

**Northwestern University**  
**McCormick School of Engineering and Applied Science**

**Annual Disclosure Form: Conflict of Commitment and Conflict of Interest**

For the Academic Year: September 1, 2007 to August 31, 2008

Return this form to your department administrator by **January 9, 2009**.

**If you receive any portion of your academic year salary from a research center, a copy of this completed form should also be provided to the center director.**

Both McCormick and Northwestern recognize the importance of outside activities and also have an interest in assuring that faculty do not engage in activities that pose a potential conflict of interest (COI). This questionnaire will help you and the school identify potential conflicts. Note that answering yes to any question does not automatically indicate that a conflict exists. To help ascertain whether a potential conflict exists, you should describe the situation in detail at the end of the questionnaire or contact the Conflict of Interest Advisory Committee through Allison Berger at a-berger@northwestern.edu.

*For a complete description of the Policy on Conflict of Commitment and Conflict of Interest, please go to <http://www.northwestern.edu/research/policies/faculty-conflict.html>. Note: NSF and PHS have specific conflict policies with which you must also comply if you are receiving funding from them.*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Department: \_\_\_\_\_

Are you submitting a disclosure to any other unit of the university? \_\_\_\_NO \_\_\_\_YES

If the answer is YES, please identify the unit(s).

\_\_\_\_\_

**If you can answer NO to all of the questions below please sign here and return this form to your department business administrator no later than January 9, 2009.**

I have read the Northwestern University *Policy on Faculty Conflict of Commitment and Conflict of Interest*, and the questions on this reporting form. I certify that I have no potential conflicts in any of the categories and that I am in compliance with the Northwestern policy. I supply this information for confidential review by the University, and I do not authorize release of any of it for any other use.

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Please describe your outside time commitments and/or business interests as requested in the questions below.** The University recognizes the importance of outside activities and requires that they be disclosed in an effort to avoid true conflicts. **Do NOT disclose dollar amounts in any answers or detailed information supplied.**

Your Annual Report is your report of non-compensated professional activities. Modest honoraria are not considered compensation.

1. Did you spend more than one day per week on average in outside, **compensated**, professional/commercial activities, including consulting or management of an outside business, during the 2007-08 academic year, and including that part of the summer of 2008 during which you drew summer salary?  
Yes\_\_\_\_\_ No\_\_\_\_\_
2. Did you involve any of your Northwestern students or support staff in your compensated professional/commercial activities?  
Yes\_\_\_\_\_ No\_\_\_\_\_
3. Did you use University resources (including facilities, equipment, and confidential information) in carrying out your outside, compensated, professional/commercial activities?  
Yes\_\_\_\_\_ No\_\_\_\_\_
4. Do you serve as principal or co-principal investigator for sponsored projects submitted and managed through other academic, federal, or commercial institutions excluding subcontracts awarded to Northwestern University and multi-site training or research projects?  
Yes\_\_\_\_\_ No\_\_\_\_\_
5. Did you serve as a manager of outside business activity in your professional field?  
Yes\_\_\_\_\_ No\_\_\_\_\_
6. Did you or members of your immediate family<sup>1</sup> have employment, consulting, or other financial interests, and/or ownership interests<sup>2</sup>:
  - a. In a company or other entity that does business with Northwestern where that business involves you as an employee of the University?  
Yes\_\_\_\_\_ No\_\_\_\_\_
  - b. In an entity that supports your University teaching or research activities?  
Yes\_\_\_\_\_ No\_\_\_\_\_

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<sup>1</sup> Spouse, financially dependent children as determined by the Internal Revenue Service, or domestic partner.

<sup>2</sup> "Financial interests" do **not** include: I.) Current or pending ownership interests in an entity that, when aggregated for you and members of your immediate family, amounts to less than \$100,000 in financial interests and also represents less than 0.5% of the company's equity; II.) Ownership interests such as mutual funds that are managed by an independent third party.

- c. In an entity that contributes gift funds, in-kind gifts, or goods which are under your control or of direct benefit to your teaching or research at Northwestern?  
Yes\_\_\_\_\_ No\_\_\_\_\_
- d. In an outside entity that has or will receive a license through Northwestern to intellectual property that you invented?  
Yes\_\_\_\_\_ No\_\_\_\_\_
7. Did you or anyone in your research group submit proposals to, or receive awards from, any funding agency that could benefit outside entities in which you have employment, consulting, or other financial interests<sup>2</sup>?  
Yes\_\_\_\_\_ No\_\_\_\_\_
8. Using University resources did you create, discover, or reduce to practice, invention(s) to which title has not been offered to the University? (This question does not apply to books or journal articles.)  
Yes\_\_\_\_\_ No\_\_\_\_\_
9. Are there any other situations in which you feel there may be a potential conflict of commitment or interest?  
Yes\_\_\_\_\_ No\_\_\_\_\_

**For each question answered yes please list all such arrangements and attach a written explanation. Dollar amounts are NOT to be disclosed.**

*In submitting this form, I certify that the above information is true to the best of my knowledge, that I have read the **Policy on Faculty Conflict of Commitment and Conflict of Interest**, and that I am in compliance with Northwestern University policies related to conflicts of commitment and conflicts of interest. I supply this information for confidential review by the University, and I do not authorize release of any of it for any other use.*

**Signature** \_\_\_\_\_ **Date** \_\_\_\_\_