

Conflict Of Interest Reporting

Instructions

PLEASE READ THE FOLLOWING BEFORE COMPLETING THIS FORM

The faculty of Indiana University is engaged in pursuing and disseminating knowledge in their respective fields, in large part through research and sponsored programs. For the protection of individual faculty and the University, it is critical to ensure that these activities are conducted, and - equally importantly - perceived to be conducted with the highest level of academic integrity and objectivity. In particular, it is critical to ensure that outside financial interests held by faculty members in areas related to their research and sponsored programs do not, and are not perceived to, improperly influence how they carry out those activities.

Accordingly, under the terms of the Board of Trustees' Policy on Conflicts of Interest, this form must be completed by disclosing financial interests above a certain value that you, or your spouse or dependents, have with external (i.e., non-University) persons or entities, where those interests reasonably may appear to affect, or be affected by, your research or sponsored programs within IU. The information disclosed on this form will be reviewed by the head of the unit in which you hold your primary appointment (i.e., Chair, Dean, Director) or his/her designee, and, if an outside financial interest is disclosed, by a faculty conflicts of interest committee, to determine whether or not any financial interests disclosed create a conflict of interest or the reasonable appearance of a conflict of interest, and if so, to identify measures that can eliminate, or minimize and manage, such conflicts.

The focus is on preventing situations in which outside financial interests might inject or appear to inject bias into how faculty conduct their University activities. Therefore, the outside financial interests you should disclose on this form are those that a reasonable person would consider to affect, or be affected by, your research or sponsored programs. Essentially, this means financial interests, such as equity holdings, consulting income, or paid board of directors memberships, with outside entities who operate in areas related to your research or sponsored programs. If you have any questions about whether a particular interest should be disclosed on this form, or any other questions regarding conflicts of interest, please contact the following for assistance:

Janice C. Froehlich, Ph.D.
Interim Vice Chancellor for Research and
Interim Associate Vice President for Research
Sponsored Research Services - Indianapolis
Administration Building, Room 122
355 N. Lansing St.
Indianapolis, IN 46202
Phone: (317) 274-1020

This form must be completed and submitted to the head of the unit in which you hold your primary appointment. An updated form must be submitted annually and at any time during the year when circumstances change in such a way as to create a new disclosable interest or eliminate a disclosed interest.

Conflict Of Interest Reporting Form

Name:	
Department:	
Campus:	
Phone:	
Email:	

Do YOU, your SPOUSE, or any of your DEPENDENTS (i.e. anyone who receives more than half of their annual support from you) expect to receive during the next twelve months compensation in any form that, when aggregated for all of you, exceeds \$10,000, and that comes from an external (non-IU) person or entity that operates in areas relating to your research, teaching, or service responsibilities at IU? Please note that this does not include any salary or other income that you receive as an employee of IU, such as the salary component of a sponsored research grant or contract.

Yes

No

Do YOU, your SPOUSE, or any of your DEPENDENTS expect to hold at some point during the next twelve months, equity that, when aggregated for all of you, exceeds five percent (5%) ownership or a value of \$10,000 in an external (non-IU) enterprise or entity that operates in areas relating to your research, teaching, or service responsibilities at IU?

PLEASE NOTE: DO NOT INCLUDE SHARES HELD IN MUTUAL FUNDS OR OTHER SIMILAR ARRANGEMENTS IN WHICH THE SHARES ARE COMBINED WITH OTHER EQUITY AND BOUGHT/SOLD BY A THIRD PARTY IN SUCH COMBINATION.

Yes

No

Do YOU, your SPOUSE, or any of your DEPENDENTS expect to serve during the next twelve months as a member of the board of directors or an executive officer in any external (non-IU) entity that operates in areas relating to your research or sponsored programs at IU?

Yes

No

Do YOU, your SPOUSE, or a DEPENDENT expect to personally receive, during the next twelve months, a profit or other benefit valued at \$250 or more, from one or more contracts with, or purchases by, IU? Please note that this does not include any salary or other income that you receive as an employee of IU, such as the salary component of a sponsored research grant or contract.

Yes

No