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| **SECTION I: CONFLICT OF INTEREST GUIDELINES** |
| All investigators must disclose all real, apparent, or potential Significant Financial Interests (SFIs) and, if applicable, accept an approved management plan before they can participate in clinical research. **Investigator** is defined as any person responsible for the design, conduct, or reporting of the research. This includes but is not limited to the principal investigator, faculty sponsor, co-investigators, collaborators, consultants, and authorized study personnel.  **OSF Policy CC-705 requires investigators to disclose he/her and Immediate Family Members, including spouse or domestic partner, parents, siblings, and children, following significant financial interest (SFI) that is directly or indirectly related to the individual's research activity at OSF:**1. consulting relationship with the outside entity sponsoring research.
2. ownership interest of $5,000 or more, or 5% or more, whichever is less, in a publicly traded entity whose business is directly or indirectly related to research.
3. ANY ownership interest in a privately held entity whose business is directly or indirectly related to research.
4. compensation through payments or other distributions, including royalties, exceeding $1,000 from the sponsor of this study or $5,000 cumulatively from all outside entities who are related to the research.
5. payments, including honoraria, that substantially exceed the value of services provided to an outside entity whose business is directly or indirectly related to research.
6. direct payments or incentives to patients by an outside entity for their participation in research.
7. other rewards from an outside entity, including gifts, post-study awards, authorship opportunities, and offers of future participation.
8. payments from outside entities in which OSF has ownership interests or receives in-kind contributions.
9. funding provided directly to an individual from federal, state, or local agencies without the knowledge of OSF or the IRB and without appropriate Conflict of Interest disclosure.
10. payments or incentives by an outside entity to meet deadlines, enrollment targets, or other goals in research.
11. agreement or demand that the publication or other reporting of research results be controlled, in whole or in part, by an outside entity.

**For studies adopting PHS/NFS requirements, OSF Policy CC-707 requires investigators to disclose he/her, their spouse or domestic partner, and dependent children, following significant financial interest (SFI) that reasonably appears to be related to the Investigators' Institutional Responsibilities.**1. The value of any remuneration received from an external entity at present or in the 12 months preceding the disclosure that, when aggregated for the investigator and family members, totals or exceeds $5,000. The $5,000 threshold also applies to salary, royalties, and other payments aggregated for the investigator and family members.
2. The value of publicly traded equity (plus any remuneration) meets or exceeds $5,000.
3. Any level of ownership of privately held equity regardless of the dollar value.
4. Intellectual property rights (e.g., patents, trademarks, copyrights, licensing agreements, and royalties from such rights) excluding intellectual property rights assigned to the University of Illinois and agreements with the University of Illinois to share royalties related to such rights.
5. Any other relationships that might present a financial conflict of interest, such as fiduciary interests (paid or unpaid positions as director, officer, or other management role in a for-profit or not-for-profit entity sponsoring or related to the research) or interests in which compensation or the value of equity or property rights or the combination of interests might affect the outcome of the research.

**Institutional** **COI** includes the financial interests of the OSF or an OSF official acting within his or her authority on behalf of the institution that might affect or reasonably appear to affect institutional processes for the design, conduct, reporting, review, or oversight of human subjects research. Examples of institutional conflict of interest include but are not limited to:* 1. OSF has an equity interest in a company or OSF holds a patent, license, or some type of intellectual property interest related to the product that is the subject of the research.
	2. An OSF official acting within his or her authority on behalf of the institution has an equity interest, serves on an advisory or other Board, or serves in a fiduciary role in an entity that has an interest in the outcome of human subject research.
	3. Gifts to OSF or OSF official from a company or other entity that has an interest in the outcome of human subject research.
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| **SECTION II: RESEARCH PROTOCOL INFORMATION** |
| Date:       [ ] Non-sponsored [ ]  Industry-sponsored [ ]  PHS/NSF funded Name:       Institution:       Department:       Telephone#      Email:       Role in the study:      Study Title:       RA/IRB/NCT#:        |
| **SECTION III: CONFLICT OF INTEREST SCREENING QUESTIONS** |
| 1. At present or in the 12 months prior to this disclosure, you or your family members have a SFI with the research sponsor or any subcontract recipient or have a SFI reasonably related to a product (e.g., drug, device, method, treatment, etc.) that is the subject of the research; or have any other relationships (e.g. fiduciary, even if uncompensated) that may present a potential conflict of interest with this research or your institutional responsibilities?

No [ ]  Yes [ ]  (*If yes, you must complete OSF Supplemental Research COI Disclosure Form in* [*COI-Smart*](https://osf3.coi-smart.com/login.php)[*https://osf3.coi-smart.com/login.php*](https://osf3.coi-smart.com/login.php)*. You should PROMPTLY complete COI-Smart to avoid delays.)*1. Are you aware of any institutional conflict of interest (i.e., conflicting with OSF’s interest) with this research?

No [ ]  Yes [ ]  (*If yes, you must complete OSF Supplemental Research COI Disclosure Form in* [*COI-Smart*](https://osf3.coi-smart.com/login.php)[*https://osf3.coi-smart.com/login.php*](https://osf3.coi-smart.com/login.php)*. You should PROMPTLY complete COI-Smart to avoid delays.)*If you answered “Yes” to either of the questions in this Section AND you are NOT the PI, then notify the principal investigator of such disclosure.  |
| **SECTION IV: ATTESTATION OF SIGNIFICANT FINANCIAL INTEREST DISCLOSURE** |
| To the best of my knowledge, the information in Section III is current and accurate as of the date of disclosure. I have either NO significant financial conflict of interest to disclose OR I have completed the mandatory disclosure in OSF COI-Smart. I will update my COI-Smart disclosure within 30 days of any new significant financial interest conflict. |
| Signature: Date: **Email this form along with the Research Application Form to OSF.ClinicalResearch@osfhealthcare.org.** |