

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.

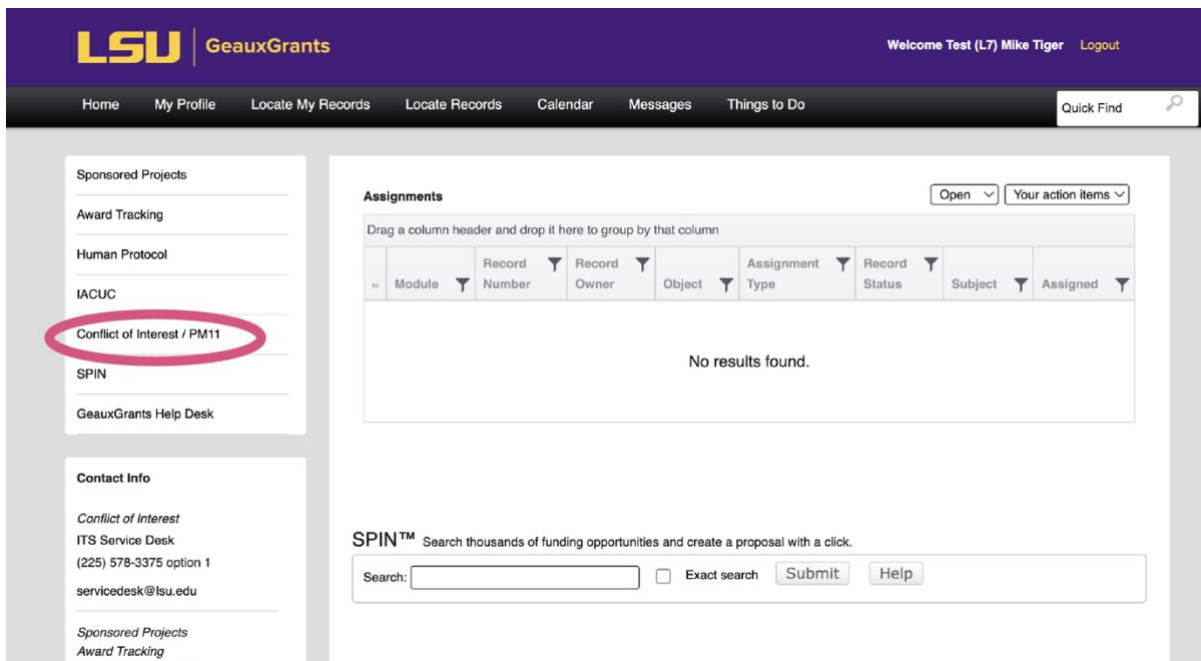


Figure 1 - GeauxGrants Landing Page

Navigate to Submit or Revise Disclosure

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

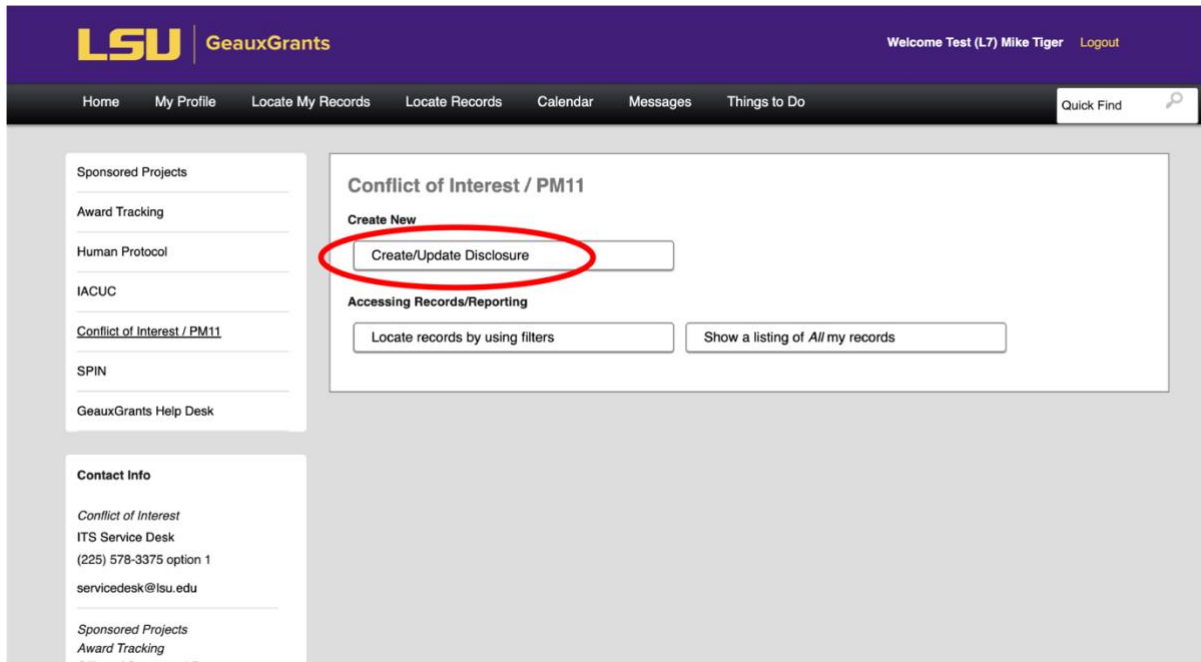


Figure 2 - Create New Disclosure

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.

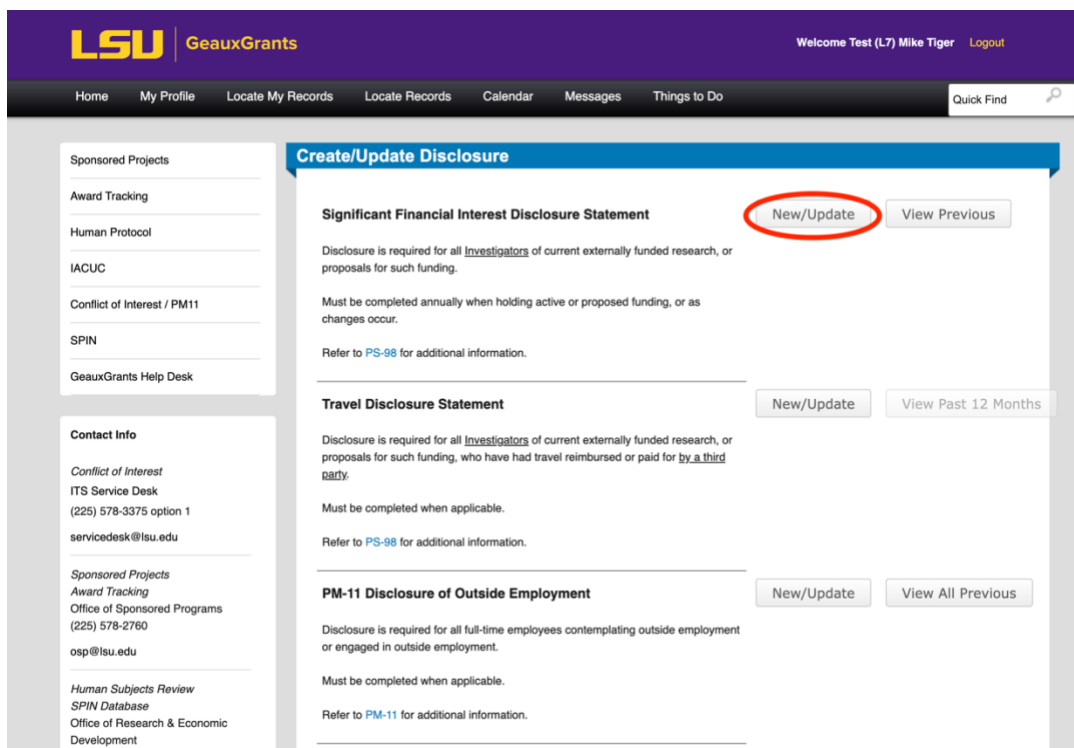


Figure 3 - New/Update Disclosure

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.

law, mandated by funding agency, or determined to carry out the purpose of administration of PS-98. If LSU is requested to provide disclosure forms information to an outside entity, you will be informed of this disclosure.

Save Submit Next →

What is a Significant Financial Interest (SFI)?

To assist you in completing your disclosure, Significant Financial Interests are listed below.

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.

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.

← Back

Save □

Submit

Next →

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.

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.

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Save □

Submit

Next →

FINANCIAL INTERESTS

INSTRUCTIONS

You answered yes to questions 2 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.

Removing Entity Details

1. If you no longer have a financial interest with the listed Entity, then click the Delete Entity link.
2. If you no longer have a listed Activity/Interest with an Entity, click the Delete Activity/Interest link next to that interest.

Add Entity/Complete Entity Details

1. Click the "Add Entity" button.
2. If the name does not appear, enter *Not Found*. Click the "Add Entity" button, and then add the entity name in the box below.
3. If you have financial interests with more than one entity, you will need to add each entity separately.
4. If you have financial interests with more than one entity, you will need to add each entity.

Coca-Cola

 The Coca-Cola Company

Add Entity

Expand All Entities

*If you or your immediate family have interests with another entity to disclose, Add that entity above.
 If you have no additional entities to enter, click Next button to proceed to the subsequent form sections.*

To Top

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.

← Back Save □ Submit Next →

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Not found Add Entity Expand All Entities

Not found (*) Delete Entity

Not found (*)

Not found 2 (*)

Not found 3 (*)

If you or your immediate family have interests with another entity to disclose, Add that entity above.

If you have no additional entities to enter, click Next button to proceed to the subsequent form sections.

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.

← Back Save □ Submit Next →

Start typing to locate Entity Add Entity Expand All Entities

Entity Name

Collapse - **Coca-Cola Company (*)** Delete Entity

* Type of Entity

publicly traded

Activity/Interest

* 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.

\$0 - \$4,999

* Percentage of Equity Interest

< 5%

Delete Activity/Interest

Add Additional Activity/Interest for this Entity

Provide any additional information about this Entity.

Figure 8 - Adding New Entity Information

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. 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.

The screenshot shows the 'SFI Disclosure' form interface. At the top left is the LSU logo. The title 'SFI Disclosure' is centered. On the right, it says 'Updated By: (L4) Mike the Tiger @ 01-Feb-2024 10:20:57 AM'. Below the title is a navigation bar with tabs: 'INTRODUCTION', 'SFI DISCLOSURE STATEMENT', 'FINANCIAL INTERESTS', and 'CERTIFICATION' (which is selected). Below the navigation bar are two buttons: '← Back' and 'Save □'. To the right of these are 'Submit' and 'Save □' buttons. The main content area is titled 'CERTIFICATION' and contains a paragraph of text certifying the accuracy of the information. Below this text is a list of four bullet points detailing the investigator's responsibilities. At the bottom of the certification section, there is a red asterisk and a link: '* Click here to accept the above statement. '. Below this is a box with the text: 'When you are finished please click COMPLETE at the top of the page and SUBMIT your disclosure.'

Figure 9 - Certification