

Submitting and Revising SFI Disclosures

Federal guidelines and university policies aim to promote integrity in research as well as provide transparency where researchers may be seen to have a bias because of financial holdings they may have. In order to address these concerns, LSU researchers are obligated to disclose any potential Significant Financial Interests they may have. [Policy Statement 98](#) provides the guidelines under which these disclosures must happen.

LSU investigators must disclose any SFIs at the time they submit an application for any externally funded research grant program. Investigators must update their disclosures annually while they are participating in any active externally funded project. Investigators must also update their SFIs within 30 days of any significant changes in their SFI portfolio.

This document provides guidance on how to submit or revise an SFI disclosure in GeauxGrants

Login to GeauxGrants

GeauxGrants is accessed online through [myLSU](#) as well as the [GeauxGrants help desk](#). Login to the system using your myLSU ID and password. Once in the system, select “Conflict of Interest” from the left side menu to enter the COI module.

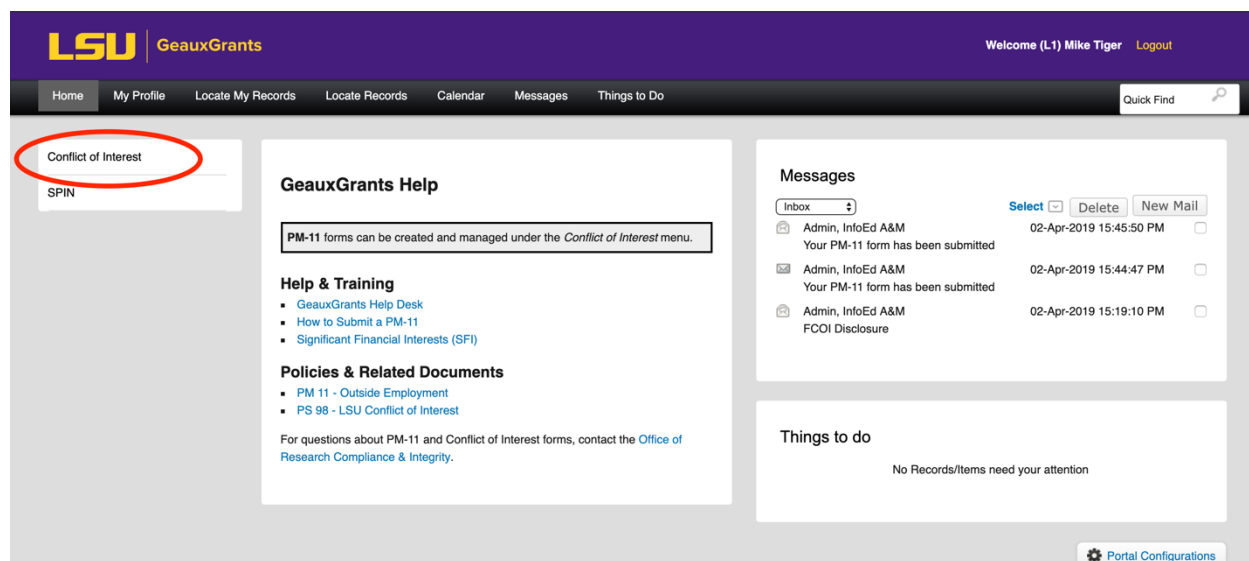


Figure 1 - GeauxGrants Landing Page

Navigate to Submit or Revise Disclosure

Select “Create/Update Disclosure” from the Conflict of Interest start page.

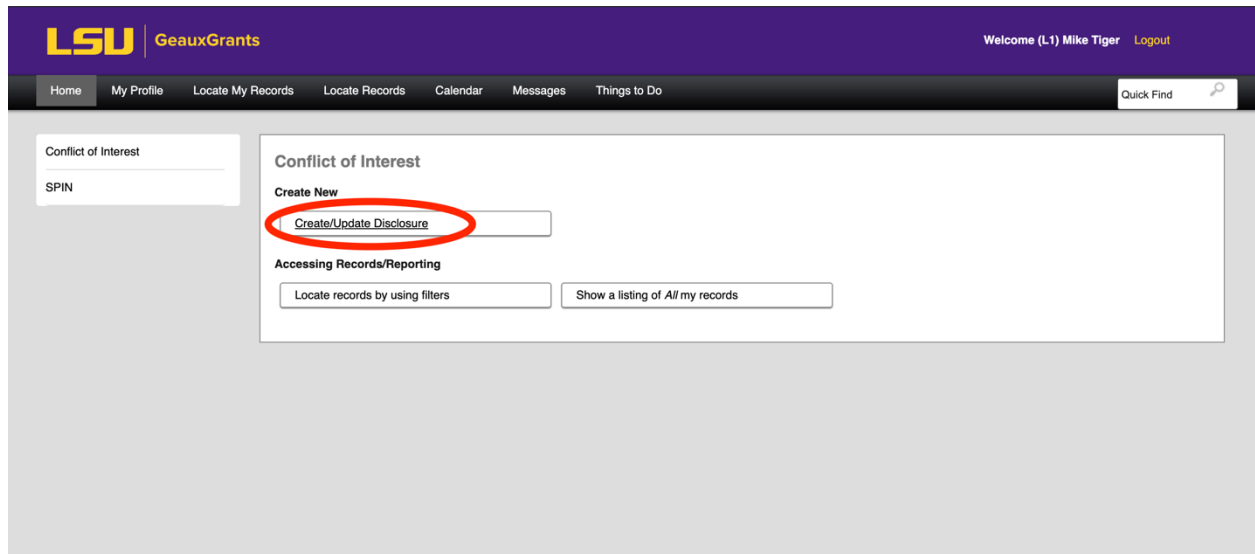


Figure 2 - Create New Disclosure

Select “New/Update” for Significant Financial Interest Disclosure Statement. This is required of all investigators who have an active grant account or who have applied for external funds to support their research, regardless of source.

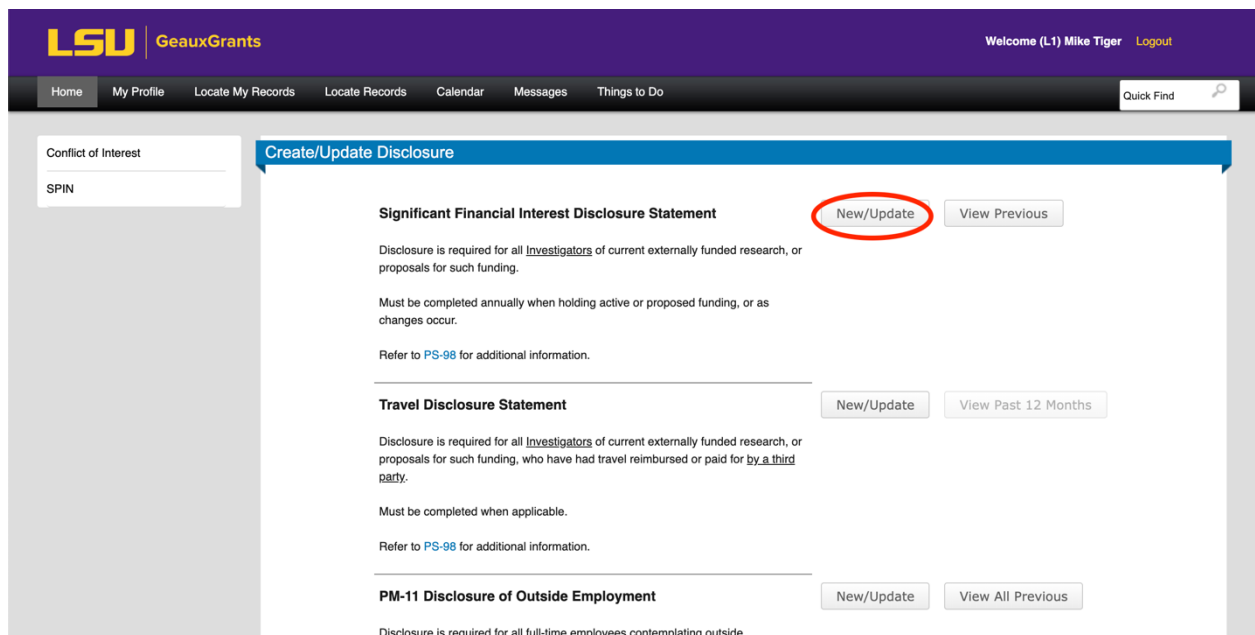


Figure 3 - New/Update Disclosure

Significant Financial Interest Questionnaire

The SFI Questionnaire walks you through the definitions used by LSU to describe what should and should not be disclosed in this process. Read the documentation carefully and contact the help desk if you have any questions about your responsibilities.

Significant Financial Interest means a financial interest of the Investigator and their Family that reasonably appears to be related to the Investigator's Institutional Responsibilities, and:

1. if with a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds \$5,000;
2. if with a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure exceeds \$5,000;
3. if with a non-publicly-traded company, is an equity interest of any value during the 12 month period preceding or as of the date of disclosure; or
4. is income related to intellectual property rights and interests not reimbursed through the Institution.

Significant Financial Interest also includes any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

Significant Financial Interest does NOT include:

1. salary, royalties, or other remuneration from the Institution;
2. income from the authorship of academic or scholarly works;
3. income from seminars, lectures, teaching engagements, advisory committees or review panels sponsored by or from U.S. Federal, state or local governmental agencies; U.S. institutions of higher education; U.S. research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; or
4. equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles.

For purposes of completing this disclosure, a **Family Member** means any member of your immediate family, specifically, any dependent children and spouse.

SFI DISCLOSURE STATEMENT

Figure 4 - SFI Definitions

Screening Questions

Your answers to the disclose screening questions will help guide you through any additional information that needs to be disclosed. They are generally self-explanatory, and you must respond yes or no to each question.

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LSU

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SFI DISCLOSURE STATEMENT

Screening Questions

External Relationships

Yes ☐ No ☐ * 1. During the past 12 months, did you or Family Member serve as director, trustee, officer or other key employee in a for-profit corporation, partnership, business or other entity outside of LSU?

Publicly Traded Company

Yes ☐ No ☐ * 2. Do you or a Family Member have a Significant Financial Interest in a publicly-traded company which in the past twelve (12) months, when aggregated, exceeds \$5,000 from the date of completing this disclosure form? This includes but is not limited to salary, consulting fees, expert witness fees, advisory board membership, and equity interests including stock or stock options.

Non-Publicly Traded Company

Yes ☐ No ☐ * 3. Do you or a Family Member have a Significant Financial Interest in a non-publicly traded company which in the past twelve (12) months, when aggregated, exceeds \$5,000 from the date of completing this disclosure form? This includes but is not limited to salary, consulting fees, expert witness, advisory board membership.

Yes ☐ No ☐ * 4. Do you or a Family Member have an equity interest including stock or stock options in a non-publicly traded company? Any equity interest, regardless of amount, must be disclosed.

Intellectual Property (IP)

Yes ☐ No ☐ * 5. Do you or a Family Member have rights to or receive income and/or royalties related to any intellectual property interests licensed to and/or owned by an outside entity (e.g. patents, copyrights, trademarks)? This does not include academic or scholarly work or intellectual property owned or managed by LSU.

Travel

Yes ☐ No ☐ * 6. Did you receive reimbursed or sponsored travel that was not processed through LSU's travel office in the past twelve (12) months from the date of completing this disclosure form? Travel that is reimbursed by a U.S. federal, state or local governmental agency, a U.S. institution of higher education, an academic teaching hospital, a medical center or a research institution that is affiliated with an institution of higher education DOES NOT have to be reported.

Figure 5 - Screening Questions

Identifying Entities

If you answer “Yes” to any of the screening questions, you must add the companies or entities which apply to your positive response. Type the name of the company in the **Entity** box, select the search result and press **ADD** to include it in your disclosure.

The screenshot shows the LSU Financial Interests disclosure form. At the top, there is a navigation bar with buttons: Back, Next, Close, Save, Complete (with a dropdown arrow), Submit, and Print. The LSU logo is on the left. A sidebar on the left contains links: INTRODUCTION, SFI DISCLOSURE STATEMENT, FINANCIAL INTERESTS (highlighted), CERTIFICATION, and ALL PAGES. The main content area is titled 'FINANCIAL INTERESTS' and contains instructions: 'You answered yes to questions 1 on previous page. You must now provide the details of each specific Significant Financial Interest.' and 'Included below are your previously disclosed financial interests. Please update as needed. If you no longer have a financial interest with the listed Entity, then click the Delete Entity link. If you no longer have a listed Activity/Interest with an Entity, click the Delete Activity/Interest link next to that interest.' Below this, it says: 'Please type in a few letters of the name of the entity that you have a financial interest to disclose and select the entity. Click the Add button. If the name does not appear, enter Not Found. Click the Add button, and then add the entity name in the box below. If you have financial interests with more than one entity, you will need to add each entity separately. If you have financial interests with more than one entity, you will need to add each entity.' There is a text input field labeled 'Entity' containing 'Gator' and a dropdown menu showing 'Gatorade(*)'. An 'Add' button is next to the dropdown. A red arrow points from the text 'Type name of company/entity here. The field will auto-complete if company is in our database. Select ADD' to the input field. At the bottom left, contact information for Louisiana State University is provided: Office of Research & Economic Development, 130 David Boyd Hall, Baton Rouge, Louisiana 70803, PHONE: 225-578-5833, FAX: 225-578-5963, and the email lsu.edu/research. At the bottom right, there are links for Help and Contact.

Figure 6 - Add Entity

If your **Entity** does not generate a search response, it is not listed in our entity database. Search for **Not Found**, select that result, and **ADD** to the disclosure. You can add up to three “Not Found” entities when you submit your disclosure. If you have more than three entities, contact the COI coordinator or the GeauxGrants help desk for assistance.

LSU

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Save

Complete ☐

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FINANCIAL INTERESTS

You answered yes to questions 1 on previous page. You must now provide the details of each specific Significant Financial Interest.

Included below are your previously disclosed financial interests. Please update as needed. If you no longer have a financial interest with the listed Entity, then click the Delete Entity link. If you no longer have a listed Activity/Interest with an Entity, click the Delete Activity/Interest link next to that interest.

Please type in a few letters of the name of the entity that you have a financial interest to disclose and select the entity. Click the button. If the name does not appear, enter *Not Found*. Click the button, and then add the entity name in the box below. If you have financial interests with more than one entity, you will need to add each entity separately. If you have financial interests with more than one entity, you will need to add each entity.

Entity

Not

Not found 2()

Not found()

National Center for Emerging and Zoonotic Infectious Diseases/CDC/DHHS

Not found 3(*)

Louisiana State University

Office of Research & Economic Development

130 David Boyd Hall

Baton Rouge, Louisiana 70803

PHONE: 225-578-5833 FAX: 225-578-5983

lsu.edu/research

Help

Contact

Figure 7 - Not Found entity

To add a new Entity, complete the basic entity information for that entity. It will be added to our database within 48 hours of your submission, and appear as an entity for future disclosures.

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Complete ☐

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INTRODUCTION

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FINANCIAL INTERESTS

You answered yes to questions 1 on previous page. You must now provide the details of each specific Significant Financial Interest.

Included below are your previously disclosed financial interests. Please update as needed. If you no longer have a financial interest with the listed Entity, then click the Delete Entity link. If you no longer have a listed Activity/Interest with an Entity, click the Delete Activity/Interest link next to that interest.

Please type in a few letters of the name of the entity that you have a financial interest to disclose and select the entity. Click the button. If the name does not appear, enter *Not Found*. Click the button, and then add the entity name in the box below. If you have financial interests with more than one entity, you will need to add each entity separately. If you have financial interests with more than one entity, you will need to add each entity.

Entity

Start typing to locate Entity

Gatorade (*)

Not found ()

Actual Entity Name *Not found

Mike's Tiger Food

Type of Entity

☒ non-publicly traded

☐ publicly traded

Click the button next to Activity/Interest to provide information on the type of financial interest that you are disclosing. If you have multiple interests with the above named entity, you will need to click the button next to Activity/Interest to add multiple types of interests. If you, your spouse and/or dependent child has the same financial interests, you will need to click the button next to Activity/Interest to also enter the additional person's interest.

Activity/Interest

Add

Person having the activity/interest

a) Self

What is the type of interest?

Figure 8 - Adding New Entity Information

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Disclose your SFI with Entities

Answer the questions about your activities or financial interests for each **Entity** disclosed. Depending on your answers to the questionnaire, you may add multiple activities or interests for each entity.

Click the **Add** button next to Activity/Interest to provide information on the type of financial interest that you are disclosing. If you have multiple interests with the above named entity, you will need to click the **Add** button next to Activity/Interest to add multiple types of interests. If you, your spouse and/or dependent child has the same financial interests, you will need to click the **Add** button next to Activity/Interest to also enter the additional person's interest.

▼ Activity/Interest **Add**

* Person having the activity/interest **a) Self**

* What is the type of interest? **b) Equity**

* Select the type of equity currently held. **a) Stocks/Shares**

* Select the total value of your interests from this entity in the last 12 months. **\$5,000 - \$9,999**

* Percentage of Equity Interest **5% or greater**

Provide any additional information.

Figure 9 - Disclose Specific Interests or Activities

Repeat this disclosure process for each entity.

Certification

Certify that the information in your disclosure is correct. At the top of the form, click **COMPLETE** and then **SUBMIT** to forward your disclosure for future review.

LSU

Back Close Save Complete ☐ Submit Print

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CERTIFICATION

I certify that the information in this disclosure is true and accurate to the best of my knowledge. I have read and understand PS-98, LSU's Financial Conflicts of Interest in Research Policy, and have completed this disclosure form to the best of my knowledge and belief. I agree to comply with the Financial Conflict of Interest policies of the University and any external sponsor regulations from which I seek funding as an Investigator, as well as acknowledge the following:

- I will ensure that a current significant financial interest disclosure is on file no later than at the time of a proposal/application to an external sponsor.
- As an active Investigator, I will fulfill my disclosure responsibilities at least annually.
- Should my outside significant financial interests, or those of my family, change in a way that results in different answers to any of the questions asked in this disclosure form, I agree to submit an update within thirty (30) days of any change, including the occurrence of any reportable third party travel.
- If required, I will comply with any conditions or restrictions imposed by the University to manage any real or perceived conflicts.
- If I am a Principal Investigator on a proposal for external funding, I will appropriately identify the Investigators who are responsible for the design, conduct, or reporting of the proposed externally funded research. I will take into consideration the role of the investigator, rather than their title and position.

* Click here to accept the above statement. ☐

When you are finished please click **COMPLETE** at the top of the page and **SUBMIT** your disclosure.

Figure 10 - Certification