

Conflict of Interest

Electronic Document Quick Reference Guide

The following quick reference provides guidance for using the Electronic Conflict of Interest (COI) system for the Conflict of Interest (COI) form submission. Information provided includes:

[Section 1: Accessing the COI system](#)

[Section 2: Completing the form as an Employee](#)

[Section 3: Completing the form as a Supervisor \(Approver\)](#)

- A. [First Level Supervisor Approval Process](#)
- B. [Second Level Supervisor Approval Process](#)

[Section 4: Returning a Document](#)

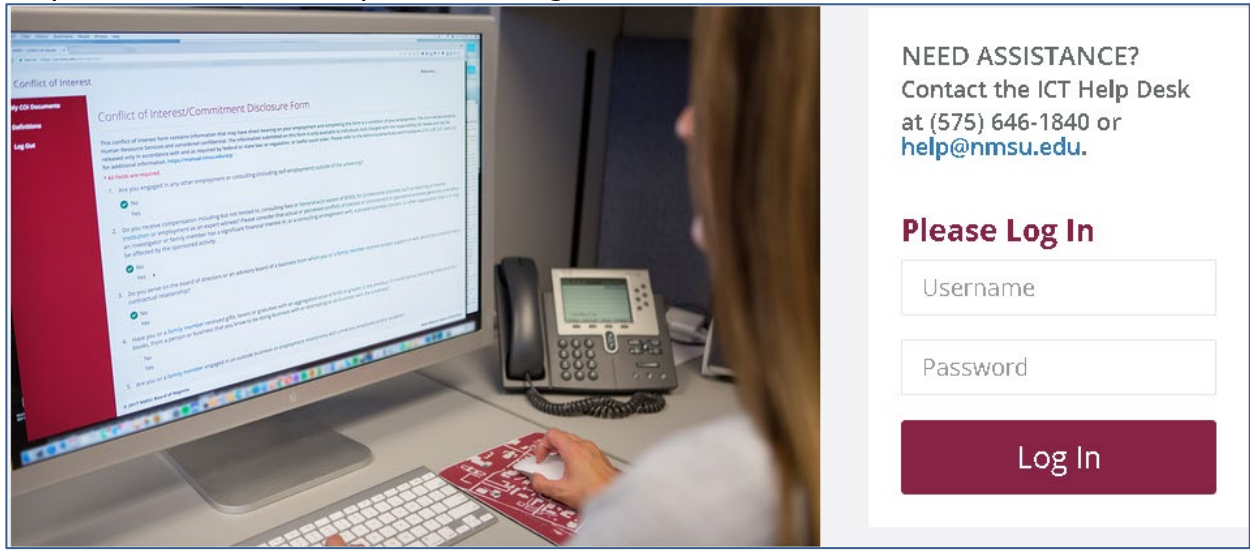
[Section 5: Email notifications](#)

The Electronic COI system can be accessed at coi.nmsu.edu.

If you have questions or need assistance in submitting the COI form, please contact the Office of People Relations at opr@nmsu.edu.

Section 1: Accessing the Electronic COI system

Use your 'my NMSU' username and password to login at coi.nmsu.edu.



NEED ASSISTANCE?
Contact the ICT Help Desk
at (575) 646-1840 or
help@nmsu.edu.

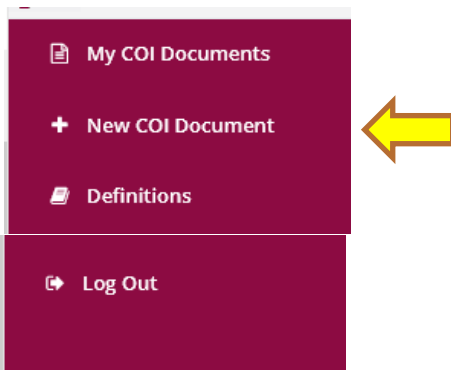
Please Log In

Username

Password

Log In

Once logged on to the system, you will see a menu on the left side of the web page. To begin a new form you will click on "+ New COI Document". If you need to access your previous COI forms select My COI Documents.



When accessing the COI form, you will be prompted to complete the online Conflict of Interest Training Module. While the COI training is not required to complete the COI form, it is highly recommended that you complete the training to better understand university's COI rules and procedures. If you elect to complete the training, you will be redirected to the COI form upon completion of the training. If you do not want to complete the COI training, you will click "Continue to Form" and the system will open the COI form.

Conflict of Interest Training ✕

It is highly recommended that you complete the Conflict of Interest training before attempting to complete your Conflict of Interest Disclosure Form. The training provides background about the expectations for ethics and reporting conflicts of interest or commitment as an employee of NMSU.

To begin the training, please click **Start Training**. To continue to the Conflict of Interest Disclosure Form, click **Continue to Form**.

Start Training **Continue to Form**

Section 2: Completing the Form as an Employee

Every regular employee of the university is required to annually complete a Conflict of Interest document at least once a year when requested to by the office of Human Resource Services. Note: For information and guidance regarding conflicts of interest/commitment or perceived conflicts, please refer to [NMSU Administrative Rules and Procedures 3.03 and 3.11.](#)

1. Employees must answer all questions in the document. Question #14 is for the employee to declare if he/she is involved in sponsored activities. Answering "yes" to number 14 does not require the form to be routed to a second level supervisor **IF** all other questions have been answered as "no". Second level routing is only required if conflicts of interest are reported.

Example of question:

1. Do you intend to engage in any teaching activity external to NMSU? Is this activity compensated?

- No
 Yes

2. The electronic COI system is designed to discover errors or omissions. Employees who answered incorrectly by leaving information out or forgetting to select a radio button will see an error message at the top of his/her screen in pink. The system will highlight the section where the information is missing and allow the employee to correct the error.

Please see the example below.

⚠ Your form contains validation errors. See error messages in the form for each affected field. ✕

6. Are you or a [family member](#) engaged in an outside business or employment relationship with university employees and/or students?

No
 Yes

Please provide details.

(2000 characters remaining)
 Cannot be blank when answer is Yes

- Once an employee has completed all questions, s/he must acknowledge that s/he has read and agrees to comply with the NMSU Business Ethics Handbook by clicking on the checkbox.

Acknowledgement of Receipt and Review of NMSU Business Ethics Handbook

To ensure that integrity and ethics are characteristics associated with New Mexico State University, each NMSU official, employee, and representative is expected to comply with the Principles of Ethical Conduct expressed in Administrative Rules and Procedures of NMSU. In addition, NMSU officials, employees, and representatives are expected to comply with all other applicable policies, procedures, laws, union contracts, and regulations which address ethical conduct and standards of business conduct for specific situations.

Please view the [NMSU Business Ethics Handbook](#).

I acknowledge that I have read and agree to comply with the NMSU Business Ethics Handbook.

- When the document is complete, the employee must "Sign" his/her document by clicking on the button to route the document for approval. Clicking the "Delete" button will require that you restart your form.

Sign

Delete

- The employee will be presented with a screen which automatically will display the name of his/her supervisor in accordance with the "Reports To" field in Banner. If the supervisor's name that appears is correct, the employee must click the radio button next to the name.

Sign & Forward
✕

started_modal

Sign and Forward document to your banner supervisor:

Gena Jones (Asst VP for HRS - HUMAN RESOURCE SERVICES)

Sign & Forward

- If the name is not correct, the employee can conduct a search for his/her immediate supervisor by typing the name into the search fields and clicking the search button as shown below.

Or _____

Sign and Forward document to an alternate supervisor of your choosing:

Search by partial name, AggieID, <Last, First>, or <First Last> Sign & Forward

- Finally, the employee must click on the "Sign & Forward" button to complete the document submission.

Sign & Forward ×

Sign and Forward document to your banner supervisor:

✔ Gena Jones (Asst VP for HRS - HUMAN RESOURCE SERVICES) Sign & Forward

- At this point, the system will ask for confirmation and the submission is completed by clicking "Sign & Forward".

Confirm your action ×

Click to **Sign & Forward** your document to **Gena Jones**. Otherwise, click **Cancel** to return to the previous dialog.

Sign & Forward
Cancel

- The system will route the employee to the "My Conflict of Interest Documents" which will indicate the Document # and the Status of the COI form.

My Conflict of Interest Documents				
Document #	Status	Version	Created On	Action
56	Pending Supervisor Approval	3.2	September 08, 2017	View

Section 3: Completing the Form as a Supervisor (Approver)


Please note that disclosure forms submitted containing no conflicts require only one level of review and approval. Disclosure forms submitted containing one or more (real or perceived) conflicts of interest require two levels of review and approval.

A. First Level Supervisor Approval Process

1. When an employee has completed a COI document and routed it to his/her supervisor, the supervisor will receive an informational email regarding the action that occurred. The supervisor may access the employee's document by clicking on the link inside of the email message. The supervisor will be directed to the login screen as seen in *Section 1 – Accessing the Electronic Conflict of Interest (COI) system*, and therefore must log in.
2. The supervisor must click on the "Documents Where I'm The Supervisor" link in the menu bar to view the documents that are "Pending Signature".



3. To review the employee's document, click on the "Review" button that corresponds to the employee's name and the document will open on the screen.

Document #	Name	Version	Status	Created On	Action
56	Tom Hanks	3.2	Pending Supervisor Approval	September 08, 2017	

The image shows a table with a white background and a thin black border. The table has six columns: Document #, Name, Version, Status, Created On, and Action. The first row contains the data for document 56, named Tom Hanks, version 3.2, with a status of "Pending Supervisor Approval", created on September 08, 2017. The "Action" column contains a red button with a white checkmark icon and the word "Review". A yellow arrow points to the "Review" button.

4. Review the employee's comments, if any, depending on if conflicts were reported and type in supervisor comments. If supervisor comments are not entered where required, then an error message will appear requiring that comments be entered.
5. At the bottom of the employee's form, the supervisor must answer if a conflict of interest or commitment exists and if the employee is involved in sponsored activities.

Administrative Review and Approval

Disclosure forms submitted containing no conflicts require only one level of review and approval by a Supervisor. Disclosure forms submitted containing one or more (real or perceived) conflicts of interest require two levels of review and approval, with the 2nd level being a Department Head or higher level.

I have reviewed the information provided, and to the best of my knowledge and judgment in accordance with the standards of NMSU policies on Ethical Conduct and Conflicts of Interest and Commitment:

No conflict of interest or commitment exists

A conflict of interest or commitment may exist and a plan to manage or eliminate the conflict is described below

A conflict of interest or commitment exists for which no management plan is possible. The action recommended is described below.

Is this individual involved in [Sponsored Activities](#)?

No

Yes

6. When the supervisor has reviewed the document, he/she can do the following:

- a. **Sign Form:** This allows the supervisor to advance to accept the document and sign it.
- b. **Return for Correction:** If the form requires changes by the employee, the supervisor can return it to the employee with notes requesting him/her to make changes. The employee will receive an email notice indicating that the form has been returned for correction.
- c. **Transfer without Signing:** This should be selected only if the supervisor who received the form is NOT the supervisor who should be signing the form. Please note that anytime a document is forwarded, all signature levels are still required by the system.

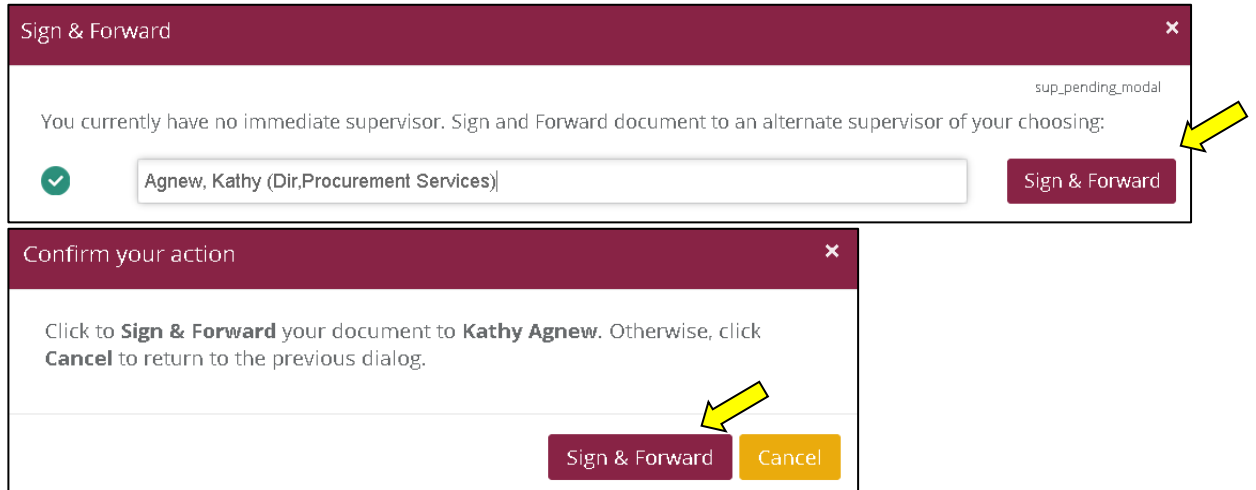
7. If all looks correct, the supervisor should sign and upon signature will be presented this option:

Confirm your action ×

Click **Sign** to complete document. Otherwise, click **Cancel** to return to the previous screen.

8. This concludes the process for the first level supervisor.

Note: If no conflicts were reported by the employee, then the document is complete. If conflicts were reported, the first level supervisor will see the following option and should select the "Sign and Forward" button.




B. Second Level Supervisor Approval Process


The second level approval process is similar to the routing and options available in the first level supervisor approval process. Second level routing is only required if an employee has answered "yes" indicating that a conflict or perceived conflict exists. This includes an employee answering "yes" indicating involvement in Sponsored Activities (#14); this question drives specific reporting for the VP for Research Office of Integrity and Ethics per federal regulation requirements.

1. The second level supervisor will receive an email notification that a document has been routed for his/her signature when the first level supervisor has signed the document.
2. The second level supervisor should click the link provided in the email to be directed to the login screen as seen in *Section 1 - Accessing the Electronic Conflict of Interest (COI) system*, and therefore must log in.
3. The second level supervisor must click on the "Documents Where I'm The Next-Level Approver" link in the menu bar to view the documents that are "Pending Approval".



4. To review the employee's document, click on the document number next to the employee's name and the document will open on the screen.

50 Tom Hanks 3.2 Pending NLA Approval September 01, 2017 



5. Review the employee's conflict comments and the first level supervisor's comments.

2. Are you engaged in any other employment or consulting (including self-employment) outside of the university?

No
 Yes



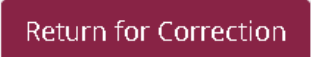

Please include the following: name of the **entity**/activity; location; services/products offered; your relationship to the **entity**; anticipated dates of activity; estimated hours per week (if during work hours indicate whether annual leave will be taken); and indicate any fees or gifts received, expenses paid or donations of goods or services with an aggregated value of \$100 or greater in the previous 12 month period.

example employee comment

Supervisor Comments

example supervisor comment




6. Comments are not required by the second level supervisor unless the document will be returned for correction (In this case, the second level supervisor will be provided with a comment box at the end of the process to communicate any changes that are required). If the document is acceptable, the second level supervisor should click on the "Sign" button and confirm the action on the next prompt.

7. Confirming the action concludes the process for the second level supervisor.

Confirm your action ✕

Click **Sign** to complete document. Otherwise, click **Cancel** to return to the previous screen.

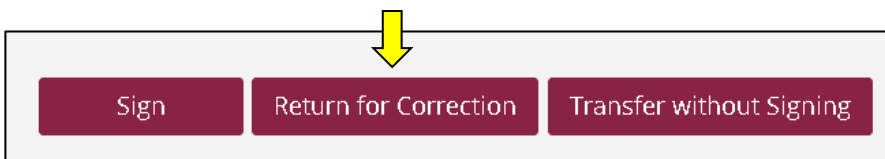
Please note that the second level supervisor has the capabilities to "Return for Correction" and "Transfer without Signing".

- a. **Return for Correction:** If the form requires changes by the employee or the first level supervisor, the second level supervisor can select to "Return for Correction". It will route backwards to the first level supervisor who can make changes if necessary at his/her stage or depending on the direction of the second level supervisor, the first level supervisor can also select to "Return for Correction" if the changes need to be made by the employee.
- b. **Transfer without Signing:** This should be selected only if the supervisor who received the form is NOT the supervisor who should be signing the form.

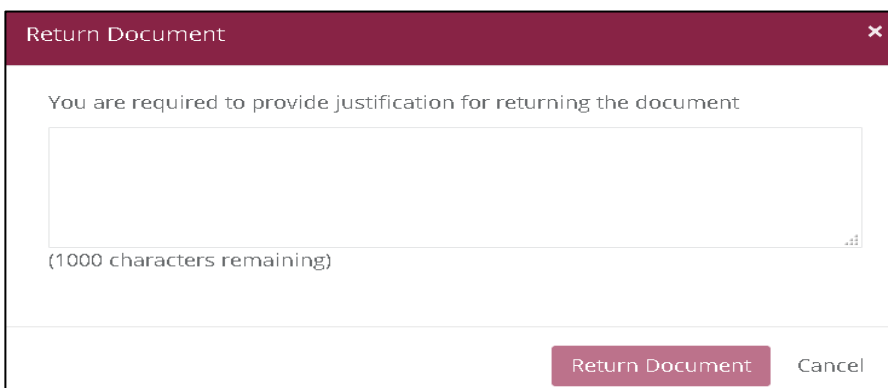
Section 4: Returning a Document

When returning a document, it will always route backwards so that it moves back to the person who last submitted it. Therefore, if the document is being returned by the First Level Supervisor, it will be routed directly back to the employee who submitted it. If the form is returned by the Second Level Supervisor, it is routed directly back to the First Level Supervisor. The reason for this is so that the First Level Supervisor stays involved in the process and also so that the First Level Supervisor can make corrections to his/her comments if necessary per the direction of the Second Level Supervisor.

1. To return a document that has been submitted, click the "Return for Correction" button.



2. The following comment box will appear. This is to be used to communicate the changes that are expected by the employee or first level supervisor.

A screenshot of a dialog box titled "Return Document". The dialog box has a dark red header with a close button (X). Below the header, there is a text area with the prompt "You are required to provide justification for returning the document". Below the text area, there is a character count "(1000 characters remaining)". At the bottom of the dialog box, there are two buttons: "Return Document" and "Cancel".

3. **RECIPIENT OF RETURNED DOCUMENT VIEW:** When the employee/first level supervisor receives a document that has been returned for correction, he/she will see the return comments in a light orange box at the top of the document. These are for instructional/communication use only.

These are not recorded onto the document itself and are not displayed in the PDF. However, these comments are recorded in the application's database therefore they must be relevant and appropriate.

Reason Returned:
<i>"example of return for correction comment"</i>

Section 5: Email Notifications

As documents are routed for review and signature, the person who needs is pending the action will be individual notified via email. Messages will be received from nmsueds-donotreply@nmsu.edu (see example below).

Dear ,

This is to inform you that Conflict of Interest Form #60 for Tom Hanks is awaiting your approval.

[Click here](#) to review and sign this document.

Thank you,
NMSU HR Services

THIS IS AN AUTOMATED RESPONSE GENERATED BY THE SYSTEM. DO NOT REPLY TO THIS EMAIL.