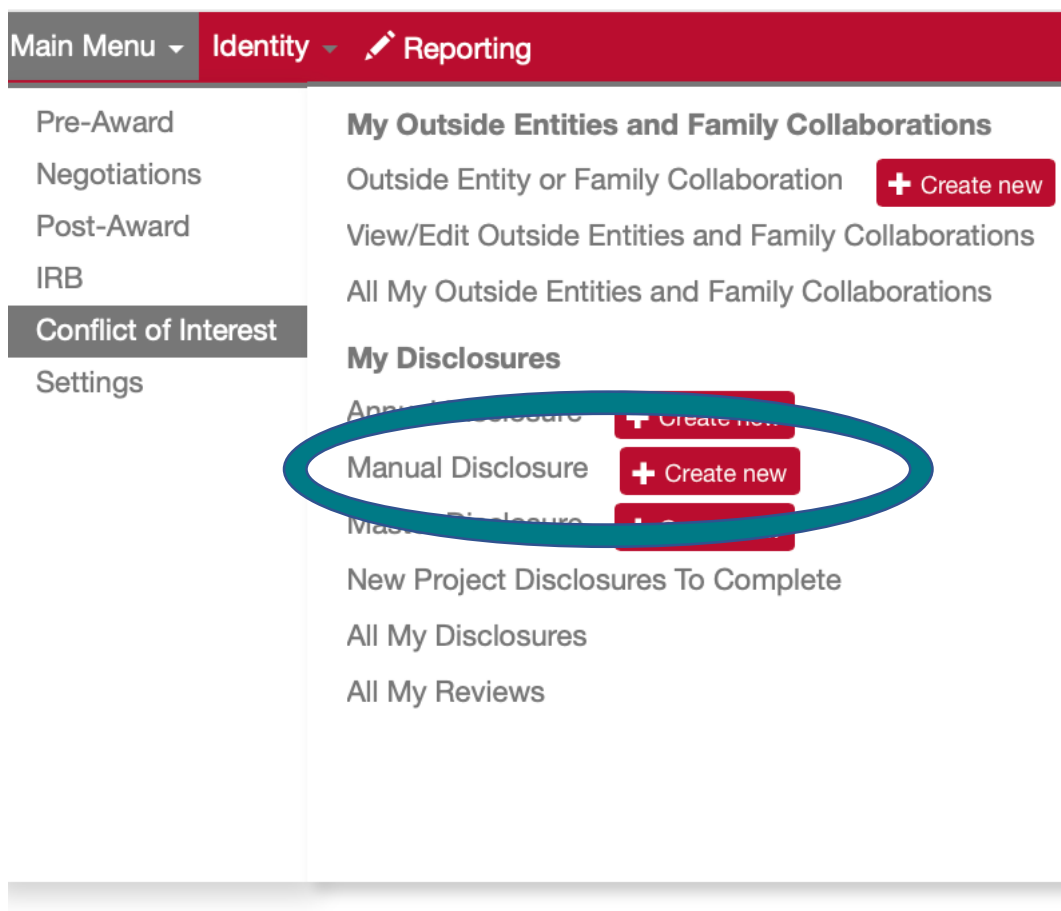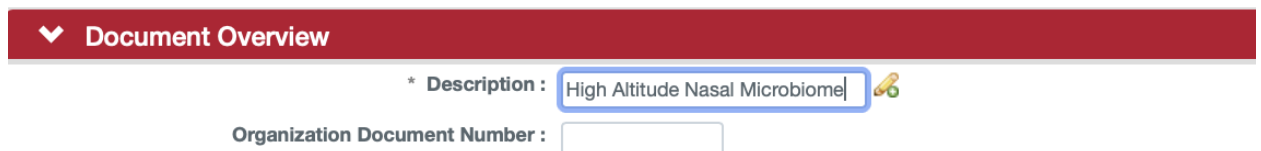# Tip Sheet: Manual Disclosures

Manual Disclosures are a subset of Project-type Disclosures that are intended for reporting COI related to UNM internally-funded proposals and awards, as well as unfunded IACUC or Externally Funded on which you are not named as key personnel, but still need to report COI. **This Tip Sheet is for Externally Funded Manual Disclosures only. For other types refer to the Tip Sheet Called "Manual Disclosures for Internally Funded Projects and IACUC".**

1. Open the Menu, select Conflict of Interest, and click on the + next to the Manual Disclosure.

2. Under Document Overview give the disclosure a name. Doing so will make it easier to find if you need to. Ignore the Organization Document Number.

3. Click the > next to Manual Event and External Entities.
   a. You will be asked to choose the type of manual disclosure you want to complete. Select Externally Funded Project

   b. If you do not have a UNM document number (you likely won't) enter N/A in that field. Then enter the title of the award/proposal/protocol. Click Add.

4. You will then be taken to the correct type of questionnaires for the selected type of Manual Disclosure.
5. All disclosures will require you to complete the Screening Questionnaire. This questionnaire asks about any financial entities that apply to your particular Award/Proposal/Protocol.
   a. Access this questionnaire by clicking Show next to Outside Entities and Family Collaborations.

   b. Question 1 asks your affiliation to UNM through a pull-down menu.

1. Which option below best describes your UNM affiliation/activity?

- ✓ select
- UNM Main Campus
- UNM Branch Campus
- UNM North Campus/Health Sciences Center (HSC)
- UNM retiree
- Non-UNM investigator involved with UNM research
- None of the above.

2. Do you collaborate on this research project with any immed... Streamlyne?

c. Questions 2-7 ask whether you have any Outside Entities or Family Collaborations that you have not previously disclosed over the last year in Streamlyne. An affirmative answer will remind you to add, update or disclose these Entities/Collaborations in the Manual Event and External Entity Panel.

2. Do you collaborate on this research project with any immediate family members in addition to what you have previously disclosed in Streamlyne?

○ Yes   ○ No

3. Other than what you have previously disclosed in Outside Interests/Family Collaborations in Streamlyne, do you, your spouse/domestic partner, or dependent child have equity interest (stock, stock options, or other ownership interest) which, when combined with your and your family members' other remuneration (consultancy, salary, etc.) from that company, exceeds $5,000 total (when aggregated for you and your family members) in a publicly traded entity?

○ Yes   ○ No

d. Question 8 asks about any agreements that might create the appearance that you would prefer them over UNM or a federal funding agency in making decisions about your UNM research. An affirmative answer will ask you to further elaborate so the COI Committee can evaluate the situation.

8. Do you have an agreement, either formal or informal, in the U.S. or abroad, that could appear to give them preferential treatment over a U.S. funding agency or other sponsor of UNM research project(s) in which you are involved?

● Yes   ○ No

8a. Identify the party/parties and describe the agreement that could appear to grant preferential treatment over a U.S. funding agency or other sponsor of UNM research project(s)? Descriptions need to be sufficient in nature for the COI Committee to determine whether there is a relatedness to or overlap with the UNM research and whether any potential or actual conflict(s) of interest in research may exist. Separately list foreign agreements under a sub-heading, "Foreign Agreement". Identify the relevant country.

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e. Question 9 asks about any additional financial benefits you receive from your project beyond what was agreed to by the sponsor. An affirmative answer will ask you to further elaborate so the COI Committee can evaluate the situation.

9. Do you have any agreement regarding additional financial benefits from UNM research beyond what is described in the documentation (e.g., statement of work, proposal, budget, etc.) submitted to the sponsor for the UNM projects with which you are involved?
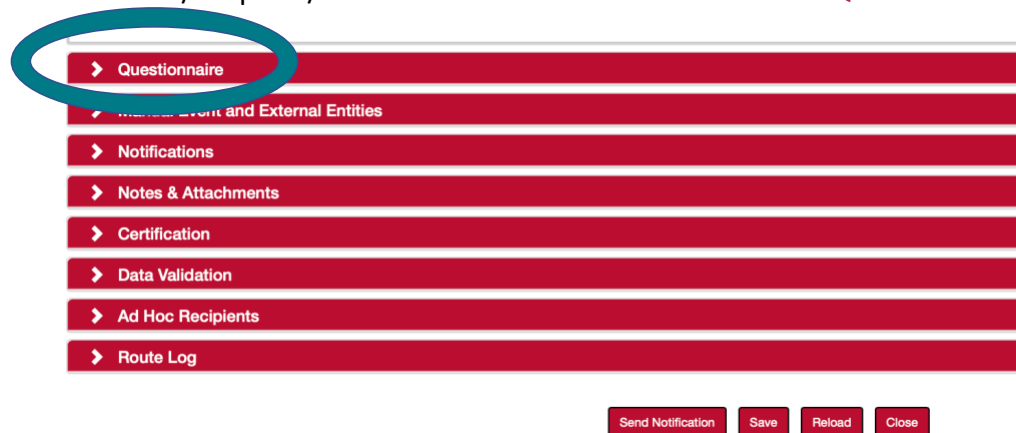
○ Yes ○ No

9a. Describe the/se agreement(s). Descriptions need to be sufficient in nature for the COI Committee to determine whether there is a relatedness to or overlap with the UNM research and whether any potential or actual conflict(s) of interest in research may exist. Separately list foreign agreements under a sub-heading, "Foreign Agreement". Identify the relevant country.

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6. **SAVE using the red SAVE button at the bottom of the disclosure.**

| Send Notification | Save | Reload | Close | Cancel |

7. You will next complete the Questionnaire associated with your Award/Proposal/ Protocol. These questionnaires ask basic questions about the project and your role in it.
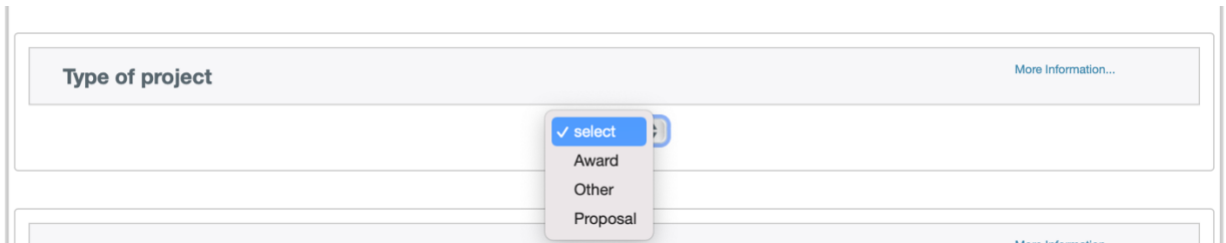   a. For all Award/Proposal/Protocol Disclosures click the > next to Questionnaire.

> Questionnaire
> Manual Event and External Entities
> Notifications
> Notes & Attachments
> Certification
> Data Validation
> Ad Hoc Recipients
> Route Log

| Send Notification | Save | Reload | Close |

8. For Externally Funded Projects, you will need to complete two questionnaires.
   a. The Externally Funded Project Questionnaire will gather information we need to connect your disclosure to a project funded through OSP.
      i. Click on the ">" next to the Questionnaire to reveal the Externally Funded Project Questionnaire
      ii. Click Show
      iii. Enter the Project Name. It is best to use the name of the project as it appears in the Streamlyne record.

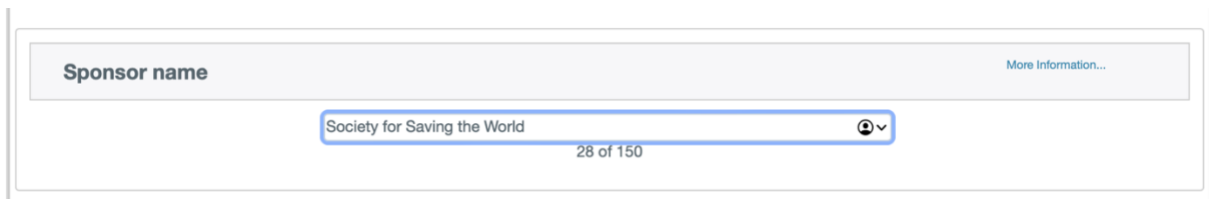**Project name**   More Information...

My Project to Save the World

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iv. Enter the type of project from the pull down
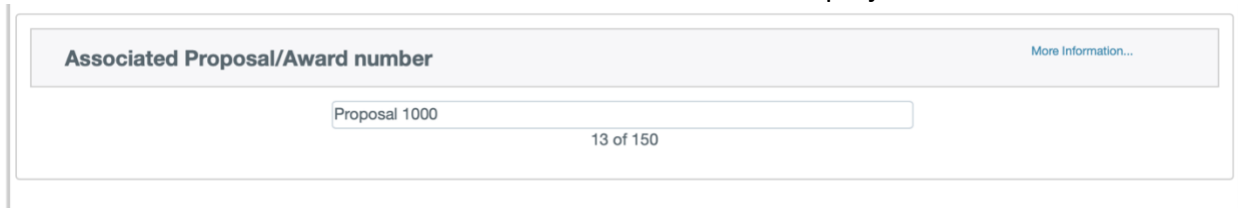
Type of project   More Information...

- ✓ select
- Award
- Other
- Proposal

v. Enter the Sponsor Name
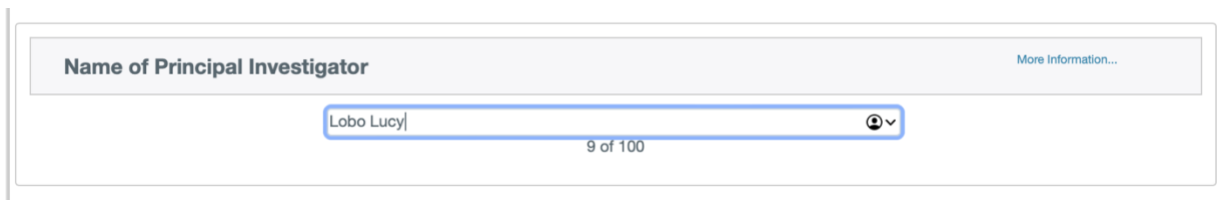
Sponsor name   More Information...

Society for Saving the World

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vi. Enter the proposal or award number from Streamlyne. This will help us associate this disclosure with the correct project.

Associated Proposal/Award number   More Information...

Proposal 1000

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vii. Enter the PI's Name

Name of Principal Investigator   More Information...

Lobo Lucy

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viii. SAVE

b. The Project Questionnaire will allow you to complete a disclosure that is required for all outside funded projects and collects data required by funders.

i. Click on the ">" next to the Questionnaire to reveal the COI Project Disclosure

❯ **Questionnaire**

Show   COI Project Disclosure (Incomplete)

ii. Click Show

iii. Complete questions 1-3 in the project disclosure

1. Please provide a brief, non-technical description of this project or protocol and indicate your role on it.   More Information...

> This project explores alternate, sustainable, energy sources that simultaneously combat climate change through carbon capture, My part of the project is identifying metabolites from composted
>
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2. Does this research involve Animal (non human) subjects?   More Information...

○ Yes   ● No

3. Does the research involve human subjects or identifiable private data?   More Information...

○ Yes   ● No

iv. Question 4 asks if your project is funded by PHS/NIH or the Department of Energy (DOE). Answering "Yes" to this question releases further required by these funders. **If you do not have PHS or DOE funding, answer "No" and SAVE the disclosure.**

4. Is this project funded by PHS/NIH or DOE?   More Information...

● Yes   ○ No

4a. During the preceding 12 months, or in the next 12 months, have you been/ will you be reimbursed, compensated, or sponsored for travel (foreign and domestic) related to your UNM Institutional Responsibilities? Dependent children must be disclosed if the travel is related to the investigator's UNM Institutional Responsibilities.   More Information...

○ Yes   ○ No

5. Is this project funded by DOE or the National labs? (Does not apply to projects funded by The Office of Indian Energy or to Phase I SBIR/STTR grants).   More Information...

○ Yes   ○ No

v. Question 4a asks about any travel you have undertaken related to your UNM responsibilities or reimbursed for related to your UNM responsibilities. Note: Note: Travel sponsored by the following institutions does NOT need to be reported: U.S. federal, state, or local government agencies; U.S. institution of higher education; or U.S. academic teaching hospital, medical center, or research institute that is affiliated with a U.S. institution of higher education.

If you answer "Yes" a dynamic table will open for you to complete:

4a-1. Please complete the table below.					More Information...
Action	Traveler	Destination	Dates	Purpose of travel	Sponsor of travel
+					

vi. To add a new Travel Event, click on the red "+" and complete the row. Add a new row for each travel event and/or each traveler. NOTE: This table is long and you will need to scroll right to complete it.

Traveler	Destination	Dates	Purpose c
Lobo Lucy	Berlin	12 July 2022-20 July 2022	To present research fi hold waste metabolit International Society Bioenergy

vii. **SAVE**
viii. Question 5 asks if your funding is through the Department of Energy (DOE), which requires a specific, two-part, certification.

5. Is this project funded by DOE or the National labs? (Does not apply to projects funded by The Office of Indian Energy or to Phase I SBIR/STTR grants).

More Information...

○ Yes   ○ No

    ix.   Upon answering "Yes" to Question 5, the DOE certification will appear.

By checking yes, I certify that I understand that this Disclosure is required to obtain funding from the U.S. Government. I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

More Information...

● Yes   ○ No

Please type name and academic title

More Information...

Lucy Lobo, Professor
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    x.   Complete the DOE certification by checking "Yes" and entering your name and academic title in the box. Failure to do so will result in your disclosure being returned to you.

  c. SAVE.

9. Next, you will complete the Manual Event and External Entities Relationship panel that will allow you to relate your disclosed Outside Entities and Family Collaborations to your project.

    a. Your Outside Entities and Family Collaborations will be listed next to a drop - down menu.

1	View Entity Edit History Comments	International Bioenergy	select ▲▼
2	View Entity Edit History Comments	Lobo Corp	select ▲▼
3	View Entity Edit History Comments	Lobo Louie	select ▲▼
4	View Entity Edit History Comments	LoboBiome	select ▲▼

    b. For each Entity or Collaboration, define its relationship to the current project using the drop-down menu.

c. Complete this for each Entity or Collaboration.

d. You can also add a new Entity/Collaboration from inside this panel. For information on how to do this see the Tip Sheet called How to Add a New Financial Entity or Family Collaboration in a Project or Manual Disclosure. Make sure you associate any newly added Entity/Collaboration with your project.

10. SAVE

11. Certify the disclosure by opening the Certification tab, checking the box and clicking Submit.

Barring any errors, this will result in your disclosure being submitted.

12. **If you have completed disclosure for an externally funded proposal, you may want to let your PI or someone else know. To do that, you can take advantage of the** Ad Hoc Recipients panel .

a. Click on Ad Hoc Recipients.

b. Select what you would like the recipient to do from the pulldown menu under Action Requested. You probably will select FYI for them.

c. Enter their email address and then click Add.

d. The person/s will receive an email notification and it will appear in their Action List the next time they log in.

13. If you have not completed the disclosure correctly, you will receive an error. The following are the most common errors in a Manual Disclosure.

a. You did not provide a relationship between an Outside Entity or Family Collaboration and your project.

b. Since the last time you worked on the disclosure, you have entered a new Outside Entity or Family Collaboration.