This comprehensive documentation details the integrated governance and operational framework for the **Conflict of Interest (COI) system** and the **Project Resource Management System (PRMS)**, incorporating all source materials and meeting notes 1-3.

1. Core System Architecture and Objective

The primary objective of this solution is to ensure that **no proposal or engagement letter is issued or signed** without a documented, approved, and systematic COI review 4-6. The architecture establishes a **mandatory sequential relationship** where the COI system serves as the **upstream gatekeeper**, and its successful completion is a prerequisite that **authorises project creation** in the PRMS 7-9.

- **COI System (Governance):** A separate application dedicated to pre-engagement vetting, automated conflict detection, and multi-layered authorisation 4, 10, 11.
- **PRMS (Operations):** The existing system containing **Client Master Data** used for post-engagement management, including resource allocation, timesheet tracking, and billing 4, 5, 12, 13.

2. End-to-End Business Process Flow

Phase 1: Initiation and Data Vetting (Pre-Proposal)

1. **Manual Initiation:** The process begins after a quote is drafted manually using external tools; the COI system does not build the quote but captures the **finalised scope and price** 1, 10, 14, 15.
2. **Request Initiation:** A Director or authorised team member initiates the request, selecting the client from a dropdown list pulled from the **PRMS records** 16-19.
3. **Mandatory Data Entry:** The system enforces strict data capture, including the service description, **full ownership structure**, and **Public Interest Entity (PIE) status** 17, 20-22.
4. **Conditional Requirements:** The "Ultimate Parent Company" field is mandatory only for **International**, **PIE**, or **Potential** clients 17, 23-25.
5. **Automated Validation:** The system uses **fuzzy matching** and duplication filters to check for existing active proposals or engagements for the entity, its parent, or its subsidiaries 11, 17, 26, 27.
6. **Submission Blocking:** If a duplicate is found, the system **blocks the submission** unless a formal justification is provided for compliance review 11, 17, 26, 28, 29.

Phase 2: Sequential Authorisation

1. **Compliance Review:** The Compliance Department evaluates the request, with the ability to **Approve, Reject, or request More Information** 30-33.
2. **Global Clearance:** If "International Operations" are identified, an additional tab is activated, and **Global independence clearance is mandatory** 20, 34-36.
3. **Partner Approval:** After Compliance clearance, the **Assigned Partner** provides final business authorisation via a one-click dashboard 30, 31, 37, 38.
4. **Financial Coding:** Approved requests move to the Finance Team to assess credit risk and **automatically generate** a unique **Engagement/Finance Code** (e.g., ENG-2025-TAX-00142) 31, 37, 39, 40.

Phase 3: Proposal Execution and Monitoring

1. **Execution:** The Admin Team prepares and sends the proposal, recording the execution date to start a **30-day monitoring window** 39, 41-43.
2. **Alert Management:** Reminders are sent to the requester, Admin, and Partner every 10 days 32, 41, 43, 44.
3. **Validity and Lapses:** If no client confirmation is received within 30 days, the request **automatically lapses** and is closed; a new COI is required for further action 36, 41, 44, 45.
4. **Extension Requests:** Any request for extension beyond 30 days requires **documented justification** for review Meeting Notes.

Phase 4: Pre-Engagement and PRMS Handoff

1. **Engagement Activation:** Upon client approval, the Admin updates the status to **Active** and prepares the formal Engagement Letter 44, 46-48.
2. **Mandatory ISQM Forms:** The **Client Screening Questionnaire** and **New Client Acceptance checklist** must be filled and attached during this phase 34, 46, 49.
3. **PRMS Initialisation:** The Engagement Code is sent to the PRMS via API to permit project creation 7, 46, 50.
4. **Validation Block:** PRMS validates the code against the COI authorisation table; **project creation is blocked** if an invalid or missing code is entered 29, 46, 50, 51.

Phase 5: Post-Engagement Management (PRMS)

1. **Project Identification:** Project IDs are **auto-generated using BDO logic**, referencing the Service Year 3, 52, 53.
2. **Resource Management:** Tasks and Teams are created independently and later **mapped to the project** in a dedicated area 52, 54, 55.
3. **Operational Controls:** Timesheet entry is **blocked after the project's targeted end date** unless a revision is approved 52, 55-57.
4. **Renewal Monitoring:** Every active engagement activates an **automatic 3-year renewal alert**, with 90 days' notice sent to the Admin and Partner 44, 46, 47, 58, 59.

3. Data Segregation and Role-Based Access Control (RBAC)

To maintain integrity, the system enforces strict **data segregation** between different auditors serving the same client 60.

- **Requesters (Auditors/Directors):** Access is restricted to a **"My Requests" view**; they see only their submitted files and client details fetched from the PRMS Client Master 50, 61.
- **Compliance Team:** Provides a full COI review workspace but is **strictly blocked from viewing commercials** or pricing information 50, 61.
- **Finance Team:** Responsible for managing the **Engagement Code module**, credit risk assessment, and financial parameter entry 37, 58, 61.
- **Assigned Partners:** Provided with a **One-Click Dashboard** to track all active/past proposals, COI decisions, and upcoming 3-year renewals 58, 61, 62.
- **Super Admins:** Possess unrestricted access to all historical data, commercials, and cross-team submissions 61.

4. Key System Features and Data Integration

- **API Connectivity:** The COI system reads from the PRMS Client Master to ensure **no duplication of client data** and **no free-text names** 14, 16, 29, 50, 63.
- **Reporting:** Comprehensive reports are available by **client, team, and stage**, including tracking for **proposal-to-engagement conversion ratios** 13, 26, 209, Meeting Notes.
- **Audit Trail:** Every action from initiation to final execution is logged in a **centralised audit trail** 45, 64-66.
- **Fuzzy Matching:** Implemented to detect similar entity names during the initiation phase 11, 67, 68.

Analogy for System Integration: The system operates like a **Commercial Flight Clearance**. The **COI system** represents **Security and Passport Control**; you must provide exhaustive documentation (ownership, PIE status) and clear the background check (conflict vetting) before you are granted a **Boarding Pass** (Engagement Code). The **PRMS** is the **Aircraft**; the crew (teams) and flight plan (tasks) can be prepared, but the gate agent (the system) will **block your entry** until your Boarding Pass is scanned and verified as valid for that specific journey.