

Office of the Vice Chancellor for Research (MC 672)
310 Administrative Office Building
1737 West Polk
Chicago, Illinois 60612

TO: Deans, Directors and Department Heads
FROM: Larry Danziger, Interim Vice Chancellor for Research
DATE: September 3, 2009
RE: Unit Head Responsibilities, *Report of Non-University Activities* (RNUA)

This document provides an overview of your roles and responsibilities in the RNUA process.

Each year the University conducts a process whereby academic staff disclose and obtain prior approval for external activities. “Academic staff” includes both faculty and academic professionals. The annual *Report of Non-University Activities* (RNUA) is mandated by the University *Policy on Conflicts of Commitment and Interest*, and are crucial in enabling us to comply with state and federal law and University statutes and regulations. Noncompliance could have serious ramifications for both individuals and the institution.

Unit heads play a significant role in the RNUA process. It is your obligation to conduct a careful and thorough review of forms and ensure compliance with university policy. The **process requires prior approval** as opposed to just reporting and **academic staff must update their forms during the year** and seek prior approval if their external activities change.

You are responsible for ensuring that all eligible employees comply with this mandatory policy, and for engaging in discussions and follow up questions with academic staff as needed to clarify the details of any reported activities as well as any activities you think may have been overlooked or unreported. According to the policy, “The unit executive officer can require sufficient specificity to ensure that he/she understands the nature and extent of the conflict.” You must respond within 14 days of receiving an employee’s request for approval of activities. Academic staff should understand that compliance with university policies is included in the terms of employment, and that the conflict of commitment and interest policy includes sanctions for noncompliance.

RNUA forms and instructions, a letter from Chancellor Allen-Meares, and the University of Illinois *Policy on Conflicts of Commitment and Interest* are available under the RNUA and Policy links at <http://www.research.uic.edu/conflict>. You are responsible for disseminating information about how to complete the report to the employees listed on the checklists, as well as any other salaried academic

employee inadvertently excluded from a checklist. Employees must download and complete the form, and return a hard copy to you. Checklists containing names of eligible employees are available under that link, as are instructions for downloading checklists and conducting your administrative review. Based on feedback, to reduce redundancy and streamline the process, we will not supplement the online materials by sending unit heads additional hard copies of the instructions and informational handouts.

Forms and checklists will be available **September 18, 2009**. Employees should return their completed forms to you by **October 2, 2009**. You should conduct your administrative review of the forms and forward all completed checklists and required forms to your Deans/Vice Chancellors by **October 23, 2009**. Deans/Vice Chancellors should complete their administrative review and send all checklists and forwarded forms to the Office of the Vice Chancellor for Research by **November 13, 2009**. UIC's Conflict of Interest Officer, Rebecca Lind, in the Office of the Vice Chancellor for Research, will review potential conflicts requiring further action.

Units must forward to the college their checklists, plus all original RNUA forms meeting any of the following conditions. No other forms should be forwarded, and if they are, they should be returned to the unit.

- (1) A "yes" response to any of the four boxes on part one.
- (2) More than one day per week outside activity reported on part two.
- (3) Non-approval of any retrospective or prospective activities. If you deny any activities or don't reach voluntary agreement with the employee about how to manage or eliminate the conflict, the employee must have the opportunity to respond before you transmit the form to the next administrative level.
- (4) All Unit Heads' forms must be forwarded.

If any required forms or attached statements were not forwarded to you, please obtain them prior to completing your review and approval. Copies of all forms must be maintained in departmental personnel files. Unit heads are responsible for compliance with requests for copies of forms in the event of a federal audit, freedom of information act request, or administrative request for review.

If you have any questions, please contact Dr. Lind at coi@uic.edu or 312-996-4070.

Thank you for your cooperation.