

Using the electronic Project Specific Disclosure of Financial Interest (eSDFI) Form

The Office of Sponsored Programs (OSP) has replaced the paper SDFI form with the online eSDFI form. The eSDFI is available at: <https://sdfi.umassmed.edu/SDFI>
This link can be accessed on the OSP forms page as well as the Financial Conflict of Interest (FCOI) forms page.

For questions regarding the eSDFI form, please utilize the extensive FAQ series (highlighted) found at the top of the form. Many of the items addressed include definitions; when to complete the form; and what needs to be reported.



The screenshot shows the header of the Office of Research website. On the left is the UMass Chan Medical School logo. To its right is the text "Office of Research" in a large blue font. Below this is a blue navigation bar with white text links: "Home", "Instructions", "Definitions", "Review Process and Guidelines", and "SDFI Job Aid". A red rectangular box highlights the "Instructions" link. Below the navigation bar, the page title "Summary Disclosure of Financial Interests (Page 1 of 6)" is displayed in blue. At the bottom of the screenshot, the text "Please read the Disclaimer" is visible.

The following page appears when you click on the eSDFI link:

The screenshot shows the top portion of a web form. At the top left is the UMass Chan Medical School logo. To its right is the text "Office of Research" in a large blue font. Below this is a blue navigation bar with white text: "Home", "Instructions", "Definitions", "Review Process and Guidelines", and "SDFI Job Aid". The main heading is "Summary Disclosure of Financial Interests (Page 1 of 6)". Below this is a section titled "Please read the Disclaimer" with a paragraph of text explaining the mandatory nature of the form and providing a link to federal regulations. At the bottom left of the form area, a blue button labeled "Next" is highlighted with a red rectangular border. At the bottom of the page, there is a footer with contact information: "This is an official Page/Publication of the University of Massachusetts Worcester Campus Office of Research 55 Lake Ave North Worcester, Massachusetts 01655 Questions or Comments? UMMSCcommunications@umassmed.edu Phone: 508-856-1572".

Click on next; Page 2 will appear. Please note that all asterisked (*) items must be filled in.

The screenshot shows the "Enter Project Details" section of the form. It includes a "Message to Disclosers" field with the text "This has been created as a test document. SMD". Below this are several required fields, each with an asterisk: "Project Type*" is a dropdown menu set to "Proposal"; "RMS Proposal ID*" is a text field with "Test_Doc_123"; "Principal Investigator First Name*" is a text field with "Jane"; "Principal Investigator Last Name*" is a text field with "Doe"; "Principal Investigator Email*" is a text field with "sarah.dugan@umassmed.edu"; and "Principal Investigator Title*" is a dropdown menu set to "Associate Professor".

If you are preparing this form for someone other than yourself, please check the box highlighted below and enter your name and email address. After the remaining fields have been completed click on the next button (also highlighted).

If you are preparing this form for someone other than yourself, please check this box to enter your contact information.

Preparer First Name* :

Preparer Last Name* :

Preparer Email* :

Department* :

Project Title* :

Sponsor* :

Project Start Date* :

Project End Date* :

Human Subjects?* : Yes No

Animal Subjects?* : Yes No

Will Non-University Investigators be responsible with the PI or Co-PI for the design, conduct, or reporting of the activities associated with the project. e.g., subrecipients, consultants, collaborators, others with significant responsibilities? If yes, UMMS must be assured that the Investigators' home institution(s) have policies that comply with the sponsor's regulations. Such assurance should be provided * : Yes No

The following page will appear. Click on the Add New Disclosure Investigator Button (highlighted) to add additional investigators to the SDFI if needed.

NOTE: the September 2023 form has added a new, second field, titled "Add New External Investigator."

Office of Research
UMass Chan MEDICAL SCHOOL

Home Instructions Definitions Review Process and Guidelines SDFI Job Aid

Summary Disclosure of Financial Interests (Page 3 of 6)

Enter UMMS Personnel Identified as Investigators

All individuals responsible for the design, conduct, or reporting of the results of work performed or to be performed under the sponsored project, referred to as "investigator" are required to complete this disclosure. The term "investigator" below includes, but is not limited to the Co-investigators, and any other individuals (including personnel from other institutions) who are involved in accomplishing project objectives. It may include students, graduate and undergraduate, and other personnel who may be listed as authors on project results, even if they are not paid from the project. Please do not add the project Principal Investigator to the list below. Their disclosure information was added on the prior page.

+ Add New Disclosure Investigator

Disclosure Investigator Name	Title	Disclosure Investigator Email	Commands
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Save"/> <input type="button" value="Cancel"/>

+ Add New External Investigator

External Investigator Name	Institution	External Investigator Email	Commands
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Save"/> <input type="button" value="Cancel"/>

As shown below, if the button “Add New Disclosure Investigator” or “Add New External Investigator” is pressed, the fields will need to be filled in before advancing on to the next screen. If either button was pressed mistakenly, simply hit “Cancel” and the fields will disappear.

+ Add New Disclosure Investigator

Disclosure Investigator Name	Title	Disclosure Investigator Email	Commands
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Save"/> <input type="button" value="Cancel"/>
<p>ⓘ The Disclosure Investigator Name field is required. ⓘ The Title field is required. ⓘ The Disclosure Investigator Email field is required.</p>			

Once the necessary fields are completed and the “Save” buttons are clicked, the “Next” button is clicked (highlighted) to proceed.

The screenshot shows a web interface for adding new investigators. It is divided into two main sections: "Add New Disclosure Investigator" and "Add New External Investigator".


The "Add New Disclosure Investigator" section has a table with the following columns: Disclosure Investigator Name, Title, Disclosure Investigator Email, and Commands.

The "Add New External Investigator" section has a table with the following columns: External Investigator Name, Institution, External Investigator Email, and Commands. The data entered in this section is:

External Investigator Name	Institution	External Investigator Email	Commands
Betty White	Boston University	sarah.dugan@umassmed.edu	<input type="button" value="Save"/> <input type="button" value="Cancel"/>

At the bottom of the form, there are two buttons: "Previous" and "Next". The "Next" button is highlighted with a red box.

Once the Next button is clicked, you will be taken to the eSDFI Confirmation page where you will be able to review the eSDFI form before sending it to the Investigators. If you need to revise any of the information on the page, click on the Previous button to go back and make revisions. If everything is ok, click on the Send button (highlighted) to distribute the eSDFI form for signatures.

 **Office of Research**

[Home](#) [Instructions](#) [Definitions](#) [Review Process and Guidelines](#) [SDFI Job Aid](#)

Summary Disclosure of Financial Interests (Page 4 of 6)

Confirmation

Please confirm the following information and click the SEND button if you are ready. Otherwise, click the PREVIOUS button to go back and revise your information.

Message

This has been created as a test document. SMD

Project Title

Test_for_Demo_Purposes

AGREEMENT INFORMATION

Project Type :	Proposal
RMS Proposal ID :	Test_Doc_123
Principal Investigator First Name:	Jane
Principal Investigator Last Name:	Doe
Principal Investigator Email:	sarah.dugan@umassmed.edu
Principal Investigator Title:	Associate Professor
Preparer First Name:	Sarah
Preparer Last Name:	Dugan
Preparer Email:	sarah.dugan@umassmed.edu
Department:	Cell Biology
Sponsor:	NIH
Project Start Date:	11/01/2023
Project End Date:	10/31/2025
Human Subjects?:	No
Animal Subjects?:	No

Will Non-University Investigators be responsible with the PI or Co-PI for the design, conduct, or reporting of the activities associated with the project.: No

NOTE: No Non-University Investigator Types were chosen

If you would like to change any of this information, please click PREVIOUS.
If you are ready to submit your information for review, please click SEND.

[Previous](#) [SEND](#)

When the “Send” button is clicked, the page below will appear. Please bookmark this page so you can return to check the status (highlighted) of the form and to send reminders.

UMass Chan MEDICAL SCHOOL Office of Research

Home Instructions Definitions Review Process and Guidelines SDFI Job Aid

Summary Disclosure of Financial Interests

Agreement Status Information

Please BOOKMARK this status page so you can return to check status and send reminders.

Status information for: SDFI for Dugan Sarah-Proposal; Test_Doc_123

MESSAGE

GENERAL STATUS

Signatures were requested on 9/8/2023 8:47:02 AM.
The OVERALL STATUS for this SDFI Form is PENDING SIGNATURE(S).

DETAILED STATUS

NAME	STATUS
sarah.dugan@umassmed.edu	sent

Recipients will receive a link to the following DocuSign document from the email address of SDFI@umassmed.edu. Begin by clicking on the yellow “START” tab to the left to be taken to the first part of the document to be filled out.

START



DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
999 3rd Ave, Suite 1700 • Seattle • Washington 98104 • (206) 219-0200
www.docusign.com

Project-Specific Disclosure of Financial Interests (PSDFI)

This form supports compliance with the University of Massachusetts (**University**) and UMass Chan Medical School policies on conflicts of interest and applicable federal and state laws and regulations regarding disclosure of financial interests, including [42 CFR 50, Subpart F \(FCOI Regulations\)](#). Completion of this form is **mandatory** for every research project or protocol administered by the Office of Sponsored Programs (**OSP**), regardless of funder. **Failure** to accurately and timely complete this SDFI form is a violation of policy and may result in loss of research funding, research privileges and/or other employment action.

In compliance with the FCOI Regulations, all persons who qualify as an "Investigator" on a UMass Chan research project are required to disclose all project related **Significant Financial Interest** (SFI, as defined below) at the time of proposal submission and whenever requested during the period of the research. The Principal Investigator (**PI**) is responsible for identifying all **Investigators** (as defined below) at UMass Chan and any external Investigators participating in the research/project in this form and for ensuring that each Investigator complete the certification with respect to their financial interests.

Questions about this form should be directed to your OSP pre-award administrator. For questions about whether a financial interest, activity or relationship requires disclosure, contact cor@umassmed.edu.

Project Information:

Proposal ID:	Test_Doc_123
Project Title:	Test_For_Demo_Purposes
Department:	OB/GYN
Principal Investigator:	Sarah Dugan
Sponsor(s) of Research:	NTH

The signer will be moved to the part of the document, below. Answer the questions by *FIRST* clicking on the yellow "CHOOSE" tab (highlighted), then the appropriate answer. If you do not click on the yellow CHOOSE tab, the answer will not save and you cannot progress to the next question.

Investigator PSDFI Certification

Carefully review the definition of **Significant Financial Interest**, then complete the questions and certification below.

1. Do you and/or an immediate family members (i.e., your spouse and dependent children) have a **Significant Financial Interest (SFI)** in the research sponsor?

YES NO

2. Could the work contemplated by this project reasonably appear to affect a company or other entity in which you and/or your immediate family members have an **SFI**?

YES NO

3. Does this project contemplate any purchases from or subawards to a company or other entity in which you and/or your immediate family members hold an **SFI**?

YES NO

CHOOSE

After questions 1-3 are answered, you will be taken to the signature line. Fill in as appropriate. Once submitted, the status of the eSDFI form can be checked with the [web address previously bookmarked](#).

By using the bookmarked web address, the eSDFI form's status can be found under "DETAILED STATUS." Note that the status of the form has changed from "sent" to "completed" (highlighted).

The screenshot shows the Office of Research website interface. At the top left is the UMass Chan Medical School logo. The main header reads "Office of Research". Below this is a navigation bar with links: Home, Instructions, Definitions, Review Process and Guidelines, and SDFI Job Aid. The main content area is titled "Summary Disclosure of Financial Interests". Underneath, it says "Agreement Status Information" and "Status information for: SDFI for Dugan Sarah-Proposal; Test_Doc_123". There is a "MESSAGE" section and a "GENERAL STATUS" section which states: "Signatures were requested on 9/8/2023 8:47:02 AM. The OVERALL STATUS for this SDFI Form is COMPLETED." Below this is a "DETAILED STATUS" section, which is highlighted with a red box. It contains a table with two columns: "NAME" and "STATUS". The table has one row with the name "sarah.dugan@umassmed.edu" and the status "completed".

NAME	STATUS
sarah.dugan@umassmed.edu	completed

Once all disclosing investigators have signed their DocuSign document, the system will send an email to the sdfi@umassmed.edu mailbox to notify OSP that the eSDFI form is complete.

Questions?

Questions about the form itself can be directed to **OSP** during office hours (Tuesday and Thursday from 11a – noon) or to [your OSP specialist](#).

Questions about disclosure can be directed to **COI** via COI@umassmed.edu