

## Instructions

An undisclosed, unmanaged conflict of interest or commitment (whether real, potential or perceived) has the potential to create mistrust in the researcher, their colleagues and the institution. While not all COIs/COCs are avoidable, with full disclosure they can often be managed before the activity begins. A perceived COI/COC is as important to manage as an actual COI/COC. **Disclosure of COI/COC is required by both institutional and federal Responsible Conduct of Research policies.**

COI/COC exists where personal and work interests coincide. Some examples of possible COI/COC situations include:

- You serve on the board of a company from which you are seeking research funding.
- You wish to employ your well-qualified spouse or child to work on your research grant.
- You hold intellectual property interests in a tool or testing device that will be used in a funded study, in part to assess the effectiveness of that tool or device.
- You have been reimbursed for travel or for a talk at a company that wishes to contract with SFU in support of your research.
- You take fees as a director of a company whose business lies in your area of academic expertise, or the company employs students that you supervise.

### The Conflict of Interest/Commitment Disclosure Process

A Member of the university (staff, faculty or student) completes this COI/COC Disclosure form after working with their supervisor (for faculty: Chair or AD) to develop an appropriate management plan (this individual is usually responsible for monitoring the plan). The designated Responsible Authority assesses the disclosure and determines whether a COI/COC exists and whether it can be managed using the proposed management plan or must be disallowed.

<u>University Member</u>	<u>Responsible Authority</u>
Faculty & Grad Students	Dean
Undergraduate Students	Supervisor or Instructor
Staff	Direct supervisor

For any COI/COC that involves human-participants research, the Research Ethics Board (email: [dore@sfu.ca](mailto:dore@sfu.ca)) is the Responsible Authority. For PHS-funded research it is the VPRI.

After the final signature the form is emailed to [coi@sfu.ca](mailto:coi@sfu.ca).

### Financial Conflict of Interest - PHS Funds ONLY

Each Investigator responsible for the design, conduct, or reporting of research supported by the US Public Health Service, including NIH, is required to disclose their Significant Financial Interests (and those of the Investigator's spouse and dependent children) that reasonably appear to be related to the Investigator's institutional responsibilities:

- no later than at the time of application for NIH-funded research
- within thirty days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new Significant Financial Interest; and
- at least annually during the period of award.

For further information and definitions of Significant Financial Interest and Financial Conflict of Interest, see Policy GP37. SFU is required to determine whether a Financial Conflict of Interest exists in respect to the proposed research and if so, to develop and implement a Management Plan that may include its reduction or elimination.

Each SFU Investigator or key personnel named in an application for new or continuing NIH funding must complete the following items prior to submitting their application, and if an award is made, must continue to do so regularly in accordance with NIH requirements:

- [Financial Conflict of Interest \(FCOI\) Tutorial](#)
- Familiarize themselves with [Policy GP37](#)
- [SFU Investigator's Statement of Financial Interests](#)
- If applicable, the SFU GP 37: Conflict of Interest/Commitment Disclosure Form (this form)

Per SFU [Policy GP37](#), this form is to be completed if you engage in an activity or situation that creates or results in a real, potential or perceived Conflict of Interest or Conflict of Commitment, and such conflict is being assessed by the Responsible Authority.

Reporting Individual:

Email:

Responsible Authority:

Email:

**ACTIVITY**

Start Date:

End Date:

Type:

Clearly describe the planned activity or situation that creates or results in a real, potential or perceived conflict.

Why is this activity or situation a real, potential or perceived conflict?

Detail the management plan to mitigate the real, potential or perceived conflict

I confirm that the information contained in this form is true and complete. I agree to comply with the management plan. If the circumstances change, I will promptly report them to the Responsible Authority. Furthermore, I will review the form annually and update it as required. I understand that SFU will use this form in accordance with Policy GP 37.

Person assigned to monitor the management plan:

Name:

Email:

*COI is related to US Public Health Service sponsored research*

If my conflict of interest relates to research sponsored by the U.S. Public Health Service (PHS), I voluntarily authorize SFU to disclose my personal information to a PHS awarding agency, a prime awardee institution or a member of the public requesting the information, as required by the PHS Regulations. I understand that the information may be disclosed outside Canada. I may withdraw consent at any time by notifying SFU by email at [coi@sfu.ca](mailto:coi@sfu.ca). I acknowledge that, if I withdraw my consent, I may not be able to continue the PHS-sponsored research.

I support and agree with this COI/COC Disclosure Form. Should I become aware of circumstances or events that may require a revision to this form, I will promptly discuss these particulars with the Reporting Individual.

This conflict cannot be managed effectively using the proposed management plan.

Reporting Individual Signature

Date (yyyy-mm-dd)

Responsible Authority Signature

Date (yyyy-mm-dd)

Next: Email the signed form to the appropriate Responsible Authority

Next: Email the signed form to [coi@sfu.ca](mailto:coi@sfu.ca)