



Financial Conflict of Interest Manual

Revised October 2020

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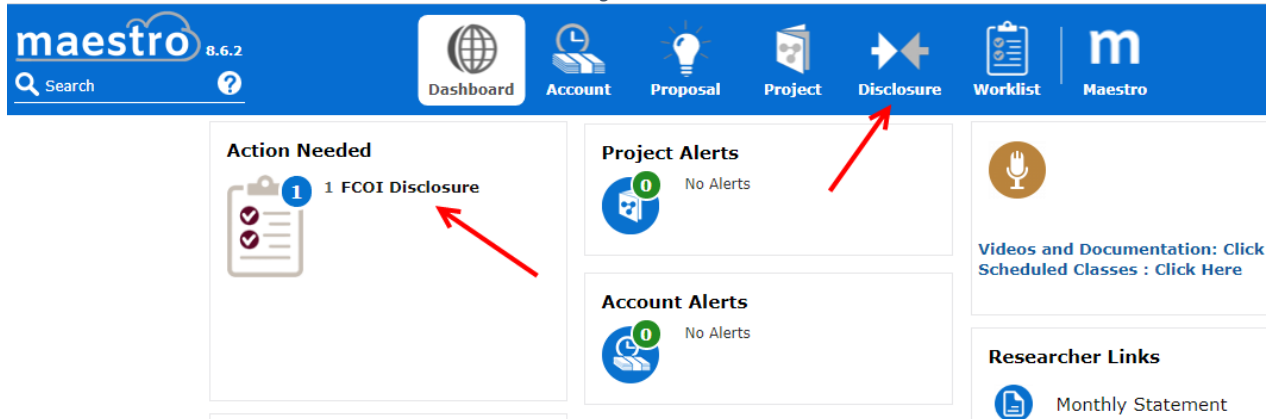
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I Researcher Role

Researchers are required to submit a Financial Disclosure to their employers on a yearly basis for review and potential conflict resolution. They can create a Financial Disclosure by clicking on the Disclosure icon on the Home page or by navigating to their pending disclosure listed in the Action Needed section of the Worklist.

1. Create Disclosure from Maestro Home

Figure 1



Path: Home → Disclosure (Figure 1)

1.1 PURPOSE

- The purpose of this screen is to navigate to the create disclosure screen. If user already has a disclosure created, it will open the existing disclosure for editing. If none exists, a new disclosure will be created.
- User navigates to the Financial Disclosure Screen where user gets option to specify whether there is a Significant Financial Interest or not (Figure 2).
- Based on the Actions, the user will be navigated to respective screen.

1.2 RULES

The user must have a researcher role to create a disclosure.

Figure 2

Disclosures (Tye Rougas)

Financial Disclosure

System Regulation 15.01.03

Please be sure that you have obtained approval for this activity as required by the Faculty Consulting and External Employment regulations (System Regulation 31.05.01, System Regulation 31.05 and Texas A&M Rule 31.05.01.M01) and Conflict of Commitment (Texas A&M SAP 15.99.99.M0.02). If you have any questions regarding these requirements, please contact your COI Official.

Do you have any significant financial interest (SFI)?

☒ Yes ☐ Certify No SFI

Researcher's Certification

I certify that the information provided is true and correct to the best of my knowledge. I further certify that I have read System Regulation 15.01.03 Financial Conflict Of Interest in Research and the applicable system member rule and that I am aware of and understand my responsibilities and applicable federal regulations and system policies regarding disclosure of Significant Financial Interests.

What is Significant Financial Interest (SFI)?

For purposes of the required disclosures, a Significant Financial Interest (SFI) is anything of monetary value (e.g., stocks, bonds, ownership interest), held or received by the Investigator or a Covered Family Member during the preceding 12 months if the aggregate value of the item(s) held or received exceeds \$5,000.

Examples of an SFI include:

- Stock; Stock Options; Bonds
- Gifts in excess of \$250
- Equity or ownership interests
- Intellectual Property
- Consulting Fees
- Royalty Interests
- Honoraria
- Sponsored travel
- Any fiduciary position in a for-profit or non-profit entity held by an Investigator or Covered Family Member

An SFI does NOT include:

- The salary you receive from a member of The Texas A&M University System
- Any intellectual property rights assigned to a member of the A&M System and agreements to share in royalties related to such rights; income received from investment vehicles such as mutual funds or retirement accounts (unless the Investigator or Covered Family Member directly controls the investment decisions made in these vehicles)
- Income from service on an advisory committee or review panel for a local, state or federal government agency or an institution of higher education; or sponsored travel if sponsored or reimbursed by a local, state or federal government agency or an institution of higher education.

Examples:

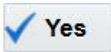
Name Of Family Member Covered	Source/Company Name	Description (ie: stocks, sponsorship)	Value (in whole \$)	Notes	Research Links	Link Research (Optional)
Jan Researcher	IBM	Stocks	5,000			Link Research
John Researcher	Research Inc	Bonds	2,000			Link Research

1.3 NOTES

User has two options: 2) specify “Yes” and then create the SFI (Significant Financial Interest), or 2) “Certify No SFI” (Significant Financial Interest)”.

1.4 ACTIONS

Figure 3

Actions	Description
	By clicking on this Action, user confirms that there is a significant financial interest and user is navigated to the Significant Financial Interest Screen.
	By clicking on this Action, user confirms that there is no significant Financial Interest and immediately gets confirmation that the disclosure is submitted successfully.

2. Create Significant Financial Interest

Figure 4

Significant Financial Interest (SFI) - Disclosure # (85342) ▶ Next Step COI Contact Save Cancel

System Regulation 15.01.03

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Click the help button for more help.

Please review the list below and add any other significant financial interests by clicking 'Create SFI' button in the action menu and filling in the details provided.
For column **Description** select option that describes financial item. If none of the options provided describe item accurately then select option *Other - Explanation in Notes* and update column **Notes**.
(Optional) Click 'Link Research' hyperlink in the last column to link your research to this SFI.

Researcher's Significant Financial Interest Related To Institutional Responsibilities (as defined in System Regulation 15.01.03) ?

Action ▾ View ▾ **Create SFI** Remove SFI Detach

Name Of PI/Family Member Covered	Source/Company Name	Description	Value (in whole \$)	Research Links	Link Research (Optional)	Notes
No data to display.						

Columns Hidden: 4

Please add any Conflict Resolution Plans or other supporting documents here.

Conflict Resolution Plan Attachments ?

Action ▾ View ▾ **Upload** Download Delete Detach

Document	Uploaded By	Time Uploaded	Notes
No data to display.			

Columns Hidden: 4

▶ Next Step COI Contact Save Cancel

2.1 PURPOSE

- The purpose of this screen is to create the Significant Financial Interest.
- Create SFI** Inserts a blank row for the user to enter SFI information.
- User can specify PI Name /Family Member Covered, Company Name, Description of the related entity and the value of the entity.
- User can create multiple SFI's in the table.
- Once the information has been entered, user can also link their existing research to the SFI using the "Link Research" hyperlink.
- User can upload SFI related Conflict Resolution Plans or documents.
- All features are explained briefly in Figure 5.

2.2 RULES

Name of PI/Family Member Covered and Source Company Name are required fields.

2.3 ACTIONS

Figure 5

Actions	Description
Remove SFI	This Action removes the selected SFI from the Researcher's Significant Financial Interest Related to Institutional Responsibilities table (figure 4).
Create SFI	This Action has been described in the section 2.1
Upload	This Action is used to upload any documents which are related to conflict resolution or any supporting documents. User can find this action

	under Conflict Resolution Plan Attachments table (figure 4).
 Download	This Action is used to download the file, if any, selected in the Conflict Resolution Plan Attachment table (figure 4).
 Delete	This Action is used to delete the selected document in Conflict Resolution Plan Attachment table (figure 4).
 Next Step	This Action takes the user to the next screen where they 'Certify and Submit' their disclosure.
 COI Contact	This action lists the users Conflict of Interest Official(s) to contact regarding any information about COI or their disclosure.
 Back	This action takes the user back to the previous screen.
 Save	This action saves the details entered by the user on the SFI screen.
 Cancel	This action undoes all changes and reverts the screen to its previous state.

- Once user clicks on  **Next Step** , they can certify the information and click Submit.

Figure 6

Certification

 **Certify and Submit**
 **COI Contact**
 **Print**
 **Back**

System Regulation 15.01.03

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Researcher's Certification

I certify that the information provided is true and correct to the best of my knowledge. I further certify that I have read System Regulation 15.01.03 Financial Conflict Of Interest in Research and the applicable system member rule and that I am aware of and understand my responsibilities and applicable federal regulations and system policies regarding disclosure of Significant Financial Interests.

Disclosure Summary

Action View  **Export To Excel**   **Detach**

Name Of PI/Family Member Covered	Source/Company Name	Description	Value (in whole \$)	Notes	Research Links
No data to display.					

Columns Hidden: 4

 **Certify and Submit**
 **COI Contact**
 **Print**
 **Back**

In Figure 6, the user has the option to either certify the information provided or to go back and make appropriate changes before submitting. User can also print the respective disclosure. Actions are described briefly in Figure 7.

Figure 7

Actions	Description
 Certify and Submit	By clicking on this Action, user confirms that the information provided is true and certifies that it

	complies with all applicable system and federal rules and regulations.
 Print	This action will print the disclosure.
 Back	This action takes the user back to the previous screen.

- Once the Disclosure is created, user can view them in the Historical Disclosures Section. User also can create a new disclosure using **+ Create Disclosure** option. There is also a search feature to search for disclosures containing a particular Proposal or Project.
- If user clicks on the Disclosure Number hyperlink (Disclosure #), then the user will navigate to the Significant Financial Interest Screen for that disclosure.
- Figure 8 shows the My Disclosure Screen and the actions provided to the user to perform. All the actions are described in Figure 9.

Figure 8

Search

Research: Equals

Proposal / Project #: Contains

Basic Saved Search My Disclosures

Search Reset Save... Add Fields Reorder

Action View **+ Create Disclosure**  **Edit Disclosure**  **Remove Disclosure**    **Detach**

Disclosure #	Submit Date	Expiration Date	Need COIO Review	Review Status	Review Date	Active
90649	19-Aug-2020	19-Aug-2021	No			✓
87708	24-Jun-2020	24-Jun-2021	No			—
84244	30-May-2020	30-May-2021	No			—
84210	28-Feb-2020	28-Feb-2021	No			—
84088	26-Feb-2020	26-Feb-2021	No			—
84087	19-Feb-2020	19-Feb-2021	No			—

Figure 9

Action	Description
 Edit Disclosure	By clicking on this Action, user can edit the Significant Financial Interest information and documents that are related to SFI's.
 Remove Disclosure	By clicking on this Action, user can remove the disclosure.
 Create Disclosure	This Action is already described in section 2.1

3. Link Research to Disclosed Significant Financial Interest (optional)

Figure 10

Link Significant Financial Interest (Self - Apple - 13)

System Regulation 15.01.03

Please be sure that you have obtained approval for this activity as required by the Faculty Consulting and External Employment re 31.05 and Texas A&M Rule 31.05.01.M01) and Conflict of Commitment (Texas A&M SAP 15.99.99.M0.02). If you have any questions Official.

Research Or Research Activity (As Defined In System Regulation 15.01.03)					
Action ▾	View ▾				 Detach
Link	Research	Number	Title	Sponsor	Status
☐	Proposal	2004682	abcdef	3 Wire Engineering, LLC	
☐	Proposal	2004701	drtfyguhjkjkl	BEI Resources	
☐	Proposal	2004721	Demonstration of P...	3M Company	
☐	Proposal	2004881	test	National Science Foundation	
☐	Proposal	2004901	Expanding Stormw...	Texas Commission On Envi...	

3.1 PURPOSE

This screen allows the Researcher to link research proposals or projects to the selected SFI.

3.2 STEPS

- Select each research item that is related to this SFI by clicking the checkbox located in the link column.
- Click  **Save** to save changes.
- Click  **SFI List** to return to previous screen.