

**Conflict of Interest Policy  
Assurance of Compliance Form  
University of Chicago  
Office of the Provost**

PLEASE COMPLETE AND RETURN THIS FORM  
As Soon As Possible  
TO THE OFFICE OF THE PROVOST, ADMIN ROOM 502

**Part I: Assurance Statement**

The University policy regarding Conflict of Interest is described in the document *Outside Professional and Commercial Interests of Faculty/Conflict of Interest (COI)* approved by the Council of the University Senate March 12, 1996; the policy is available on line at <http://researchadmin.uchicago.edu/>. **ALL** faculty and academic researchers are required to assure their compliance with this policy. To do this, please answer the questions in Part II and sign the appropriate section of Part III.

If you have any questions or are unsure about how to respond, you should discuss your concerns with Mary Ellen Sheridan in University Research Administration at 702-8604.

**Part II. Questions**

1. Do you have a significant financial interest in a **commercial** organization that is directly related to your research interest (or would be affected by your research) or directly relates to a business decision you are participating in involving University funds? For this purpose "significant financial interest" means an interest which annually exceeds \$10,000 in value (such as salary, consulting fees, honoraria, fees for seminars, lectures, or teaching engagements, royalties or intellectual property rights) or an ownership interest or stock option in the firm which exceeds 5% when aggregated with the interests of your spouse and dependent children. [see COI [II](#), [III](#), [V. A-D](#)]

Yes  No

2. Do you use or propose to use University facilities or personnel, or patients in the University Hospitals or clinics, to conduct research or testing for any outside interests? (excluding University-administered sponsored projects) [see COI [III.F., G., H., IV.E., F.](#)]

Yes  No

3. Do you consult or have a financial interest with any commercial funding source that also sponsors clinical trials conducted by the University in which you simultaneously are responsible for the design, conduct or reporting of the University project? [see COI [III. F., G., IV.F.](#)]

Yes  No

4. Do you supervise any students, residents, or fellows in any research effort that is directly related to outside financial interests (e.g. external consulting, intellectual property development, equity or stock options, or sponsored project that you are doing for a commercial purpose)? NOTE: This question is NOT restricted to "Significant" financial interests defined above. [see COI [III.C., D., IV.C., D.](#)]

Yes  No

IF YOU SERVE AS PRINCIPAL INVESTIGATOR (PI) OR CO-PI OR ARE RESPONSIBLE FOR THE DESIGN, CONDUCT OR REPORTING OF ANY SPONSORED PROJECT ADMINISTERED BY THE UNIVERSITY, ANSWER THE FOLLOWING QUESTIONS. (See COI [VII.A-D.](#)) OTHERWISE SKIP TO [PART III](#).

5. Do you spend significant effort, including externally-sponsored activities administered by the University, on external professional or commercial activities (e.g. external consulting) during periods of University obligation? [see COI [III.E.](#), [IV.A.](#), [B.](#), [E.](#)]

Yes  No

6. Do you have some involvement or financial interest that is, or could be perceived to be, in conflict with the discharge of your duties at the University? [see COI [II.](#), [III](#)]

Yes  No

7. **IMPORTANT:** The Principal Investigator is responsible, for each proposed activity, for determining which nonfaculty staff, including students, fellows, technicians and off-campus collaborators, meet the definition of "Investigator" according to Federal agency definitions. These individuals will be required to assure compliance with the University's Conflict of Interest policies. [see COI [VII. A.](#), [B.](#)]

"Investigators" have independent responsibility for the design, conduct, or reporting of research. Typically students would not be considered "Investigators" although there may be circumstances where, in the PI's judgment, a student is working relatively autonomously and should be considered an "Investigator." Off-campus collaborators, if affiliated with another PHS or NSF grantee institution, may confirm their compliance with their institutions' conflict of interest policy and, if they have informed Chicago's PI accordingly, do not require further reporting.

Names and addresses of "Investigators" meeting the above definition should be attached to this Assurance by the Principal Investigator.

**Part III. Assurance Options**

**A. IF YOU ANSWERED "NO" TO ALL RELEVANT QUESTIONS, SIGN HERE AND RETURN THIS FORM TO THE PROVOST'S OFFICE, ADMIN BLDG. ROOM 502.**

**Signature:**  
**Printed name:**  
**Department/Division:**  
**Date:**

NOTE: If your answer to any of the above questions changes during the next year, you are responsible for modifying your assurance of compliance and submitting the necessary Disclosure of Information form (COIForm2).

**B. IF YOU ANSWERED "YES" TO ONE OR MORE QUESTIONS, SIGN BELOW, RETURN THIS FORM TO THE OFFICE OF THE PROVOST, ADMIN BLDG. ROOM 502. YOU WILL RECEIVE A DISCLOSURE OF INFORMATION FORM REQUESTING FURTHER INFORMATION KEYED TO THE QUESTIONS ON THIS FORM.**

**Signature:**  
**Printed Name:**  
**Department/Division:**  
**Date:**