

**UnityPoint Health Des Moines
2016
CONFLICT OF INTEREST DEFINITIONS**

Please read the following definitions and explanations carefully. This information will be helpful in completing the following form completely and accurately.

A **conflict of interest** may exist when an individual has an interest that may compromise or have the appearance of compromising the professional judgment of the individual. For example, a conflict of interest could affect the oversight of research, choice of research protocols, the enrollment of human subjects, the collection and interpretation of data, or the reporting of results. A conflict of interest may result from interests that are either financial or associational in nature (collectively, an "Interest").

A **financial interest** is an interest that stems from an individual's or entity's financial relationship with another individual or entity. A financial interest may arise from a compensation arrangement or an ownership arrangement.

An **associational interest** is an interest that stems from a covered individual's or entity's formal or informal participation in or involvement with (directly or indirectly such as through a family member) an organization or entity that, in turn, has a financial or economic stake in an industry entity engaged in research activities. A covered individual means any person covered by this policy, namely all persons who perform, regulate or oversee research conducted under the auspices of UnityPoint Health Des Moines or an Institutional Review Board of this organization. Neither the IRB reviewer nor their immediate family may have financial interests related to the research. Immediate family means spouse, and any family member who is dependent of the covered individual or whom the covered individual is dependent upon. A potential conflict of interest may arise when the party holding the financial interest is related to the employee in ways other than spouse and dependent children. Financial interests held by this party should be disclosed by the covered individual to the best of his or her knowledge.

Conflicts may be most likely to occur or appear to occur in regard to Interests in relation to financially interested persons or entities. A financially interested person or entity is a person or entity which would reasonably appear to affect or be affected by the conduct or outcome of a research project at a UnityPoint Health Des Moines facility. This term includes: (1) the manufacturer or distributor (including business partners and affiliates) of any drug, device or other process being used in the research; (2) any entity acting as the agent of the sponsor of the clinical research or other company with an Interest (e.g. a contracted research organization); and (3) a company that provides direct or primary competition for the investigational product if the investigator actually knows the financial interests of the company would reasonably appear to affect or be affected by the research (each a "Financially Interested Entity").

Please complete the form and return to:

UnityPoint Health-Des Moines IRB Office
Iowa Lutheran Hospital
700 East University Avenue, West 597
Des Moines, IA 50316
Fax: 515-263-5553
E-Mail: irbsubmissions@unitypoint.org

**UnityPoint Health Des Moines
2016
CONFLICT OF INTEREST DISCLOSURE FORM**

This form must be completed **annually** (at minimum) by anyone who is involved in a research endeavor at a UnityPoint Health Des Moines facility, including investigators and all research staff and all who oversee the research, including Institutional Review Board members. **It is the responsibility of the individual completing this disclosure to update this information whenever the circumstances change.**

Please submit this form to the Institutional Review Board Office:
700 East University Ave, Suite W597, Des Moines, IA 50316 • Fax: 515-263-5553 • irbsubmissions@unitypoint.org

To help us better identify potential or actual conflicts of interest, please complete the table by making a mark in the appropriate column.	Yes	No
<p>1) Do you, or any member of your immediate family, or any entity controlled or directed, directly or indirectly, by you, receive any <i>compensation</i> from a Financially Interested Entity? <i>Examples include:</i> (i) Consulting fees (ii) Honoraria (including from a third party, if the original source is a Financially Interested Entity) (iii) Gifts or other emoluments (iv) "In kind" compensation from a Financially Interested Entity (or entitlement to the same), whether for consulting, lecturing, travel, service on an advisory board, or for any other purpose not directly related to the reasonable cost of conducting research (as specified in the research agreement) (v) Training, teaching, or lecturing for a company or entity for which you are compensated that you also are currently acting as principle investigator or sub-investigator for that same company or entity</p> <p>(a) If yes, what is the aggregate amount of this compensation in the last 12 months? _____</p> <p>(b) If yes, what is the aggregate amount you expect to receive in the next 12 months? _____</p>		
<p>2) Do you, or any member of your immediate family or any entity controlled or directed by you or any member of your immediate family have any <i>ownership interest</i> in any of the following?</p> <p>(a) Equity interests, including stock options, of any amount in a non-publicly traded Financially Interested Entity _____</p> <p>(b) Equity interests in a publicly-traded Financially Interested Entity that exceed \$5,000 in the aggregate for the entire family _____</p> <p>(c) Royalty income or have the right to receive future royalties under a patent license or copyright, or other intellectual property interest _____</p> <p>(d) Non-royalty payments or entitlements in connection with the research that are not directly related to the reasonable costs of the research (as specified in the research agreement between the sponsor and the institution.) This includes any bonus or milestone payments to the investigators in excess of reasonable costs incurred, whether such payments are received from a Financially Interested Entity or from the institution on milestone payments tied to the achievement of particular research results. _____</p> <p>(e) Other ownership interest not addressed above _____</p>		
<p>3) Do you, or any member of your immediate family or any entity controlled or directed by you or any member of your immediate family serve as an officer, director, employee, independent contractor, advisor, agent, or in any other fiduciary role for a Financially Interested Entity, regardless of whether remuneration is received for such service?</p>		
<p>4) Is there any financial relationship between your employer, group practice, or practice entity and any Financially Interested Entity that will exceed \$5,000/calendar year?</p>		
<p>5) No list of examples of Interests that might cause or appear to cause a conflict of interest can be complete. Do you have reason to believe that you may have an Interest that the Institutional Review Board should be aware of prior to its work that is not covered by your answers above?</p>		

On a separate sheet, please provide a complete explanation for any item marked "yes."

Name with Credentials (print):	Organization:
Signature:	E-Mail Address: Date:
Action (IRB Office Use Only):	