

**Office of Research and Sponsored Programs
Sponsored Program - Conflict of Interest Disclosure Form**

Federal regulations require that the University manage, reduce, or eliminate actual or potential conflicts of interest with financial interests of a Principal Investigator (PI). Federal regulations also require that such disclosure occur prior to submission of a sponsored project proposal or if a significant financial interest develops subsequent to proposal submission or issuance of award, as such significant financial interest arise. Disclosure by the investigator (PI's, Co-PI's and others who are responsible for the design, conduct, or reporting of research) includes any employee, or subcontractor/subawardee, who have key responsibility for the design, conduct, or reporting of research. The PI is responsible for determining those individuals who have key responsibility on their grant. PI's are also responsible for obtaining disclosures from individuals identified as having key responsibilities. Please complete and submit to ORSP Research Compliance, 2199 S. University Blvd, Mary Reed Building 222, Denver, CO 80208-4820.

Principal Investigator Name:		DU Id:	Date:
Title/Position:		Funding Agency : (all sources, eg. NIH, NSF)	
Department: COI Training Completed:		Subcontracts or Subawards <input type="checkbox"/> Yes <input type="checkbox"/> No	
Email :		Co-Investigators Or Key personnel 1. 2. 3. 4.	
Campus Address:			
Campus Phone number:			

See page 2 for definitions of COI and SFI.

1. Do you or members of your immediate family (i.e., spouse, domestic partner, and dependent children) have an employment, consulting, other financial relationship (including travel), or equity ownership, which represents a significant financial interest with?

a) a sponsor of the University teaching or research activities?	No	Yes
b) a company that does business with the University?	No	Yes
c) an outside organization contributing gift funds to the University?	No	Yes

2. Were you an inventor of intellectual property (i.e. patents, copyrights, or royalty) which has been or will be licensed through the University of Denver to any outside entity in which you (or members of your immediate family) have an employment, consulting or other significant financial relationship?
No **Yes**

3. Do you receive compensation (including travel) that could affect the outcome of the research or that might be potentially deemed a conflict of interest? **No** **Yes**

4. Are there any other situations not covered above that might be deemed a conflict of interest or that might be affected by the research? **No** **Yes**

5. Did you submit a proposal in which arrangements or significant financial interests were disclosed?
No **Yes**

If you answered "YES" to any of the above questions, please attach a description of the situation; and if necessary, identify the business enterprise or entity; contributed service and amount of the interest or equity; safeguards in place; project title and agency of proposal submission.

CERTIFICATION

By signing this form, I certify that the above information is true to the best of my knowledge and that I have read the "University of Denver, Office of Research and Sponsored Programs, Conflict of Interest Policy." I supply this information for confidential review by the University and understand that it will be kept as confidential as legally possible. If required, I will comply with any conditions or restrictions imposed by the University of Denver to manage any real or perceived conflicts. Further, I certify that I will complete a new disclosure annually or if I, or those of my immediate family, have new reportable significant financial interests to disclose. I also certify that I have completed COI training within the last four years.

Signature: _____ Date: _____

Definition of COI: Under the Policy, a conflict of Interest (COI) arises when an employee, or *related party* has a **significant financial interest** in an outside funding source, which interest could directly and significantly affect decision making in the design, conduct, or reporting of externally funded instruction, research, or service activities performed on behalf of the University.

Significant Financial Interest: means anything of monetary value (or potential monetary value), whether or not the value is readily ascertainable, including but not limited to: salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works); any equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights and interests (e.g., patents, trademarks, service marks) upon receipt of royalties or other income related to such intellectual property rights and interests.

Financial interest also includes any reimbursed or sponsored travel undertaken by the Investigator and related to his/her institutional responsibilities. This includes travel that is paid on behalf of the Investigator as well as travel that is reimbursed, even if the exact monetary value is not readily available.

Significant Financial Interest **does not** include:

- (1) Salary, royalties, or other remuneration from the applicant institution;
- (2) Income from authorship of academic or scholarly works;
- (3) Income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels from public or non-profit entities;
- (4) Equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Employee does not directly control the investment decisions made in these vehicles.
- (5) Travel reimbursed or sponsored by public or non-profit entities

- (6) Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the preceding twelve months that did not exceed \$5,000.

See ORSP COI policy for more definitions. **Policy and Training can be accessed at:** <http://www.du.edu/orsp/conflict.html>

Supplement to Conflict of Interest Disclosure

(Complete and submit as many as necessary)

Addition to Financial Interests Report of: _____

Reporting for self family member:

name: _____

relationship: _____

Name of External Entity: _____

Address of External Entity: _____

Type of external relationship: (check all that apply)

<input type="checkbox"/>	Consultant
<input type="checkbox"/>	Speaker
<input type="checkbox"/>	Advisory Board or Committee
<input type="checkbox"/>	Equity Holdings
<input type="checkbox"/>	Governing Board or Officer
<input type="checkbox"/>	Intellectual Property Rights
<input type="checkbox"/>	Royalty Income
<input type="checkbox"/>	Other (describe below)

Amount of compensation or financial interest in prior 12 months: \$ _____

If travel paid by entity:

Destination _____

Amount \$ _____

Comments or explanatory information: