# Financial Conflict of Interest (FCOI) Flowchart

[Diagram Version of FCOI Flow Chart (PDF)](https://umaine.edu/research-compliance/resource/fcoi-flow-chart-diagram/)

## Investigator believes Significant Financial Interest (SFI) exists.

## Investigator completes Significant Financial Interest (SFI) Disclosure Form with supporting documentation and optional proposed Conflict of Interest (COI) Management Plan[[1]](#footnote-1).

## Investigator submits SFI Disclosure Form and other related documents to Financial Disclosure Review Committee (FDRC) via the Office of Research Compliance (ORC).

## Vice President for Research and Dean of the Graduate School, in consultation with Director of Research Administration and Vice President for Innovation and Economic Development, conducts preliminary review of SFI disclosure.

## ORC maintains records of reported *potential* conflicts for such period of time as prescribed by University policy.

## **Decision:** Preliminary Conflict of Interest (COI) determination is made.

### If it is determined **there *is* a COI**: Proceed to [Step 7](#_If_there_is).

If it is determined **there is** ***not* a COI**: **Investigator may proceed with the proposed research.**

## *If there is a preliminary determination that there* ***is*** *a COI:* The SFI Disclosure Form, supporting documentation, and optional COI Management Plan are referred to a Subcommittee of the FDRC.

## *If the Investigator has not yet submitted a COI Management Plan:* Investigator, in cooperation with the Investigator's academic department or unit, develops and submits COI Management Plan to Director of Research Compliance.

## **Decision:** FDRC Subcommittee reviews the COI Management Plan.

### If the FDRC **approves** the plan: Proceed to [Step 10](#_Once_the_FDRC).

### If the FDRC **rejects the plan** ***with further recommendations***: Return to [Step 8](#_If_the_Investigator) to revise and resubmit the COI Management Plan.

### If the FDRC **rejects** the plan outright: Investigator may **not** proceed with the proposed research.

## Once the FDRC approves the plan, ORC maintains records of COI Management Plans for such period of time as prescribed by University policy.

## **Investigator may proceed with the proposed research.**

## ORC monitors compliance with the approved COI Management Plan.

1. “Conflict of Interest Management Plan” is referred to as “Conflict Resolution Plan” in University policy. [↑](#footnote-ref-1)