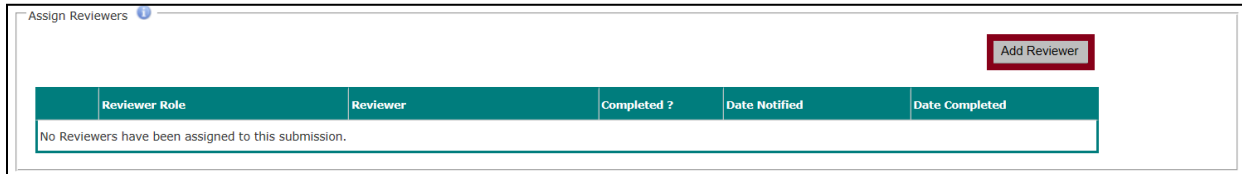
These tabs continue to be accessible when processing this match unless a different review process option is selected and saved.

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Assign Reviewers

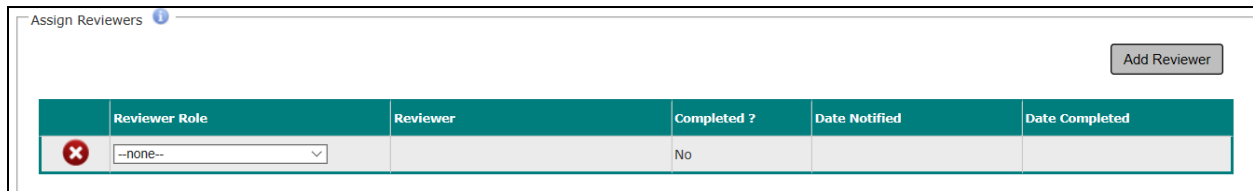
This option is available for Conflict Matches that have been assigned a review process. This area can be turned completely off in Review Board Administration (see the COI Review Board Administration manual for more details). This section allows the coordinator or administrator to assign a user within the COI Office to review a conflict match.

To add a Reviewer, click the **Add Reviewer** button in the Assign Reviewers section.



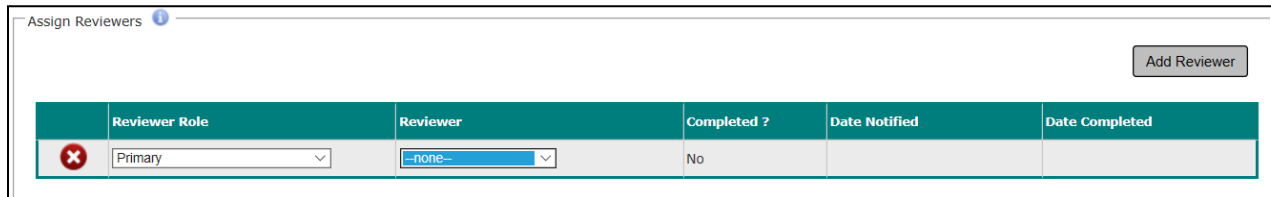
The screenshot shows the "Assign Reviewers" section with a table that is currently empty. A red box highlights the "Add Reviewer" button in the top right corner. The table has the following columns: Reviewer Role, Reviewer, Completed?, Date Notified, and Date Completed. Below the table, a message states: "No Reviewers have been assigned to this submission."

As shown below, the first row of the reviewers table populates with a **Delete** icon, a drop down **Reviewer Role** list, and a default **Completed?** status of "No".



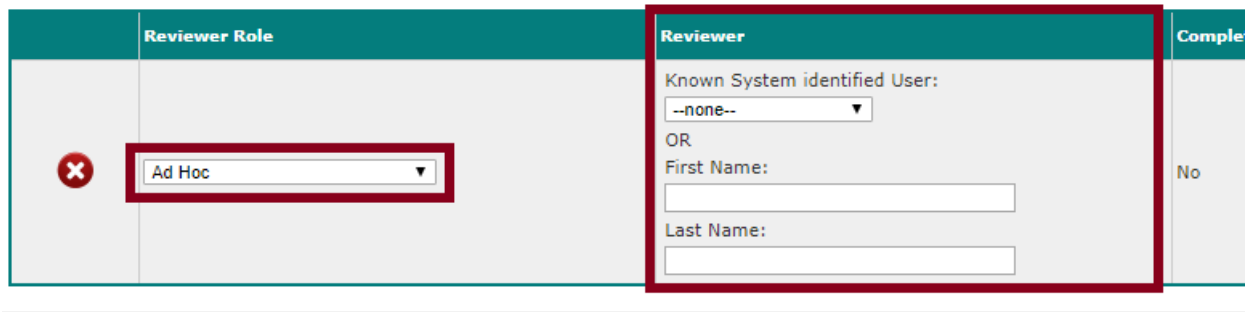
The screenshot shows the "Assign Reviewers" section with a table containing one row. A red box highlights the "Add Reviewer" button. The table has the following columns: Reviewer Role, Reviewer, Completed?, Date Notified, and Date Completed. The first row contains a red delete icon, a dropdown menu with "--none--", and the value "No" in the Completed? column.

After any **Reviewer Role** other than "Ad Hoc" is selected, the page populates a **Reviewer** drop down list (shown below), containing applicable users assigned to the selected **Reviewer Role**.



The screenshot shows the "Assign Reviewers" section with a table containing one row. A red box highlights the "Add Reviewer" button. The table has the following columns: Reviewer Role, Reviewer, Completed?, Date Notified, and Date Completed. The first row contains a red delete icon, a dropdown menu with "Primary", a dropdown menu with "--none--", and the value "No" in the Completed? column.

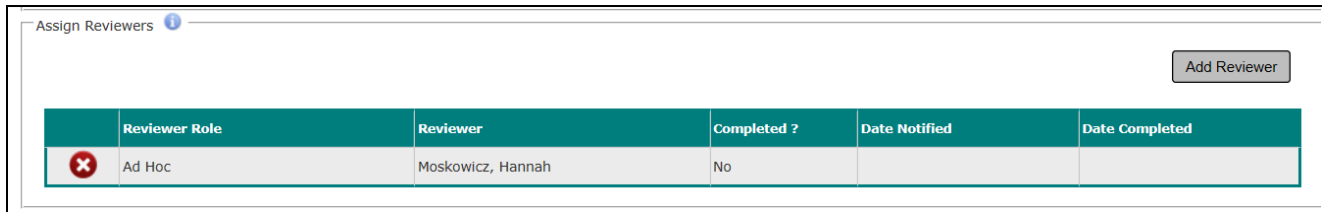
If the Ad Hoc **Reviewer Role** is selected the page refreshes, allowing for manual entry of the **Reviewer** name or selection from a **Known System identified User** list.



This close-up screenshot shows the "Reviewer Role" and "Reviewer" fields. The "Reviewer Role" dropdown is set to "Ad Hoc" and is highlighted with a red box. The "Reviewer" field is also highlighted with a red box and contains a "Known System identified User:" dropdown menu with "--none--" selected. Below this, there are "OR" options for "First Name:" and "Last Name:" with corresponding text input fields.

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After selecting and/or entering the correct data, click the **Save the Review Assignment** button. The page refreshes with the assigned **Reviewer's** information (see below).



	Reviewer Role	Reviewer	Completed ?	Date Notified	Date Completed
	Ad Hoc	Moskowicz, Hannah	No		

As many **Reviewers** as are needed may be added. Click the **Add Reviewer** button to add more **Reviewers**.

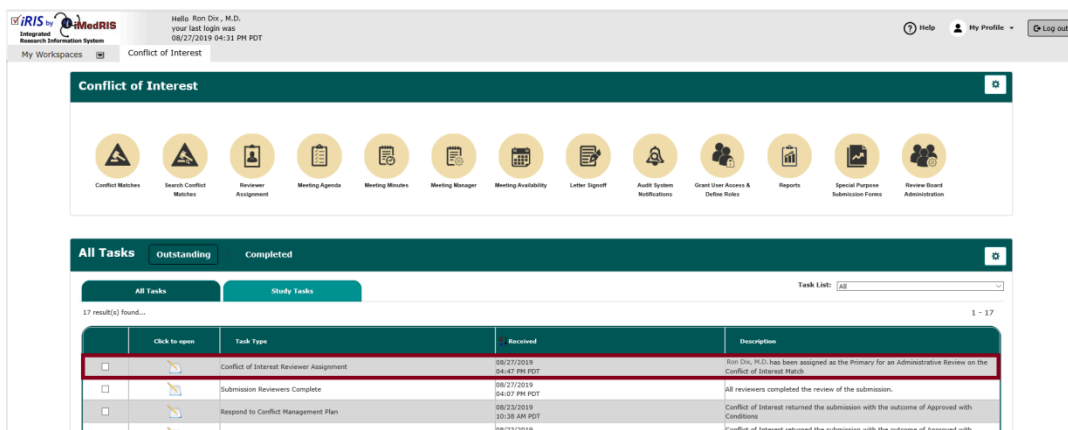
To delete a **Reviewer**, click the **Delete** icon next to the applicable **Reviewer** name. A confirmation dialog opens with **OK** and **Cancel** buttons. Click **OK** to confirm the deletion or **Cancel** to exit without deleting.

Assigned **Reviewers** receive a notification advising them that a Conflict Match is awaiting their review, and the assignment also appears as a task on the assigned **Reviewer's** home page. Notification options are set up under Review Board Administration (see the COI Review Board Administration manual for more details).

If the Review Process is assigned to Review Committee Agenda, the **Reviewer** does not receive a notification until the Coordinator enables **Reviewer** notifications for that meeting date.

Reviewer Assignments

When a **Reviewer** is assigned to a conflict match the **Reviewer** receives a notification from iRIS™ alerting them to the task. When the **Reviewer** logs in to iRIS™ the review task is shown in the **All Tasks** list on the **Reviewer's** home page.



Click to open	Task Type	Received	Description
	Conflict of Interest Reviewer Assignment	08/27/2019 04:47 PM PDT	iRIS, M.D. has been assigned as the Primary for an Administrative Review on the Conflict of Interest Match.
	Submission Reviewers Complete	08/27/2019 04:07 PM PDT	All reviewers completed the review of the submission.
	Respond to Conflict Management Plan	08/23/2019 10:38 AM PDT	Conflict of Interest returned the submission with the outcome of Approved with Conditions.
		08/23/2019	Conflict of Interest returned the submission with the outcome of Approved with

The **Reviewer** task is also added to the **Incomplete** tab of the **Assigned Matched Objects for Review** page for the **Assigned Reviewers** (shown below).

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The screenshot shows the iRIS interface for 'Assigned Match Objects for Review'. The user is logged in as Ron Dix, M.D. The interface includes a 'Print Friendly' button and a table with the following data:

Click to open	Group Name	Covered Person	Ref Number	Review Process	Date Received	Assigned Reviewers	Assigned Analyst
		Pham, Xugen, M.D.	341	Process Administratively	08/28/2019 8:32:39 AM PDT	Primary: Hannah Moscovitz Primary: Ron Dix, M.D.	

The **Reviewer** clicks the icon in the **Click to open** column to review the assigned matched object.

The screenshot shows the 'Submission Review Form - COI - (Version 34.0)'. The user is logged in as Ron Dix, M.D. The interface includes buttons for 'Print Friendly', 'Save Section', and 'Save and Continue to Next Section'. The form is divided into sections, with '1.0 Financial Disclosure' selected. The '1.0 Financial Disclosure' section is further divided into '1.1 Submission Components', which is split into 'Interest 1' and 'Interest 2'. Each interest column has a 'Show Form' icon and a printer icon.

1.0 Financial Disclosure	
1.1 Submission Components	
Interest 1	Interest 2
Show Form:	Show Form:
Covered Person's Name: Pham, Xugen, M.D.	Covered Person's Name: General Hospital
Reported Interest Type: Financial Interest	Reported Interest Type: Financial Interest
Reported Interest Third Party: 3-M Pharmaceuticals	Reported Interest Third Party: 3-M Pharmaceuticals
Business Status: In Database, not white- or blacklisted, Subrecipient	
Reported Role: KDM - Not a Board Member	Reported Role:
Reporting Action: Individual Annual Reporting Form	Reporting Action: Study Application
Date Submitted: 05/16/2019 11:28:40 AM PDT	Date Submitted: 04/04/2019 10:17:41 AM PDT
Interest Ref Number: 000636	Interest Ref Number: 000561

The screenshot above shows the Reviewer Checklist, open to the first section of the conflict match that's under review.

The **Reviewer** clicks the **Show Form** icon in the columns for **Interest 1** and **Interest 2** (if applicable) to see the actual form submitted by the Covered Person.

The Reviewer clicks the printer icon in the column for **Interest 1** to view a print friendly version of the entire form in HTML or PDF format. A dialog pops up, prompting the Reviewer to choose the desired format.

Note that the reviewer checklist form is defined in the System Form Designer and can contain any number of questions for the reviewer to fill out.

After the completing the review of the first section, the Reviewer clicks either the **Save Section** or **Save and Continue to Next Section** button.

The **Save Section** button is applicable in cases where the Checklist or associated Form has been configured to include editable fields for the Reviewer in any sections. The Reviewer clicks **Save Section** after making a change in a section when the Reviewer does not need to review any other sections.

Otherwise, when review of the active section is complete the Reviewer clicks the **Save and Continue to Next Section** button.

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The **Entire view of the Form** tab dynamically builds a reviewed copy of the form. When clicked this tab shows a version of the form containing only those sections that have been reviewed and saved, providing an easy way to check progress on the review at a glance.

The screenshot shows the iRIS by iMedRIS interface. At the top, the user is identified as 'Account: Ron Dix, M.D.' with a 'Path: Home'. The page title is 'Submission Review Form - COI - (Version 34.0)'. A navigation menu on the left shows 'Section view of the Form' and 'Entire view of the Form'. The main content area displays section 2.0, 'Determination and Recommendation', which is divided into three sub-sections: 2.1 'Review of Financial Disclosure/COI Match', 2.2 'Reviewer Determination', and 2.3 'Reviewer Recommendations'. Section 2.1 includes a definition of FCOI and three radio button options: 'Financial Conflict of Interest (Significant Financial Interest that the Institution reasonably determines could directly and significantly affect the design, conduct or reporting of externally-sponsored research, or the performance of duties and responsibilities on behalf of the COI Board.)', 'Significant Financial Interest - not meeting criteria above for an FCOI', and 'Disclosure Only - for example, disclosure of a familial relationship with another employee at this institution.' Section 2.2 asks 'Is a management plan appropriate based on the determination of the disclosure being a Financial Conflict of Interest?' with 'Yes' and 'No' radio buttons. Below this, it states 'If a significant financial conflict of interest exists, the COI Committee shall determine under what circumstances, if any, a conflicted individual (in the case of individual financial interest) or organization (in case of institutional financial interest) may be allowed to participate. The COI Committee shall create, if appropriate, a management plan considering the following options:' followed by a bulleted list: 'Public disclosure of the financial interests', 'Monitoring of research by independent reviewers', 'Modification of the research plan', 'Disqualification from participation in all or a portion of the Human Research.', 'Divestiture of financial interests', 'Severance of relationships that create the conflict of interests', and 'Involvement of external individuals in key portions of the protocol'. Section 2.3 is currently empty.

As the **Reviewer** progresses through the form, the navigation menu at the left of the form dynamically adds tabs for each section. The **Reviewer** can click on any section shown in the menu to return to that section.

The screenshot shows the iRIS by iMedRIS interface. At the top, the user is identified as 'Account: Ron Dix, M.D.' with a 'Path: Home'. The page title is 'Submission Review Form - COI - (Version 34.0)'. A navigation menu on the left shows 'Section view of the Form' and 'Entire view of the Form'. The main content area displays section 3.0, 'Reviewer's Indication of Completion', which is divided into one sub-section: 3.1 'Does this complete your review and recommendation?'. This section contains two radio button options: 'Yes' and 'No', with the 'No' option selected.

At the end of the Reviewer Checklist the **Reviewer** indicates that they are finished with the review and clicks the **Save and Continue** button. A confirmation message displays. Indicating “Yes” in this section flags the review as complete.

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The incomplete **Reviewer** task is removed from the home page and the Analyst assigned to this conflict match receives a notification and home page task indicating the Reviewer is finished with the review.

Correspondence

Depending on their stage of processing, matched objects opened from within the **Not Assigned, Assigned or Completed Matched Objects** tab of Match Processing may include a **Correspondence** link in the menu at the left side of the screen.

The **Correspondence** tab provides access to view, add, reply to, or forward correspondence items attached to the open form or object.

The screenshot shows the top navigation bar with the iRIS logo, user account information (Phelps, Janice), and a path to 'match objects'. Below this is a breadcrumb trail: 'My Workspaces > Conflict of Interest > Match Review for Covered Person Xugen Pham, M.D.'. A sidebar on the left contains a menu with options like 'Match Summary', 'Internal Documents', and 'Correspondence'. The main content area is titled 'Review Correspondence' and displays '0 result(s) found...'. A table with columns 'View Message', 'Author', and 'Subject' is shown, with the message 'No correspondences have been entered.' A red box highlights the 'Add a New Correspondence' button in the top right corner.

Add a New Correspondence

Click the **Add a New Correspondence** button at the upper right (shown in screenshot above) to open the **Submission Correspondence** form (shown in screenshot below). This form is used to process correspondence attached to the selected, open form.

The screenshot shows the 'Submission Correspondence' form. The top bar includes the iRIS logo, user account information (Administrator), and a path to 'submission item'. Below this is a breadcrumb trail: 'My Workspaces > Conflict of Interest > Submission Correspondence'. The form includes a 'Ref Number' field with the value '000686' and a 'Save & Send Correspondence' button. The form is divided into two main sections: 'Send Email' and 'Content'. The 'Send Email' section has fields for 'Subject', 'Recipient(s)', 'Additional Recipient(s)', 'Reply To(s)', and 'Additional Reply To(s)'. The 'Content' section has a 'Template' dropdown set to '-none-' and an 'Import template' button. Below these is a rich text editor with a toolbar containing various formatting options like bold, italic, underline, and font size.

This page includes the following elements:

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Send Email— select this checkbox to send the email when it is saved, de-select this checkbox to save the correspondence for archive purposes without emailing it; selected by default

Subject—subject line of the email message

Recipient(s) / Reply To(s) — click these links to open a list containing the names of everyone assigned by the system as eligible to receive Correspondence related to the selected, open form (see screenshot below)

The screenshot shows the iRIS by iMedRIS interface. The user is logged in as Administrator, Department: GH - 7543 - General Hospital. The path is Home > match objects > submission item > correspondence. The current page is 'Correspondence contact'. A 'Save Changes' button is highlighted in red. Below is a table of contacts:

Contacts	Role	<input checked="" type="checkbox"/>	
	Covered Person	<input type="checkbox"/>	Harper, Jill M, M.D., PhD
Conflict of Interest Committee BRCA		<input checked="" type="checkbox"/>	
	Board Member	<input type="checkbox"/>	Sundeeep, Ramesh S
		<input type="checkbox"/>	Hernandez, Consuelo P, M.D.
		<input type="checkbox"/>	Weeks, Michael J, M.D., PhD
		<input type="checkbox"/>	Xuan, Pham D
		<input type="checkbox"/>	

When adding a recipient or reply-to, select the checkbox(es) next to the name(s) to be added to distribution for the message, then click the **Save Changes** button to return to the **Submission Correspondence** page.

Additional Recipient(s) / Additional Reply To(s)— to add more email recipients or reply recipients, click on either of these links to open the **Correspondence Additional Contacts** form (shown below)

The screenshot shows the iRIS by iMedRIS interface. The user is logged in as Administrator, Department: GH - 7543 - General Hospital. The path is Home > match objects > submission item > correspondence. The current page is 'Correspondence Additional Contacts'. A 'Add A New Contact' button is highlighted in red. Below is a table with columns for Name and E-mail Address:

<input checked="" type="checkbox"/>	Name	E-mail Address
No Additional Recipients have been added.		

Click the **Add A New Contact** button to add a name and email address to the list. The form populates an editable **Name** and **E-mail Address** field, and a **Remove Selected Contacts** button is added to the form. Add as many additional recipients as desired.

In the example shown below, **Add A New Contact** was clicked to populate the **Name** and **E-Mail Address** fields in the first row. After the desired text was entered in each field, the **Add New Contact** button was clicked again to add another row, where another **Name** and **E-Mail Address** can be entered.

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	Name	E-mail Address
<input type="checkbox"/>	Dr. Carroll Gray, M.D.	cmgray@gsu.edu
<input type="checkbox"/>		

After all desired names and email addresses are added, click the **Save and Return** button. The names saved here are available for selection as **Additional Recipient(s)** or **Reply To(s)** as long as they remain in the list.

If any names are added to the **Additional Contacts** list in error, click the checkbox(es) next to the name(s) to be removed (area indicated by a yellow box in the screenshot above) and click the **Remove Selected Contacts** button.

Send Email

Subject

Recipient(s):

Additional Recipient(s):

Dr. Carroll Gray, M.D., Czerwacka, Agnieszka

Reply To(s):

Additional Reply To(s):

Attachments

Add Attachment

No Attachments have been added to this message.

Template: Import template

Content

Save & Send Correspondence

Attachment—click this button to add attachments to the email message

Template—if the system has pre-configured email correspondence templates set up, select the desired email template from the **Template** drop down list; those with the necessary access rights can also use the **Import template** button to import new, pre-formatted message templates

Content—rich text editor used to compose the email message; use the icons on the toolbar at the top of the **Content** area to apply formatting, insert images or links, insert special characters, or print the message

Save & Send Correspondence—click this button to save a copy of the message to the file and where applicable, send a copy to everyone included in the **Recipient(s)** and **Additional Recipient(s)** lists; names specified as **Reply To(s)** or **Additional Reply To(s)** are included in the list of people who will receive replies to the message

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Managing Correspondence

Correspondence items are managed on the **Correspondence** tab.

Delete	View Message	Author	Subject
		Administrator	Posted: 08/23/2019 03:31 PM PDT 3M Stock Purchases
		Administrator	Posted: Delivery in Progress AstraZeneca Disclosure
		Umgawe, Sufi G, M.D.	Posted: 08/02/2019 10:08 AM PDT Annual COI Form Question

To open a correspondence item to view it, reply to it or forward it, click on any of the items highlighted by orange boxes in the screenshot above: **Forward Email icon** (envelope with green arrow), **Open icon** (notepad with pencil), **Post a Reply to this Topic** link, or **Forward this Topic** link.

If the logged in user is the author of an email listed here, AND that email is either still in draft form or has been delivered by the mail system, a **Delete** icon is available for that email (highlighted by green boxes in the screenshot above).

A **Delete** icon is provided next to the first email in the list (highlighted with green boxes in the screenshot above) because “Administrator” is the logged-in user (highlighted with a blue box in the screenshot), AND “Administrator” is the author the first email (green box), AND that email has been delivered (see **Posted** details, second green box).

There is no **Delete** icon next to the second email authored by “Administrator” (highlighted by a yellow box in the screenshot), because that email has not yet been delivered to all recipients (see **Posted** details, second yellow box).

There is no **Delete** icon next to the third email because while **Posted** details show that the email was delivered, the email author is someone other than “Administrator” (highlighted by red boxes in the prior screenshot).

Note that while deleting an item here removes it from the list, a permanent record of any correspondence that has been sent from within the system will be retained with the associated form or document (item opened from the main Conflict Matches page).

Review Checklist and Comments

The **Review Checklist and Comments** page contains section for **Reviewer Check List**, **Members Check List** and **Members Comments**. **Add Member Comments**, **Add Members Checklist**, and **Save the Review Status** buttons are included at the upper right (see screenshot below).

The screenshot displays the 'Match Review for Covered Person Xugen Pham, M.D.' interface. At the top, there is a navigation bar with 'My Workspaces', 'Covered Person: Pham, Xugen, M.D.', 'Match Object Number: 000311', and 'Review Round Number: 1'. The main title is 'Conflict of Interest Match Review for Covered Person Xugen Pham, M.D.'. Three buttons are highlighted in red: 'Add Member Comments', 'Add Members Checklist', and 'Save the Review Status'. The left sidebar lists various sections, with 'Review Checklist & Comments' selected. The main content area is divided into three sections: 'Reviewer Check List' (a table with columns for View/Edit, Reviewer Role, Reviewer, Completed?, Date Notified, and Date Completed), 'Members Check List' (a table with a 'Members Name' column), and 'Members Comments' (a text area with a comment from 'Dix, Ron, M.D.').

View/Edit	Reviewer Role	Reviewer	Completed ?	Date Notified	Date Completed
	Primary Reviewer	Moscowicz, Hannah	<input checked="" type="radio"/> Yes <input type="radio"/> No	05/16/2019	05/16/2019

Members Name
Ron Dix, M.D.

Dix, Ron, M.D. Dr. Pham has indicated he will be forwarding a letter confirming the financial instruments have been transferred to a blind trust.

The **Reviewer Check List** section lists assigned **Reviewers** by name and role, and includes links to reviewed objects and documents associated with the respective **Reviewer**.

If the logged in user is the assigned **Reviewer**, they can click the applicable icon in the **View/Edit** column to open the checklist for editing. The **Reviewer** can status their review as complete by changing the “Yes/No” value in the **Completed?** column and clicking the **Save the Review Status** button.

The **Members Check List** section lists the names of Board Members who have added their own Members Checklist to the matched object.

The **Members Comments** section displays comments added to the file by Board Members.

Board Members and Analysts can create a Members Checklist by clicking on the **Add Members Checklist** button at the top right of the page.

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The screenshot shows the 'Submission Review Form - COI - (Version 38.0)' interface. The main section is '1.0 Financial Disclosure', which is further divided into '1.1 Submission Components'. This section contains two columns for 'Interest 1' and 'Interest 2'. Each column lists various details such as 'Covered Person's Name', 'Reported Interest Type', 'Reported Interest Third Party', 'Business Status', 'Reported Role', 'Reporting Action', 'Date Submitted', and 'Interest Ref Number'.

Interest 1		Interest 2	
Show Form:		Show Form:	N/A
Covered Person's Name:	Pham, Xugen, M.D.	Covered Person's Name:	General Hospital
Reported Interest Type:	Financial Interest	Reported Interest Type:	Financial Interest
Reported Interest Third Party:	3-M Pharmaceuticals	Reported Interest Third Party:	3-M Pharmaceuticals
Business Status:	In Database, not white- or blacklisted, Subrecipient	Reported Role:	
Reported Role:	KDM – Not a Board Member	Reporting Action:	Project Application
Reporting Action:	Individual Annual Reporting Form	Date Submitted:	03/27/2018 3:20:03 PM PDT
Date Submitted:	05/16/2019 11:28:40 AM PDT	Interest Ref Number:	000016
Interest Ref Number:	000636	Protocol Number:	
		Project Status:	

This opens a Member checklist, which is the same form the **Reviewer** filled out. The Board Member or Analyst can answer the same questions but does not have to indicate completion because this is not a **Reviewer** task. Rather, the Board Member or Analyst is adding a checklist as supplemental documentation. When the form is finished and the Board Member or Analyst returns to the **Review Checklist and Comments** page, the **Members Check List** table populates with an entry as shown below.

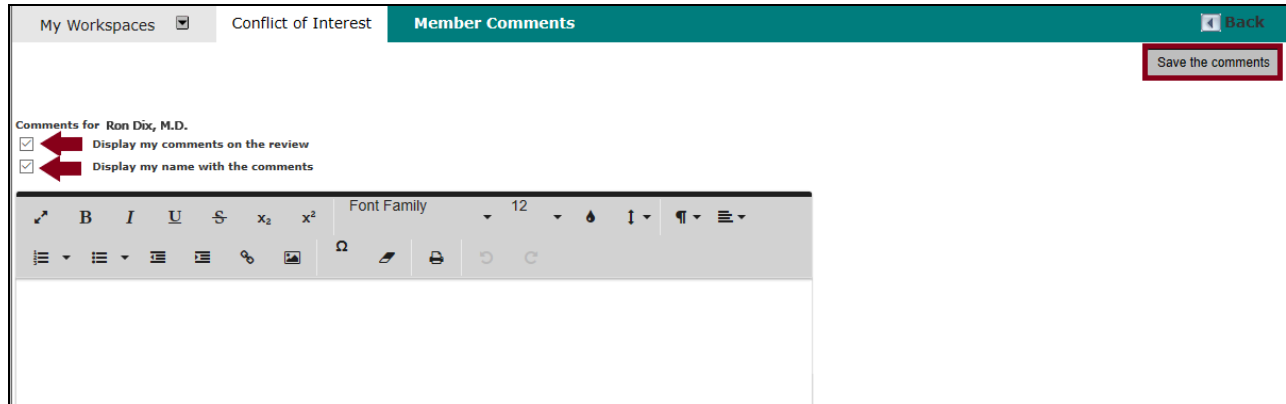
The screenshot shows a table titled 'Members Check List'. It has a header row with 'Members Name'. Below the header, there is one row with a red 'X' icon, a pencil icon, and the name 'Ron Dix, M.D.'.

Members Check List		
		Members Name
		Ron Dix, M.D.

The Board Member or Analyst can access their checklist by clicking on the applicable **Edit** icon, or delete the checklist by clicking the applicable delete icon []. Only the Board Member or Analyst who added the Members Checklist can delete it.

Board Members can add comments to the conflict match by clicking on the **Add Member Comments** button. The **Member Comments** page opens, enabling the Board Member to add comments in a rich text editor.

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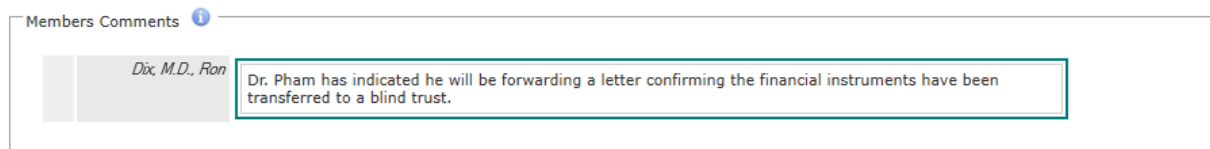
Two checkboxes are provided above the text editor (red arrows in screenshot above) to control comment and Board Member name visibility. Both are selected by default, meaning that both the comments and the name of the person who entered them are visible to the full board.

*If the Board Member wishes to keep their comments hidden from other Board Members, the **Display my comments on the review** checkbox should be deselected*

*If the Board Member wishes to post their comments for other Board Members to see, but wishes to keep their comments anonymous, the **Display my name with the comments** checkbox should be deselected*

Click the **Save the comments** button to save changes and return to the **Reviewer Checklist and Comments** page.

Recall that the Board Member comment is shown only if **Display my comments on the review** was selected at the time the comment was saved, and the Board Member name is shown only if **Display my name with the comments** was selected at the time the comment was saved.



If the comments are flagged as anonymous or hidden by de-selecting those checkboxes at the time the comment was saved, only the user who added the comments can see their name and/or the comments displayed on this screen.

Review Discussion

The **Review Discussion** tab can be used to capture information related to the match review. These can be notes from the Analyst or any discussion about the conflict that take place during a meeting. Items from the Reviewer Checklist can also be merged into the Review Discussion. The Review Discussion can then be merged into letters and meeting minutes.

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Account: Administrator
Path: Home > match objects

Help My Profile Log out

My Workspaces Covered Person: Pham, Xugen, M.D.
Match Object Number: 000311
Review Round Number: 1

Conflict of Interest Match Review for Covered Person Xugen Pham, M.D. Back

Edit Submission Discussion

Match Summary
Internal Documents
Review Assignment
Correspondence
Review Checklist & Comments
Review Discussion
Meeting Vote
Outcome

Review Discussion 1

No Specific Discussions entered.

To add information to the **Review Discussion**, click the **Edit Submission Discussion** button.

The **Conflict of Interest – specific discussion** page opens. Type or copy and paste the desired text into the rich text editor. Click the **Save** button to save the entered text and close the page.

Account: Administrator
Path: Home > match objects > match review

Help My Profile Log out

My Workspaces Conflict of Interest Conflict of Interest - specific discussion Back

Match Object 311 specific discussion

Save

Rich text editor toolbar: Bold, Italic, Underline, Strikethrough, x₂, x², Font Family, 12, Font Color, Text Color, Bulleted List, Numbered List, Indent, Outdent, Link, Unlink, Image, Table, Undo, Redo.

The text is displayed in the **Review Discussion** table. Click the **Edit Submission Discussion** button to add to the discussion, if needed.

Edit Submission Discussion

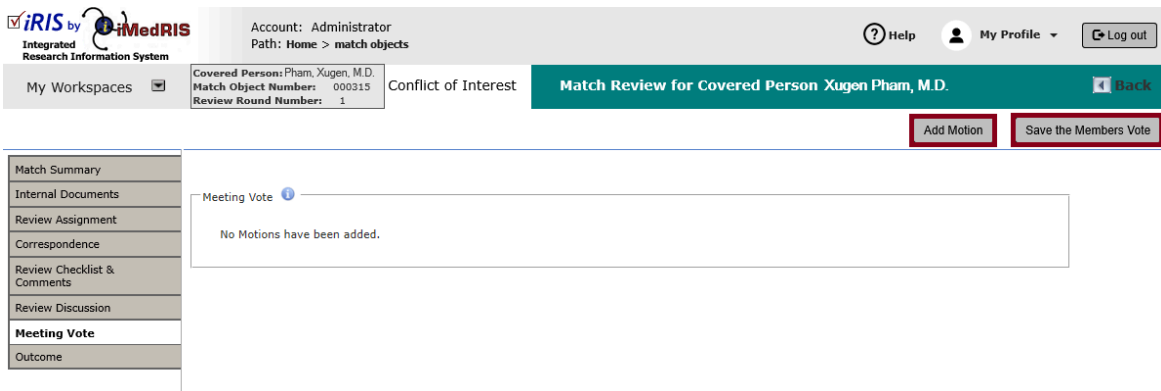
Match Summary
Internal Documents
Review Assignment
Correspondence
Review Checklist & Comments
Review Discussion
Meeting Vote
Outcome

Review Discussion 1

At the next board meeting we will have to discuss the Pfizer interest.

Meeting Vote

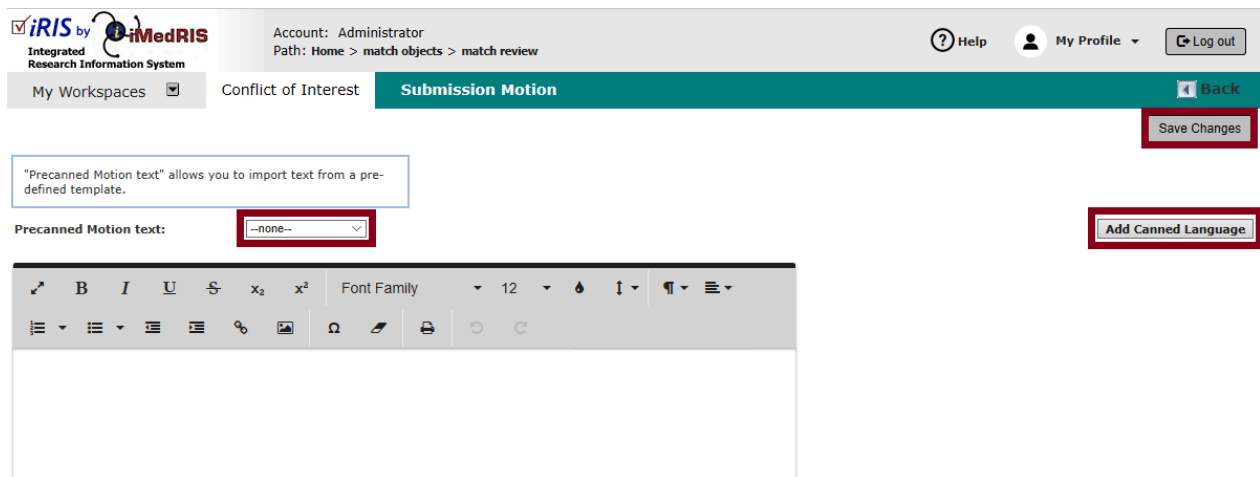
This tab only populates for the match review the **Full Committee Review** type is selected.




This tab is used to capture votes for the match review. The vote can be recorded at the time of the meeting or any time afterward, but before match review processing is complete. Start by clicking the **Add Motion** button.

The **Submission Motion** page opens with a rich text editor for entry of the motion. Motion text can be typed or copied and pasted into the text editor.

To use a precanned motion, select a template from the **Precanned Motion text** drop down list and click the **Add Canned Language** button. Precanned language for use in these motions is configured under Review Board Administration > System Setup > Setup Canned Motion.



Click the **Save Changes** button to save the motion and close the page. The motion text appears at the top of the **Meeting Vote** section (shown below). Click the delete icon [] to delete the added motion text. Click the edit icon (pad and pencil) to revise the added motion text.



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The vote type is selected in the **Vote** column next to each **Member Name**. Columns are provided to display each member’s **Gender, Specialty, Relationship to the Institution, Affiliation, Representational Capacity,** and **Representative of Specific Entity** information can also be found under the corresponding columns, as provided in the member’s user profile.

A **Comments** line is provided to enter any comment the member wishes to have notated with their vote.

After the votes for the motions are set click the **Save the Members Vote** button. The votes are saved and can be merged into outcome letters.

Click the **Add Motion** button to add more motions to the **Meeting Vote**.

Outcome

The **Outcome** tab, typically reserved for COI Coordinators, is where an outcome is set for the match review. Here, the Coordinator can select items from a reviewer checklist and merge them into management strategies or pull the information into outcome/response letters or meeting minutes.

After reviews are complete for a conflict match the **Outcome** tab includes a summary page of all Reviewer Checklists and member checklists.

The screenshot displays the 'Outcome' tab in the iRIS system. At the top right, there are two buttons: 'Merge Comments into Review Discussion' and 'Save the Submission Outcome'. Below these is a 'Review Outcome' dropdown menu currently set to '-none-'. The main content area is titled 'Reviewer Checklist Summary' and contains a table with the following structure:

			Submission Components
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Janice Phelps
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sof. L. Ungare

Below the table is the 'Determination and Recommendation' section, which includes a 'Review of Financial Disclosure/COI Match' section with radio button options and a 'Reviewer Determination' section with a checkbox and explanatory text.

Select the desired outcome from the **Review Outcome** drop down list at the top of the page. The outcomes in the list are configured under Review Board Administration > List Maintenance Setup tab > Review Outcome/Outcome Configuration List. The outcome selected from this drop down list indicates whether the conflict match is acceptable to the COI Office as-is, or if a management strategy must be put in place.

If any **Review Outcome** other than “–none–” or “Approved with Conditions” is selected the page refreshes and three additional tabs are added to the menu at left: **Internal Routing, Outcome Letter** and **Outcome Sent**.

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The screenshot shows a web interface with a sidebar menu on the left and a main content area on the right. The sidebar menu includes the following items: Internal Documents, Review Assignment, Correspondence, Review Checklist & Comments, Review Discussion, Meeting Vote, Outcome, Internal Routing, Outcome Letter, and Outcome Sent. The 'Outcome' item is highlighted with a red border. The main content area has a header 'Outcome' with a blue information icon. Below the header, there is a 'Review Outcome:' label and a dropdown menu currently showing 'Approved'. The dropdown menu is also highlighted with a red border.

If a Review Outcome of **Approved with Conditions** is selected the page refreshes, and four additional tabs are added to the menu at left: **Management Strategies**, **Internal Routing**, **Management Plan & Outcome Letter** and **Outcome Sent**.

*Note: The label shown on the **Outcome Letter** tab depends on the outcome selected. Where a Management Plan is required the label reads **Management Plan & Outcome Letter**. Otherwise it reads **Outcome Letter**.*

The screenshot shows the same web interface as above, but with the 'Review Outcome:' dropdown menu set to 'Approved with Conditions'. The dropdown menu is highlighted with a red border. The sidebar menu is also updated, with 'Management Strategies' added as a new item below 'Outcome' and above 'Internal Routing'. The 'Management Strategies' item is highlighted with a red border. The other items in the sidebar menu remain the same as in the previous screenshot.

An opportunity to define any management strategies before sending the management plan to the Covered Person is provided.

Note: The Covered Person receives a task on their home page regarding the management plan; see the COI Assistant – For Covered Persons manual for additional details on how this process functions from their side.

In the **Reviewer Checklist Summary** table a list populates, containing the questions from the checklist and the names of **Reviewers** and Board Members who completed the checklist. The answers to questions from the checklist appear beneath the **Reviewer**/Board Member names.


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Submission Components		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


Determination and Recommendation		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


Reviewer Determination		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

To the left of the Reviewer/Board Member name are three checkboxes that can be used to merge the corresponding Reviewer/member’s answer into the desired location, as follows.

 — a checkmark in the first column merges the item into the **Review Discussion** tab when the **Merge Comments into Review Discussion** button is clicked (shown previously in full screenshot of the Outcome tab, buttons are at the upper right), minus the reviewer/member name

Anything that is merged into the discussion can be pulled into the meeting minutes via use of the Submission Specific Discussion merge code in the meeting minutes template.

 — a checkmark in the second column merges the item into an Outcome Letter when it is generated, provided the Submission Review Summary merge code is used in the outcome letter template

 — A checkmark in the third column converts the answer to the question into a Management Strategy on the **Management Strategies** tab when the **Merge Comments into Management Strategies** button is clicked (shown previously in full screenshot of the Outcome tab, buttons are at the upper right)

After setting the outcome and merging the desired items in the checklists, click the **Save the Submission Outcome** button (shown previously in full screenshot of the Outcome tab, buttons are at the upper right).

COI Matched Objects Returned for Corrections

A **Review Outcome** of “Return Form for Corrections” is available on the **Outcome** tab of the **Match Review** processing area. With this outcome it is possible to add stipulations on a COI form matched object at the pre-review stage, up until such time as a review process is assigned to the matched object.

Conflict of Interest – Match Processing iRIS™ v12.01

When the “Return Form for Corrections” outcome is selected and the submission is saved, **Stipulation** and **Outcome Letter** tabs are unlocked in the left hand sidebar. The user can now send stipulations associated with the submission form from which the matched object was generated to the applicable covered person (see Stipulations Tab section, below). Note that stipulations can only be applied to an individual matched object, or to two or more matched objects that are grouped together for processing.

Recall that stipulations can only be applied up until such time as a review process is assigned to at least one matched object on the form. If one of the matched object(s) has been assigned a review process, a warning message popup displays to advise the user that one or more matched objects have been assigned a review process and the “Return Form for Corrections” outcome is not available.

After the warning message closes the user must choose a different **Review Outcome** to proceed.

Stipulations Tab

The **Stipulations** tab functions the same as in the Study side (IRB), allowing the user to send the covered person stipulations linked to the form. Stipulations and responses from any previous submission are also displayed here.

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My Workspaces Covered Persons: Admin Admin admin Mr, B.S. Brig. Gen. Match Object Number: 004467 Review Round Number: 1 COI Match Review for Covered Person Admin Admin admin Mr, B.S. Brig. Gen. [Back](#)

Covered Person Submission History

Print Friendly Add Multiple Add New Add Pre-defined

Match Summary Internal Documents Review Assignment Correspondence Review Checklist & Comments Review Discussion Meeting Vote Outcome Stipulations Outcome Letter Outcome Sent

Stipulations to be sent for Response 1

Delete	Edit	Sorting Number	Stipulation Type	Follow-up Due	Stipulation	Created By	Edited By	Link To Component
No Stipulations entered								

Stipulations with the responses from the previous submission 1

No response Stipulations entered

Just as when adding a stipulation on the study side, a text editor is provided for entry of stipulations and association to specific sections of the submission form.

Save the Stipulation

Stipulation Information:

Stipulation Type:
Stipulation must be addressed

Select the components to be modified with this stipulation:

+ Attach Component(s) to the Stipulation

No submission components have been associated yet. Please click on the green add button to associate your Stipulation(s).
Add Component(s)

Stipulation Content

Rich text editor toolbar: Bold, Italic, Underline, Strikethrough, Subscript, Superscript, Font (Verdana), Size (11), Bulleted List, Numbered List, Indent, Outdent, Undo, Redo.

Note that the user can also comment directly on a question on the form; in that case the comment automatically populates in the **Stipulations** tab.

Management Strategies

If the Covered Person associated with the conflict match needs to adhere to a Management Plan, the **Management Strategies** tab populates in the menu. From this page, it is possible to create the strategies to be merged into the Management Plan. Each strategy is added to the list as a separate line item.

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Sorting Number	Management Strategies Type	Management Strategies Category	Follow-up Due	Management Strategies
1	Strategy must be addressed		N/A	Significant Financial Interest (no FCOI)
2	Strategy must be addressed		N/A	Yes
3	Strategy must be addressed		N/A	Yes

There are four ways to populate the page with management strategies.

1. **Strategies merged from the Outcome tab.** The screenshot above shows strategies that were merged in from the **Outcome** tab.
2. **Add Multiple Strategies** – Click this button to add multiple strategies at once.

Copy strategies that have been formatted as a numbered list in a Word document, then paste the copied, numbered list into the text editor box. Select a **Management Strategies Type** and **Management Strategies Category** at left, then click the **Save the Management Strategies** button to add the pasted list of strategies to the **Management Strategies** list.

There are three **Management Strategy Types**:

Strategy must be addressed— the covered person must follow the strategy and respond to the COI office with an acknowledgement

Comments that must be addressed— when this item is selected from the drop down list the page refreshes, adding a field to specify a follow-up due date; the Covered Person must respond to the item before the specified date, outside of the main management plan follow-up due date (this is assigned when the management plan is sent to the Covered Person, see the Outcome Letter section of this manual)

*Strategy Type:
Comments that must be addressed

*Follow-Up Due
10/02/2013

Comments— adds recommendations for the Covered Person; these comments are merged into the Management Plan and require acknowledgement from the Covered Person

3. Add a New Strategy – click this button to manually enter a strategy line item

When this button is clicked a new page opens, allowing for entry of management strategy text in a rich text editor. Select a **Strategy Type** and **Strategy Category** at left, then click the **Save the Strategy** button to add the strategy to the **Management Strategies** list.

The screenshot shows the 'Review Management Strategies' page. On the left, under 'Strategy Information:', there are dropdown menus for '*Strategy Type:' (set to 'Strategy must be addressed') and '*Strategy Category:' (set to '-none-'). A red arrow points up to the category dropdown, and another red arrow points right towards the 'Strategy Content' area. The 'Strategy Content' area features a rich text editor with a toolbar containing various formatting options like bold, italic, underline, and font size. A 'Save the Strategy' button is highlighted with a red box in the top right corner of the content area.

4. Add Pre-defined Strategies – if certain strategies are commonly applied, they can be saved to the Pre-defined Strategies list under Review Board Administration > List Maintenance Setup > Predefined Strategies.

When the **Add Pre-defined Strategies** button is clicked, a page listing all the predefined management strategies opens. Select a strategy or multiple strategies, then click the **Save Selected Strategies** button. The strategy is added as a “Strategy must be addressed” type.

Conflict of Interest – Match Processing iRIS™ v12.01

Account: Administrator
Path: Home > match objects > match review

My Workspaces Conflict of Interest **Review Management Strategies** Back

Save Selected Strategies

List of approved canned Management Strategies

4 result(s) found...

<input checked="" type="checkbox"/>	Category	Management Strategies
<input type="checkbox"/>		This activity must be conducted on your personal time.
<input type="checkbox"/>		Any increases to your outside time commitment or compensation for this activity must be disclosed in IRIS within 30 days of the increase.
<input type="checkbox"/>		This approval is conditioned on the Office of General Counsel approving the written agreement you execute with the company for this engagement, if this has not already been done
<input type="checkbox"/>		You may not share any University proprietary information, only general, published knowledge in the public domain.

All strategies added, regardless of the method used to add them, appear in the **Management Strategies** table.

Add Multiple Strategies Add a New Strategy Add Pre-defined Strategies Save Strategies

Management Strategies

<input checked="" type="checkbox"/>	Edit	Sorting Number	Management Strategies	Management Strategies Category	Follow-up Due	Management Strategies
<input checked="" type="checkbox"/>		1	Strategy must be addressed		N/A	Significant Financial Interest (no FCOI)
<input checked="" type="checkbox"/>		2	Strategy must be addressed		N/A	Yes
<input checked="" type="checkbox"/>		3	Strategy must be addressed		N/A	Yes

Click the **Delete** icon next to the appropriate strategy record to delete that strategy item.

Click the icon in the **Edit** column next to the appropriate strategy record to open the strategy item for modifications.

Strategies are displayed in the order added. To reorder them, change the numbering in the **Sorting Number** column to specify sort order, then click the **Save Strategies** button.

Note: The Covered Person receives a task on their home page regarding the management plan; see the COI Assistant – For Covered Persons manual for additional details on how this process functions from their side.

Internal Routing

The **Internal Routing** tab within a submission is a very useful tool for COI Analysts, who can use this tab to route the conflict match internally, any number of times, all at once. **Internal Routing** can be used to show a Chairperson a specific match review or to have a specialty reviewer view the conflict match.

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Match Summary

Internal Documents

Review Assignment

Correspondence

Review Checklist & Comments

Review Discussion

Outcome

Internal Routing

Outcome Letter

Outcome Sent

Internal Review Routing ⓘ

Assignment notes:

Have you completed your selection of required routings? Yes No

Add Review Board Routing Add Non-Review Board Routing

Order Number	Click to review	Assigned To	Role	Date Notified	Date Completed
User Comments					
No Submission Routing entered					

The **Internal Routing** tab allows for routing notes on the match. Click the **Assignment notes** link to add these notes.

The Pfizer stock will be passed into a blind trust, per Dr. Pham.

We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.

Cancel Apply

The **Assignment Notes** are added to the **Internal Routing** page and are included when Submission items are routed.

Conflict of Interest – Match Processing iRIS™ v12.01

The screenshot shows the 'Internal Review Routing' form. At the top right is a 'Save Routing List' button. Below it is a section for 'Assignment notes' with a red border, containing the text: 'The Pfizer stock will be passed into a blind trust, per Dr. Pham. We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.' Below the notes is a green box asking 'Have you completed your selection of required routings?' with radio buttons for 'Yes' and 'No' (selected). There are two buttons: 'Add Review Board Routing' and 'Add Non-Review Board Routing'. Below these is a table with columns: 'Order Number', 'Click to review', 'Assigned To', 'Role', 'Date Notified', and 'Date Completed'. The table currently contains one row with a red 'X' in the 'Order Number' column and the text 'No Submission Routing entered' in the 'User Comments' column.

This page is used to create the list of users whose reviews are needed to complete an internal signoff on the Conflict Match.

Click the **Add Review Board Routing** button to add Review Board members. This creates a row allowing for selection of a Board Member from a drop down list (red arrow in screenshot below), and to optionally set a **Role** for the Board Member (blue arrow in screenshot below). Click the **Save Routing List** button to save changes.

This screenshot shows the same form as above, but with a new row added to the table. The 'Order Number' column has a red 'X' and the value '0'. The 'Click to review' column has a red arrow pointing to a dropdown menu with '-none-' selected. The 'Role' column has a blue arrow pointing to a dropdown menu with '-none-' selected. The 'Assignment Comments' column has a red box around the text 'Assignment Comments:'. The 'User Comments' column is empty. The 'Save Routing List' button at the top right is highlighted with a red border.

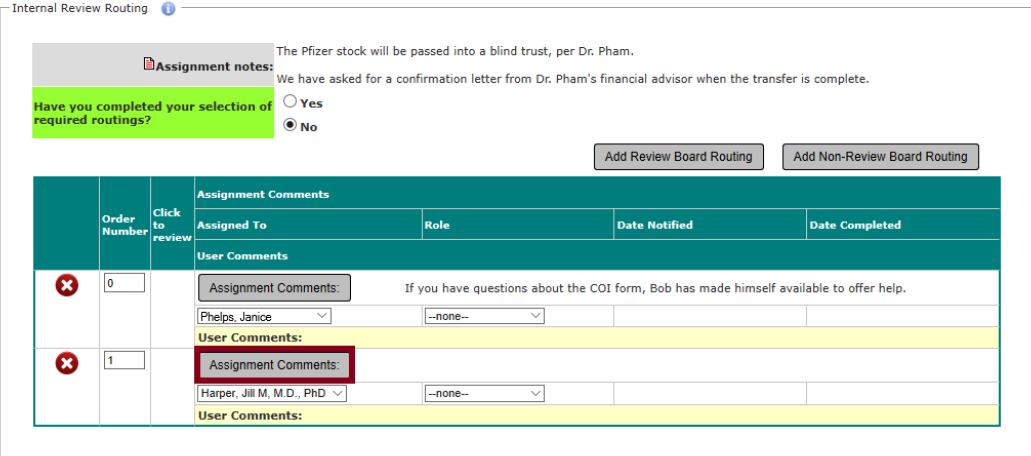
To enter reviewer-specific assignment notes (optional), click the **Assignment Comments** button above the user's name.

A text editor opens. Enter desired comments and click the **Apply** button to save changes and return to the **Internal Routing** tab. Click the **Cancel** button to close the text editor and return to the **Internal Routing** tab without adding comments.

Conflict of Interest – Match Processing iRIS™ v12.01

Click either the **Save Selected User(s)** button or the **Select User** icon (green checkmark in the **Select User** column) to add an individual person to Internal Routing.

If the search has returned multiple users to be added to Internal Routing, select the checkbox in the **Check for Multiple** column next to each name to be included, then click the **Save Selected User(s)** button to add the names and return to the **Internal Routing** tab.



The screenshot shows the 'Internal Review Routing' interface. At the top right, there is a 'Save Routing List' button. Below it, the 'Assignment notes' section contains the text: 'The Pfizer stock will be passed into a blind trust, per Dr. Pham. We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.' Below the notes is a green box asking 'Have you completed your selection of required routings?' with radio buttons for 'Yes' and 'No' (selected). There are two buttons: 'Add Review Board Routing' and 'Add Non-Review Board Routing'. Below this is a table with columns: 'Order Number', 'Click to review', 'Assignment Comments', 'Assigned To', 'Role', 'Date Notified', and 'Date Completed'. The table has two rows. The first row has '0' in the 'Order Number' column and a red 'X' icon in the 'Click to review' column. The second row has '1' in the 'Order Number' column and a red 'X' icon in the 'Click to review' column. The 'Assignment Comments' column for both rows contains a text input field and a dropdown menu. The 'Assigned To' column for the first row shows 'Phelps, Janice' and for the second row shows 'Harper, Jill M, M.D., PhD'. The 'Role' column for both rows shows '--none--'. The 'Date Notified' and 'Date Completed' columns are empty.

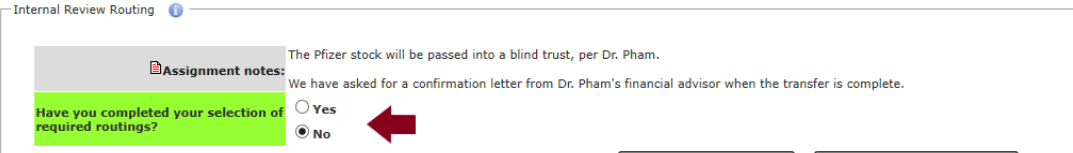
Each name added populates in a separate row and has the same **Assignment Comments** button available to add comments specific to each person.

Routing occurs in the order indicated by the numbers entered in the **Order Number** column, with the lowest number (zero) being first in the routing order. One (1) is next, followed by two (2), and so on.

When the user with the lowest order number completes the assigned routing, the next user in the order on the list is notified for signoff. This process continues until the list is completed. Users with the same order number receive the notification at the same time.

The list can be re-ordered by changing the numbers in the **Order Number** column. If a user who has already been notified is subsequently deleted, the user with the next highest order number is notified. This keeps the submission moving in the event a user does not sign off in a timely manner.

Beneath the assignment notes display there is a Yes/No question (red arrow in screenshot below): **Have you completed your selection of required routings?** The default answer selection is "No".



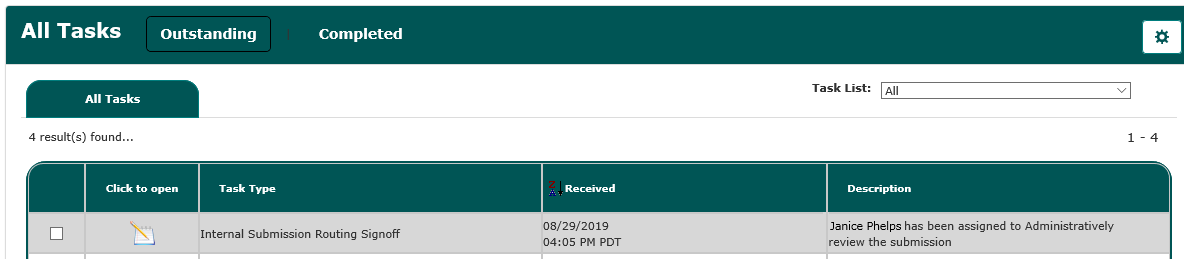
This screenshot is a close-up of the 'Have you completed your selection of required routings?' question. It shows the green box with the question, the 'Yes' and 'No' radio buttons, and a red arrow pointing to the 'No' button. The 'Save Routing List' button is visible in the top right corner.

Conflict of Interest – Match Processing iRIS™ v12.01

When changes to the routing list are complete, click to select the “Yes” radio button and click the **Save Routing List** button.

Internal Routing Task

When a user has been notified of an Internal Submission Routing Signoff assignment, upon logging into iRIS™ they will find an **Internal Submission Routing Signoff** task on their COI Workspace home screen.

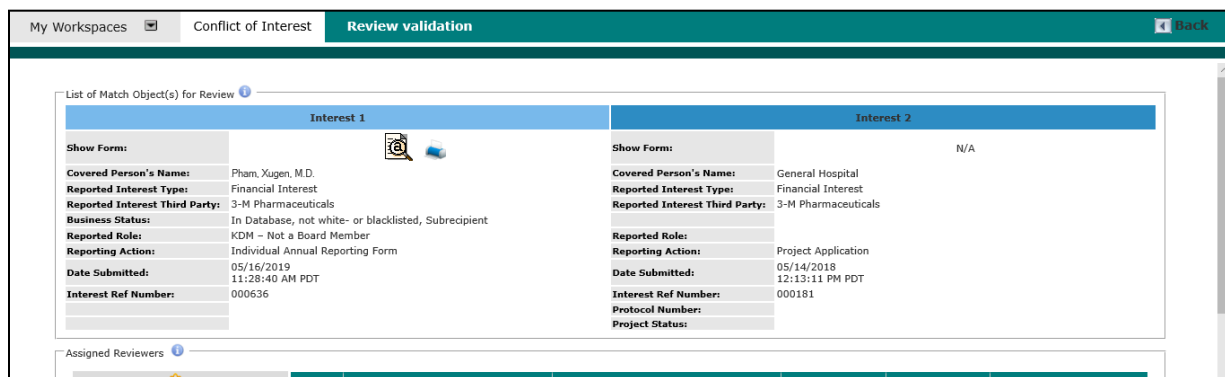


The screenshot shows the 'All Tasks' interface with tabs for 'Outstanding' and 'Completed'. A task is listed with the following details:

Click to open	Task Type	Received	Description
<input type="checkbox"/>	Internal Submission Routing Signoff	08/29/2019 04:05 PM PDT	Janice Phelps has been assigned to Administratively review the submission

To complete their review, the user clicks the icon in the **Click to Open** column to open a **Review validation** page.

The page includes sections for Match Object(s) under review, **Assigned Reviewers**, **Management Plan Document** details (if applicable), **Response Letter** details (if applicable), and **Outcome**. Only the first section is shown in the screenshot below.



The screenshot shows the 'Review validation' page with the following details:

Interest 1		Interest 2	
Show Form:		Show Form:	N/A
Covered Person's Name:	Pham, Xugen, M.D.	Covered Person's Name:	General Hospital
Reported Interest Type:	Financial Interest	Reported Interest Type:	Financial Interest
Reported Interest Third Party:	3-M Pharmaceuticals	Reported Interest Third Party:	3-M Pharmaceuticals
Business Status:	In Database, not white- or blacklisted, Subrecipient	Reported Role:	
Reported Role:	KDM – Not a Board Member	Reporting Action:	Project Application
Reporting Action:	Individual Annual Reporting Form	Date Submitted:	05/14/2018 12:13:11 PM PDT
Date Submitted:	05/16/2019 11:28:40 AM PDT	Interest Ref Number:	000181
Interest Ref Number:	000636	Protocol Number:	
		Project Status:	

After completing their review of each applicable section and object, the user scrolls down to the **Internal Submission Routing** block at the bottom of the form.

Conflict of Interest – Match Processing iRIS™ v12.01

Internal Review Routing

Submission Routing: Assigned Analyst : **Umgawe, Sofi L**

Assignment notes :
The Pfizer stock will be passed into a blind trust, per Dr. Pham.
We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.

Assignment comments					
Assigned To	Assigned From	Role	Date Notified	Completed ?	Date Completed
User comments					
Assignment Comments: If you have questions about the COI form, Bob has made himself available to offer help.					
Phelps, Janice	Administrator	--none--	08/29/2019	Completes: <input type="radio"/> Yes <input checked="" type="radio"/> No	
				User ID: <input type="text"/>	
				Password: <input type="text"/>	
This Requires your electronic Signature. If Completed, Please enter your User ID & Password					
<input type="button" value="User Comments"/>					
<input type="checkbox"/>	<input type="button" value="Assignment Comments"/>				
Harper, Jill M, M.D., PhD	Administrator	--none--			
User Comments:					

From this area, the user can indicate whether they are finished with the review.

The user can add more routing tasks, if needed, by clicking the **Add Routing** button.

The user can remove a routing task by selecting the checkbox to the left of the routing item and clicking the **Remove Routing** button.

If the user needs to comment back to the Analyst, they can click on the **User Comments** button to open the text editor.

Enter the user comments.

Direct any Interest 2 questions on this to me, please.

Conflict of Interest – Match Processing iRIS™ v12.01

Any user comments added are reflected in the **User Comments** area of **Submission Routing**, as shown below (red arrow).

Internal Review Routing

Submission Routing: Assigned Analyst : **Umgawe, Sofi L**

Assignment notes : The Pfizer stock will be passed into a blind trust, per Dr. Pham.
We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.

Assignment comments

Assigned To	Assigned From	Role	Date Notified	Completed ?	Date Completed
User comments					
Assignment Comments: If you have questions about the COI form, Bob has made himself available to offer help.					
Phelps, Janice	Administrator	--none--	08/29/2019	Complete: <input checked="" type="radio"/> Yes <input type="radio"/> No	
User ID: <input type="text"/> Password: <input type="text"/> This Requires your electronic Signature. If Completed, Please enter your User ID & Password					
User Comments: Direct any Interest 2 questions on this to me, please.					
<input type="checkbox"/> Assignment Comments:					
Harper, Jill M, M.D., PhD	Administrator	--none--			
User Comments:					

Add Routing **Remove Routing** **Save Routing**

Before the task can be removed from the user's home screen, the user must indicate "Yes" in the **Complete** box, enter their login credentials (if required) and click on the **Save Routing** button.

When all users assigned to the Internal Routing have completed their routing assignments, the Analyst for the match review receives a notification from the system as well as a home page task. When the task is opened, the Analyst is returned to the **Internal Routing** tab.

Internal Review Routing

Assignment notes: The Pfizer stock will be passed into a blind trust, per Dr. Pham.
We have asked for a confirmation letter from Dr. Pham's financial advisor when the transfer is complete.

Have you completed your selection of required routings?
 Yes
 No

Add Review Board Routing **Add Non-Review Board Routing**

Order Number	Click to review	Assignment Comments	Role	Date Notified	Date Completed
0		Assignment Comments: If you have questions about the COI form, Bob has made himself available to offer help.		08/29/2019	08/29/2019
1		User Comments: Direct any Interest 2 questions on this to me, please.		08/29/2019	08/29/2019
		User Comments:			

From here the Analyst can see when the users completed their assignments and if they have included any comments. The Analyst can also use the **Add Review Board Routing** or **Add Non-Review Board Routing** buttons to add more routing tasks.

Outcome Letter

This tab allows the Analyst to create a Management Plan and/or an Outcome Letter to send to the Covered Person or other individuals as needed. Depending on the outcome assigned, the tab may read **Management Plan & Outcome Letter** or just **Outcome Letter**.

Conflict of Interest – Match Processing iRIS™ v12.01

The screenshot displays a web interface for Conflict of Interest Match Processing. On the left is a vertical navigation menu with items: Match Summary, Internal Documents, Review Assignment, Correspondence, Review Checklist & Comments, Review Discussion, Outcome, Internal Routing, Outcome Letter, and Outcome Sent. The main content area is divided into two sections: 'Management Plan Document' and 'Response Letter'. Each section features a 'Select a [Plan Template / Letter Template]' dropdown menu set to '--none--', a 'Create [Management Plan / Response Letter]' button, and a table with columns: Delete, Send, Edit/View, Title, Signature Required, Status, Route Signoff, and Copy. Below each table, a message states 'No [Plans / Letters] have been created for this review.'

This page is broken up into two parts, **Management Plan Document** and **Response Letter**.

The **Management Plan Document** can be created to pull in the Management Strategies added earlier.

To create the Management Plan, begin by selecting a template from the **Select a Plan Template** drop down list in the **Management Plan Document** area. After the template is selected, click the **Create Management Plan** button.

Management plan templates are created under Review Board Administration > System Setup > Setup Management Plan. There is no limit to the number of templates that can be defined.

After the **Create Management Plan** button is clicked, a text editor page is displayed. The text editor contains an editable version of the management plan.

The screenshot shows a text editor interface for a 'Management Plan'. The top navigation bar includes 'My Workspaces', 'Conflict of Interest', and 'Management Plan'. A 'Save Management Plan Changes' button is highlighted in red. On the left, a sidebar shows 'Reference Number: 317', 'Assign Analyst: Sofi L. Umgawe', and a question 'Does this plan require signature signoffs?' with radio buttons for 'Yes' and 'No' (selected). The main editor area has a rich text toolbar and contains the following text: 'August 30, 2019', 'Xugen Pham, M.D.', and 'RE: Ref# 000636 Conflict of Interest Matched Object'. A 'Check In/Out' tab is visible at the top right of the editor.

When changes in the text editor are complete, click the **Save Management Plan Changes** button. When the plan is saved, the **Check In/Out** tab populates with **Download Document** and **Upload Document** buttons the Analyst can use to complete editing of the plan offline, then upload a revised version to the system later.

Conflict of Interest – Match Processing iRIS™ v12.01

HTML Content
Check In/Out

Use "Download Document" to download the file to your workstation to edit the contents.
Use "Upload Document..." to find the edited file on your workstation and replace the previous version.

To the left of the text editor page is the match information (**Reference Number** and **Assigned Analyst**). To require signature signoffs for this letter, select "Yes" under **Does this plan require signature signoffs?** When this is done, another field populates as shown below:

Does this plan require signature signoffs?

Yes No

Is batch signoff applicable?

Yes No

Batch signoff allows a user to sign more than one letter at a time. If this is applicable, select "Yes."

If the signature signoff was set to "Yes," the user is redirected to the **Submission Plan Signoff Routing List** page when the **Save Management Plan Changes** button is clicked.

My Workspaces
Conflict of Interest
Submission Plan Signoff Routing List
Back

Reference Number: 317
 Submission Type: Imputed
 Letter Name: COI/C Notification

Have you completed your selection of required signatures?

Yes No

☑	Order Number	Name	Signoff	Approved	Include Signature	Allow Change	Date Received	Date Completed	Comments
No Personnel have been designed to signoff									

There are two ways to add a user to approve and signoff on the letter: via the **Add Review Board Signoff** button or the **Add Non-Review Board Signoff** button.

When clicked, the **Add Review Board Signoff** button adds a row to the signoff block enabling the user to choose any COI Board member.

☑	Order Number	Name	Signoff	Approved	Include Signature	Allow Change	Date Received	Date Completed	Comments
<input type="checkbox"/>	0	[None] Chu, Xin J, M.D. Dix, Ron, M.D. Harris, Thom Pham, Jiu Varda, Margo Thompson, Eric	←		Yes	No			

When clicked, the **Add Non-Review Board Signoff** button opens the **Search User Directory** form, enabling the Analyst to choose any user in the iRIS™ database and add their name for signoff, regardless of Board member status.


Conflict of Interest – Match Processing iRIS™ v12.01

Selecting a user from the list in the search form and clicking the **Save Selected User** button adds a row to the signoff block with the selected user’s name.

After selecting the users required to sign off, their records appear as shown in the screenshot below.

Order Number — specifies who receives the signoff task first; users with the same order number receive the task at the same time

Name — name of the user (selected from the drop down menu) who must sign the outcome letter

Signoff — if the logged in user is assigned this signoff task, the writing hand icon next to the user’s name darkens () and the user can sign off on the letter by clicking this icon

Approved — status of the letter after the user has approved or denied it

Include Signature — if this field is set to “Yes,” the user’s electronic signature is required when they approve the letter

Allow Change — if this field is set to “Yes,” the user designated for signoff is allowed to edit the letter

Date Received — date that the user receives the letter for signature

Date Completed — date that the user applies their electronic signature

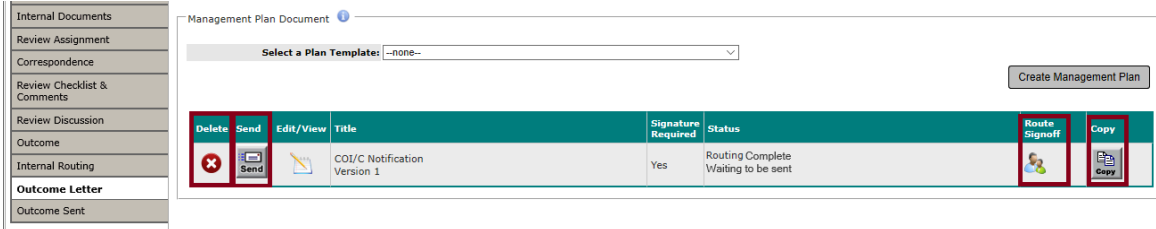
Comments — comments the user may have entered upon sign off

To delete a user previously added to the signoff block, click to select the checkbox next to the applicable name, then click the **Delete Selected Signoff(s)** button.

Conflict of Interest – Match Processing iRIS™ v12.01

Once all selections are made, click “Yes” in the **Have you completed your selection of required signatures?** field and click the **Save Signoff List** button. A notification is sent to the first user selected for signoff.

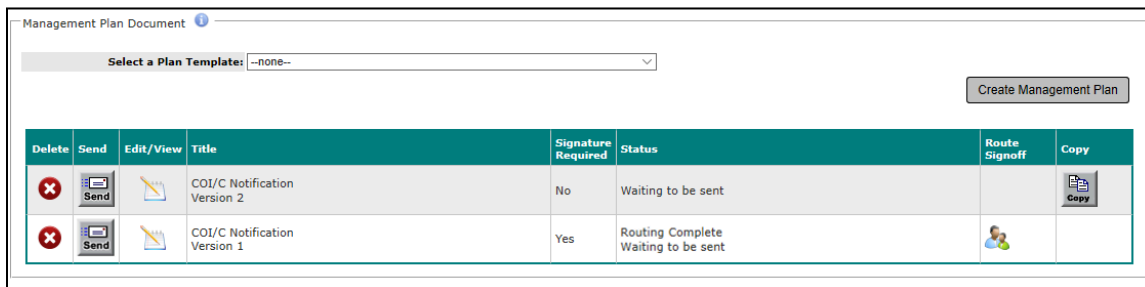
Navigating back to the **Outcome Letter** tab, the newly-created Management Plan is added to the list.



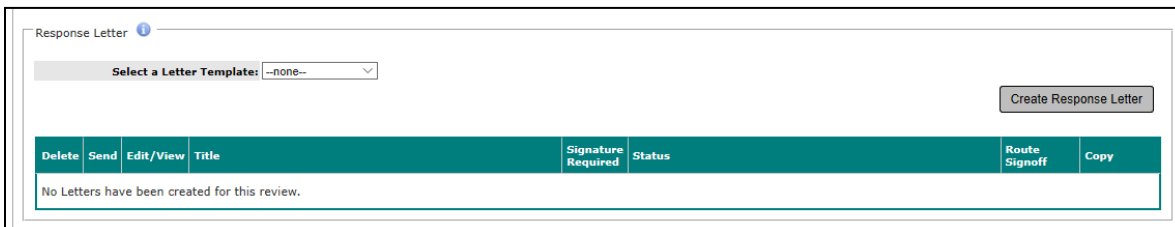
Other Outcome Letters can be added in a similar fashion. The **Send** button is dimmed until routing signoff is complete. In the example shown above signoff is complete so the **Send** button is lit and accessible.

A letter can be deleted by clicking the icon in the **Delete** column for that letter. Additionally, the letter can be routed for further signoff by clicking the **Route Signoff** icon.

A letter can also be copied. When a letter is copied it defaults to require no signatures for signoff, so any desired routing must be manually added. In addition, the **Send** button is lit and accessible for the copy and its status is set to **Waiting to be Sent**.



It is possible to generate an Outcome Letter using the drop down menu in the **Response Letter** area of the Outcome Letter tab. The templates available in the **Select a Letter Template** drop down list are configured within Review Board Administration > System Setup > Setup Outcome Letter Templates.



Outcome Letters are generated the same way that the Management Plan Document is created and can also be routed for signatures.

Conflict of Interest – Match Processing iRIS™ v12.01

Internal Documents	Management Plan Document
Review Assignment	Select a Plan Template: --none--
Correspondence	Create Management Plan
Review Checklist & Comments	
Review Discussion	
Outcome	
Internal Routing	
Outcome Letter	
Outcome Sent	

Delete	Send	Edit/View	Title	Signature Required	Status	Route Signoff	Copy
			COI/C Notification Version 2	No	Waiting to be sent		
			COI/C Notification Version 1	Yes	Routing Complete Waiting to be sent		

Response Letter
Select a Letter Template: --none--
Create Response Letter

Delete	Send	Edit/View	Title	Signature Required	Status	Route Signoff	Copy
			Conflict Approved Version 1	Yes	Routing Complete Waiting to be sent		

Management Plans and letters are sent from the Outcome Letter tab (shown above), or they can be bundled with Management Strategies (where applicable) to be sent to the Covered Person.

Note: If the Management Plan Document and Outcome Letter are sent from the Outcome Letter tab it will not be possible to include them in the bundle, this is an either-or selection.

Outcome Sent

Once the review process for a conflict match is complete, navigate to the **Outcome Sent** tab to send the Management Plan and any other letters to the Covered Person along with any Management Strategies.

Match Summary	Outcome
Internal Documents	Review Outcome: Approved
Review Assignment	
Correspondence	
Review Checklist & Comments	
Review Discussion	
Outcome	
Internal Routing	
Outcome Letter	
Outcome Sent	

Review process summary				
Round Number	Review Process	Meeting Date	Date Received	Date Completed
No Review history for this review.				

Personnel to Receive Notification		Add Personnel
Response Required	Name	
<input checked="" type="radio"/>	Ron Dix, M.D.	

Management Plan Document	
Attach to Response E-mail	Management Plan
<input type="checkbox"/>	COI/C Notification

Response Letter	
Attach to Response E-Mail	Response Letter
<input type="checkbox"/>	Conflict Approved

Email Notification	
Email notification template: --none--	Generate Response Message

The Outcome selected on the **Outcome Letter** tab displays in the **Outcome** section at the top of the page.

If the **Outcome** does not require a management plan no **Follow-up Due** date field appears in the **Outcome** section, as shown in the previous screenshot.

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If the **Outcome** requires a management plan a **Follow-up Due** date field is added to the **Outcome** section, as shown below.

The screenshot shows a section titled "Outcome" with a blue information icon. Below the title, there are two grey boxes. The first box contains the text "Review Outcome: Management Plan Required". The second box contains the text "Follow-up Due: 07/24/2015" followed by a calendar icon.

The **Review process summary** table section is next, beneath the **Outcome** section. If this is the first round of review for the conflict match, this table is blank. Later, if a match needs to be reviewed again after a response to management strategies is received, this table populates with information from the previous round of review.

Round Number	Review Process	Meeting Date	Date Received	Date Completed
No Review history for this review.				

The **Personnel to Receive Notification** section is next, beneath the **Review process summary** section. Here, it is possible to specify a user or users to receive the management plan or outcome letter. The system auto-populates the Covered Person and flags them as “Response Required” if the outcome is to send a Management Plan. If the outcome is approved, the Covered Person defaults as the primary recipient.

Response Required	Name
<input checked="" type="checkbox"/>	Ron Dix, M.D.

Click the **Add Personnel** button to add more recipients for the Management Plan Letter and/or Outcome Letter. The **Search User Directory** page opens, enabling user lookup and selection. Search and find the user, then click the **Select User** icon (green checkmark in the **Select User** column).

The screenshot shows the "Search User Directory" page. At the top, there are search fields for "Last Name: Harp", "First Name:", and "by Department: All Departments". A "Find" button is visible. Below the search fields, there is a table with the following data:

Check for Multiple	Select User	Training	User Name	Department	Email
<input type="checkbox"/>	<input checked="" type="checkbox"/>		Harper, Jill M, M.D., PhD		JHarp@msc.edu

Back on the **Outcome Sent** tab, the user is added to the table of **Personnel to Receive Notification** section.

Conflict of Interest – Match Processing iRIS™ v12.01

	Response Required	Name
	<input checked="" type="radio"/>	Ron Dix, M.D.
	<input type="radio"/>	Jill M Harper, M.D., PhD

More than one user can be selected to receive the letter when saving the Outcome Sent tab, but a response is only *required* from one user. This means that the system creates a task on that user’s home page allowing them to respond to the management plan. Any other user listed here receives a notification from the system, but not a task. It is typical to indicate that the response is required of the Covered Person.

Remove a user from the table by clicking the corresponding **Delete** icon for the user in the far left column.

Any Management Plan documents created in the **Outcome Letter** tab populate in the **Management Plan Document** area. Click the **Attach to Response E-Mail** checkbox next to the document to include it in the response.

Attach to Response E-mail	Management Plan
<input type="checkbox"/>	COI/C Notification

Any Response Letters created in the **Outcome Letter** tab populate in the **Response Letter** area. Click the **Attach to Response E-Mail** checkbox next to the document to include it in the response.

Attach to Response E-Mail	Response Letter
<input type="checkbox"/>	Conflict Approved

If the Management Plan or Outcome Letter has been sent from the **Management Plan / Outcome Letter** tab it is no longer possible to attach the item to the response being sent back to the Covered Person.

The last section on the **Outcome Sent** tab is **Email Notification**. Select a template from the **Email notification template** drop down list.

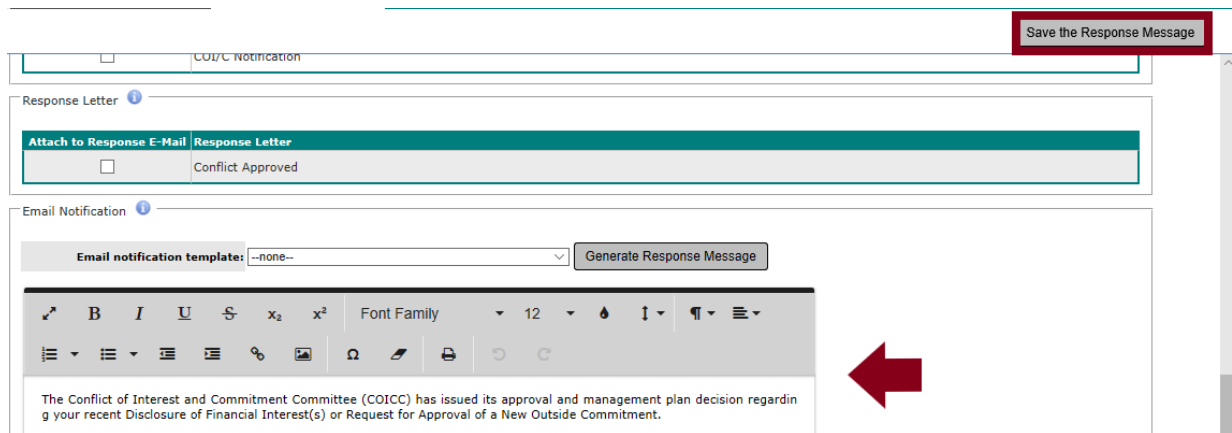
The templates in this drop down list are configurable and are set up under Review Board Administration > Review Board Notification Setup > Response Notifications. There is no limit to the number of templates that can be added, but only one can be selected to generate a response message for each match.

Email notification template: COI/C Notification Generate Response Message

After selecting a template from the list, click the **Generate Response Message** button. The rich text editor opens, containing the contents of the selected template. This template can contain merge codes to pull in information related to the specific match being processed.

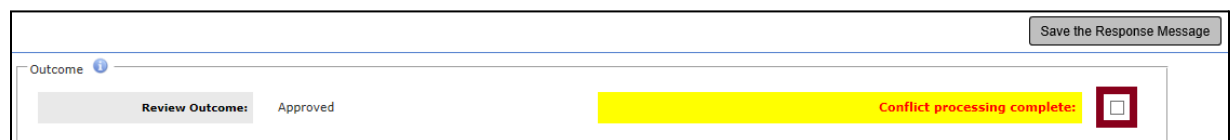
Conflict of Interest – Match Processing iRIS™ v12.01

The text pulled in with the template can be modified as desired in the text editor.



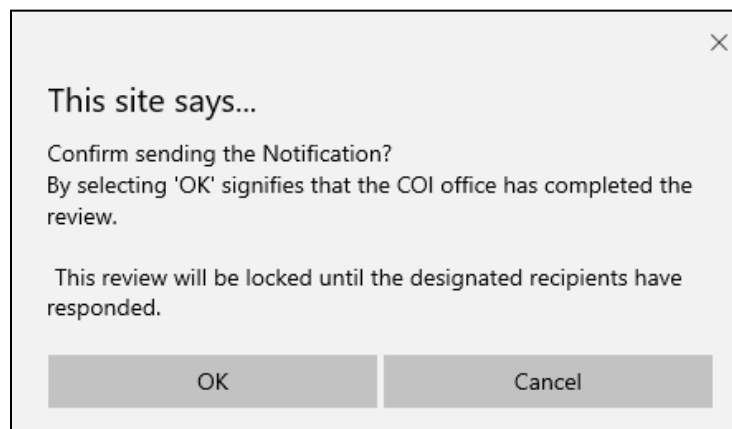
The screenshot shows the 'Conflict of Interest Match Processing' interface. At the top right, a red box highlights the 'Save the Response Message' button. Below this, the 'Response Letter' section contains a table with columns 'Attach to Response E-Mail' and 'Response Letter'. The first row has a checkbox and the text 'Conflict Approved'. Below this is the 'Email Notification' section, which includes a dropdown for 'Email notification template' (set to '--none--') and a 'Generate Response Message' button. A rich text editor is visible below, with a red arrow pointing to it. The editor contains the text: 'The Conflict of Interest and Commitment Committee (COICC) has issued its approval and management plan decision regarding your recent Disclosure of Financial Interest(s) or Request for Approval of a New Outside Commitment.'

When changes (if any) to the notification are complete, click the **Save the Response Message** button at the upper right of the page. The response can now be completed back in the **Outcome** section at the top of the **Outcome Sent** tab.



The screenshot shows the 'Outcome' section. At the top right, the 'Save the Response Message' button is visible. Below it, the 'Review Outcome' button is shown with the text 'Approved'. To the right, a yellow banner displays the message 'Conflict processing complete:' followed by a red-bordered square icon containing a white 'OK'.

A confirmation prompt message dialog appears, as shown below.



The dialog box is titled 'This site says...' and contains the following text: 'Confirm sending the Notification? By selecting 'OK' signifies that the COI office has completed the review. This review will be locked until the designated recipients have responded.' At the bottom, there are two buttons: 'OK' and 'Cancel'.

Click **OK** to send the response. Click **Cancel** to return to the **Outcome Sent** tab without sending the response.

The system attaches any Management Strategies and the Outcome Letter to the email template generated by the system. The email is sent to anyone selected in the **Personnel to Receive Notification** table. The conflict match is then locked against further edits.

If a Management Plan is listed as required in the applicable Outcome tab, a new **Management Plan Response** tab populates beneath the **Outcome Sent** tab (see the Management Plan Response section of this manual).

Conflict of Interest – Match Processing iRIS™ v12.01

If the conflict match is approved, the pages are set to read-only and the review is complete in the system.

Note: In some cases, it is possible to undo the completion of the conflict match: if the match is assigned to a full board review and the meeting minutes for that meeting date have not been finalized, or if the conflict match has been processed as Expedited or as Administratively Processed, it is possible to deselect the **Conflict Processing complete** checkbox. Setting the match back to an editable state should only be used when absolutely necessary, because the applicable letters and response message is again bundled and sent to selected recipients when the checkbox is again marked as complete.

Management Plan Response

When the Covered Person has replied to the Management Plan Response, the assigned Analyst receives a Conflict Response Complete task on their home screen.

Opening this task opens the **Management Plan Response** tab for the conflict match.

The screenshot displays the 'Management Plan Response' tab. On the left is a sidebar with the following menu items: Match Summary, Internal Documents, Review Assignment, Correspondence, Review Checklist & Comments, Review Discussion, Outcome, Management Strategies, Internal Routing, Management Plan & Outcome Letter, Outcome Sent, and Management Plan Response (highlighted). The main content area is divided into two sections. The top section, 'Management Response', contains a list item: '1. You will need to sell all of your stocks.' followed by a question: '* Do you accept the Management Strategy? (provide explanation)'. Below this, the response is 'Response: Yes' and the detail is 'Response Detail: The stocks will be sold prior to study launch'. The bottom section, 'Conflict Resolution', features a 'Status Conflict:' label and three radio buttons: 'Yes it can be closed' (selected), 'No still in progress', and 'No must be reviewed again'. A 'Process Response from COI Response' button is located in the top right corner of the main content area.

This page summarizes the response from the Covered Person in the Management Response table. Any Management Strategies are listed, along with the Covered Person’s response to each strategy and any details provided.

After reviewing the Covered Person’s response, it is possible to specify how to further process the match review in the **Conflict Resolution** section (shown in screenshot above). If the response from the Covered Person is satisfactory, select the first radio button, “Yes it can be closed.” If more time is needed to review the response, leave the selection for “No still in progress” in place. If further processing is needed for the conflict match, select the “No must be reviewed again” option. After a selection is made, click the **Process Response from COI Response** button to complete processing.

If a status of “Yes it can be closed” is selected for the match, the system closes out processing for this match review. No further action is necessary.

If a status of “No still in progress” is selected for the match, processing remains in the Management Plan Response tab until status for the match item is updated.

If a status of “No must be reviewed again” is selected for the match, the system reopens the match for a new round of reviews in the **Match Summary** tab of a new review round (shown in screenshot below).

Conflict of Interest – Match Processing iRIS™ v12.01

Conflict of Interest		Match Review for Covered Person Xugen Pham, M.D.	
My Workspaces	Covered Person: Pham, Xugen, M.D. Match Object Number: 000340 Review Round Number: 2		Back

Match Summary	
Internal Documents	
Review Assignment	

List of Match Object(s) for Review	
Interest 1	Interest 2
Show Form:	Show Form:
Covered Person's Name: Pham, Xugen, M.D.	Covered Person's Name: General Hospital
Reported Interest Type: Financial Interest	Reported Interest Type: Financial Interest
Reported Interest Third Party: 3-M Pharmaceuticals	Reported Interest Third Party: 3-M Pharmaceuticals
Business Status: In Database, not white- or blacklisted, Subrecipient	
Reported Role: KDM - Not a Board Member	Reported Role:
Reporting Action: Individual Annual Reporting Form	Reporting Action: Study Application
Date Submitted: 05/16/2019 11:28:40 AM PDT	Date Submitted: 04/03/2019 3:34:05 PM PDT
Interest Ref Number: 000636	Interest Ref Number: 000551
	Protocol Number: IRB-19-122
	Study Status: Open

Alternatively, the match review can be looked up by Reference Number in the Assigned tab of the Document Management dashboard.

When a match review is opened, it loads in the **Match Summary** tab.

At the top of the page in the example above, the **Review Round Number** reads “2”, meaning this is the second round of review for this Conflict Match.

The match review processing can continue as needed via the **Review Assignment** tab by assigning a review process and reviewers if needed.

In that case, processing continues from here as with the first round of review.

Upload Evidence to Management Plan Response Task / View from Board Side

Covered persons can now view a **Form Name** associated with the COI task the user has been sent by the COI Analyst at the top of the page under **Matched Object Number/Group Name**, and a **Show Form** button has been added to provide the Covered Person with access to the original form screen associated with the task.

Also, a new upload document table has been added to the Management Plan Response page to enable the Covered Person to upload evidence of a conflict response when applicable.

Documents uploaded by the covered person display as a read only table when viewed by the COI Analyst, enabling the Analyst to view evidence documents while processing responses.

Conflict of Interest – Match Processing iRIS™ v12.01

My Workspaces Conflict of Interest Forms **Management Plan Response** Back

Return Management Plan Response

Response to Conflict of Interest Management Plan: Admin Admin admin, B.S. Brig. Gen.

Matched Object Number/Group Name: 004458

Form Name: Annual COI Form Show Form

Management Plan Document

Click to open the Management Plan	Management Plan Title
	Management Plan

Management Strategies

Plan Document

1. Protocol 3G

* Do you accept the Management Strategy? (provide explanation)

—none— Details ... Add Document

Management Plan Response					
Upload Evidence (If Applicable):	Remove	View Document	File Name	Date	Description
			COI Management Plan Doc	02/03/2020	Response to COI Management Plan Doc

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

User ID:

Password:

If the COI Office/analyst sends a response to a user’s COI submission, the user receives a task on their home page under the Respond to Conflict Management Plan group as shown in the screenshot below.

All Tasks Outstanding Completed Task List: All

11266 result(s) found... 1 - 100

Click to open	Task Type	Date Received	Description
	Animal Schedule - Overdue Task	07/20/2020 04:10 AM PDT	Animal Schedule - Service: Computer maint
	Animal Schedule - Overdue Task	07/18/2020 04:06 AM PDT	Animal Schedule - Service: Computer maint
	Respond to Conflict Management Plan - View Details	07/17/2020 11:15 AM PDT	COI Committee Committee 1 returned the submission with the outcome of Management Plan
	Respond to Conflict Management Plan - View Details	07/17/2020 09:36 AM PDT	COI returned the submission with the outcome of Management Plan
	Waiting Submission	07/16/2020 12:29 PM PDT	Initial Review Submission Form Real is waiting to be submitted

Clicking on the task opens the **Management Plan Response** page, which lists **Management Plan Document(s)** (including any Outcome Letter generated) and **Management Strategies**.

When the Covered Person has replied to the Management Plan Response, the assigned Analyst receives a Conflict Response Complete task on their home screen. Opening this task opens the **Management Plan Response** tab for the conflict match (shown in screenshot below).

Conflict of Interest – Match Processing iRIS™ v12.01

My Workspaces ☑ Covered Person: Admin s Mr, Brig. Gen.
Match Object Number: 004458
Review Round Number: 1 COI Match Review for Covered Person Admin s Mr, Brig. Gen. Back

Covered Person Submission History Process Response from COI Response

Match Summary
Internal Documents
Review Assignment
Correspondence
Review Checklist & Comments
Review Discussion
Outcome
Management Strategies
Internal Routing
Management Plan & Outcome Letter
Outcome Sent
Management Plan Response

Management Response ?

1. awefaeEC
* Do you accept the Management Strategy? (provide explanation)
Response: Response Detail:

File Name	Description	Date	View the Document
COI Management Plan Document	Response to COI management plan doc	02/03/2020	
COI Management Plan Document Revision	Edited version of the management plan	05/03/2020	

Conflict Resolution ?

Status Conflict: Yes it can be closed No still in progress No must be reviewed again

The screen above summarizes the response from the Covered Person in the Management Response table. Any Management Strategies are listed, along with how the Covered Person responded to each strategy and any details provided.

After reviewing the Covered Person's response, the Analyst can specify how to further process the match review in the Conflict Resolution table depending on the response of the Covered person.

After the right selection has been made, the Analyst clicks the **Process Response from COI Response** button.

If the status of the conflict is closed, the system closes processing for the match review.

COI Management Plan Follow Up

Management Plan Follow Up

Beginning with iRIS™ version 12.01 it is possible to configure the system to automatically send a Management Plan Follow-up Task/Form to a Covered Person a specified number of days after a Matched Object is closed under the Management Plan Response link.

A "Management Plan Follow-up" form type has been created to be generated by the system the specified number of days after the Matched Object is closed. The Management Plan Follow-up Form includes access to the original management plan(s), response(s), and any applicable outcome letter(s).

When the user selects the "Yes it can be closed" radio button under the **Conflict Resolution** box within the **Management Plan Response** link, a new **show/hide** logic field appears under the Status Conflict field called **"Send Management Plan Follow-up Task/Form"** (shown in screenshot below).

Conflict of Interest – Match Processing iRIS™ v12.01

My Workspaces | Covered Person: Admin Admin admin Mr, B.S. Brig. Gen. | Match Object Number: 004459 | Review Round Number: 1 | COI | Match Review for Covered Person Admin Admin admin Mr, B.S. Brig. Gen. | Back

Covered Person Submission History | Process Response from COI Response

Match Summary

Internal Documents

Review Assignment

Correspondence

Review Checklist & Comments

Review Discussion

Outcome

Management Strategies

Internal Routing

Management Plan & Outcome Letter

Outcome Sent

Management Plan Response

Management Response

1. Test 123
 * Do you accept the Management Strategy? (provide explanation)
 Response: Yes Response Detail: Sent from IRIS covid check 222

Uploaded Supporting Evidence Document(s):

File Name	Description	Date	View the Document
No Supporting Evidence Document has been added.			

Conflict Resolution

Status Conflict: Yes it can be closed No still in progress No must be reviewed again

Send Management Plan Follow-up Task/Form: Yes No

When “Yes” is selected for **Send Management Plan Follow-up Task/Form**, a new field populates beneath it (shown in screenshot below) to indicate the number of days after the matched object is closed to send the Management Plan Follow-up Form. The field pre-populates from the number of days configured in the COI Follow-up Report notification type (under RBA > Notifications > Conflict of Interest Follow-up Report Notifications Setup link), but allows the user to override the number of days if desired. *See the COI – Notifications manual for more information about the new COI Follow-up Report notification.*

My Workspaces | Covered Person: Admin Admin admin Mr, B.S. Brig. Gen. | Match Object Number: 004459 | Review Round Number: 1 | COI | Match Review for Covered Person Admin Admin admin Mr, B.S. Brig. Gen. | Back

Covered Person Submission History | Process Response from COI Response

Match Summary

Internal Documents

Review Assignment

Correspondence

Review Checklist & Comments

Review Discussion

Outcome

Management Strategies

Internal Routing

Management Plan & Outcome Letter

Outcome Sent

Management Plan Response

Management Response

1. Test 123
 * Do you accept the Management Strategy? (provide explanation)
 Response: Yes Response Detail: Sent from IRIS covid check 222

Uploaded Supporting Evidence Document(s):

File Name	Description	Date	View the Document
No Supporting Evidence Document has been added.			

Conflict Resolution

Status Conflict: Yes it can be closed No still in progress No must be reviewed again

Send Management Plan Follow-up Task/Form: Yes No

Send Management Plan Follow-up Task Form In: 18 Days after Matched Object is closed

When the nightly thread runs it identifies Matched Objects closed the specified number of days from the current date. If “Yes” was selected for **Send Management Plan Follow-up Task/Form** on a given item, either a Task/Form is sent to the Covered Person (shown in screenshot below) **OR** a Follow-up Form/Task date populates in the database the specified number of days from date closed when the status of the Matched Object is closed and saved.

Conflict of Interest – Match Processing iRIS™ v12.01

Click to open	Task Type	Date Received	Description
<input type="checkbox"/>	Reviewer Assignment	08/11/2020 03:34 PM PDT	Admin Admin admin, B.S. Brig. Gen. has been assigned as the Primary for an Administrative Review on the Initial Review Submission Form Recd, assigned by Admin A admin, B.S. Brig. Gen.
<input type="checkbox"/>	Animal Schedule - Overdue Task	08/11/2020 04:07 AM PDT	Animal Schedule - Service: Treatment 22323
<input type="checkbox"/>	Submission Response	08/10/2020 11:37 AM PDT	IRB Board returned the submission with the outcome of Approved Pending, assigned by Admin A admin, B.S. Brig. Gen.
<input type="checkbox"/>	Animal Schedule - Overdue Task	08/08/2020 04:07 AM PDT	Animal Schedule - Procedure: Bandage Replacement
<input type="checkbox"/>	Conflict of Interest - Management Plan Follow-up Task/Form	08/08/2020 04:07 AM PDT	Admin Admin admin, Brig. Gen. has been assigned a Management Plan Follow-up Task/Form
<input type="checkbox"/>	Conflict of Interest - Review Assignment	08/07/2020 01:22 AM PDT	Admin Admin admin, B.S. Brig. Gen. has been assigned as the subject on the Conflict of Interest Match.
<input type="checkbox"/>	Submission Routing Signoff	08/07/2020 11:13 AM PDT	Admin Admin admin, B.S. Brig. Gen. as Principal Investigator review and apply signoff, assigned by Admin A admin, B.S. Brig. Gen.
<input type="checkbox"/>	IACUC DMR/FCR Polling Task Assignment	08/07/2020 09:30 AM PDT	Admin Admin admin, B.S. Brig. Gen. has been assigned to submit IACUC polling vote by
<input type="checkbox"/>	IACUC DMR/FCR Polling Task Assignment	08/07/2020 09:48 AM PDT	Admin Admin admin, B.S. Brig. Gen. has been assigned to submit IACUC polling vote by

When “Yes” is selected for “**Send Management Plan Follow-up Task/Form**” and the **Process Response from COI Response** option is also selected, the system automatically sends the Covered Person a Conflict of Interest Follow-up Report Notification and subsequent reminders (where applicable) in the number of days specified in the COI Follow-up Report notification / reminder.

After a Management Plan Follow-up Task/Form is submitted, it can be attached to the original Matched Object that triggered it. When the user responds to a **Management Plan** by selecting the “**Yes it can be closed**” option and also selects “**Yes**” for the **Send Management Plan Follow-up Task/Form**” option, a new **Management Plan Follow-up Task/Form** link populates under the Management Plan Response link. A Response Letter can be added and sent to the Covered Person, as well as additional recipients, under the Management Plan Follow-up Task/Form link.