

**Northwestern University**  
**Judd A. and Marjorie Weinberg College of Arts and Sciences**  
**2008 Annual Disclosure Form: Conflict of Interest and Conflict of Commitment**

**NAME:**

**TITLE:**

**DEPARTMENT:**

**DATES:** This report covers activities from: **January 1– December 31, 2008**. Please return it to your department chairperson by **April 24, 2009**.

**POLICY STATEMENT:**

<http://www.research.northwestern.edu/policies/faculty-conflict-of-interest.html>.<sup>1</sup>

WCAS and Northwestern encourage faculty involvement in activities outside the university that facilitate the transfer of knowledge to society at large. At the same time, such activities may create either the perception of or actual conflict of interest. The faculty is vested with the responsibility of monitoring and reporting outside activities that might pose conflicts so that these situations can be managed for the protection of all parties.<sup>2</sup>

**JOINT APPOINTMENTS:** 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. Are you submitting a disclosure to any other unit of the university?  
\_\_\_ Yes \_\_\_ No     If the answer is YES, please identify the unit(s) here:

**If you can answer NO to all of the questions on the following pages, please sign here and submit this page only.**

I have read the Policy on Faculty Conflict of Commitment and Conflict of Interest, and the questions on the 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** \_\_\_\_\_

<sup>1</sup> NSF and NIH have specific conflict policies that apply to applicants and awardees for funding.

<sup>2</sup> Please note that an ad hoc report should be filed whenever a new situation arises that could constitute a conflict of interest or conflict of commitment. The original should be filed with the Dean's office of your primary appointment, copied to the director of any Center in which you have a budgetary appointment.

Report **outside time commitments and/or business interests** in the questions below and provide details in the final section.

**PART 1: CONFLICT OF INTEREST**

1. Did you engage in any compensated professional/commercial activities in 2008, excluding grant and manuscript reviewing, journal editing, and service in professional societies?  
Yes\_\_\_\_\_ No\_\_\_\_\_
  
2. Did you involve any Northwestern students or support staff in your compensated professional/commercial activities?  
Yes\_\_\_\_\_ No\_\_\_\_\_
  
3. Did you use University resources (including computers, facilities, equipment, IT staff, 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>3</sup> have employment, consulting, or other financial interests, and/or ownership interests<sup>4</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>3</sup> Spouse, financially dependent children as determined by the Internal Revenue Service, or domestic partner.

<sup>4</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; or II.) Ownership interests, such as mutual funds managed by an independent third party.

- c. In an entity that contributes gift funds, in-kind gifts, or goods 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, co-invented, or was from your lab?  
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>5</sup>?  
Yes\_\_\_\_\_ No\_\_\_\_\_
8. Using University resources did you create, discover, or reduce to practice invention(s) that you considered commercially valuable and to which title has not been offered to the University? (This question does not apply to books, journal articles or works of art.)  
Yes\_\_\_\_\_ No\_\_\_\_\_

**PART 2: CONFLICT OF COMMITMENT**

9. Did you spend more than 20 percent of your professional time on compensated **and** non-compensated external Professional/Commercial Activities during that portion of 2008 when you were drawing academic year or summer salary?  
Yes\_\_\_\_\_ No\_\_\_\_\_

If you answered yes to question 9, please proceed to questions 9a and 9b. If you answered no, please proceed to question 10.

- a. Did you spend more than twenty percent of your professional time in **compensated** external Professional/Commercial Activities alone (including outside consulting) during that portion of the year when you were drawing academic year or summer salary?  
Yes\_\_\_\_\_ No\_\_\_\_\_
- b. Did you spend more than 20 percent of your professional time, while drawing academic year or summer salary, in **non-compensated** external Professional Activities for which you did not obtain pre-approval from your department chair? (The following activities do not normally require approval: lectures and seminars at other universities and meetings of professional societies, peer review of articles and grant proposals, and membership on editorial boards.)  
Yes\_\_\_\_\_ No\_\_\_\_\_

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<sup>5</sup> See footnote 4, for definition of “financial interests.”

10. Do you anticipate external commitments in 2009 that will call for more than 20 percent of your professional time?

Yes\_\_\_\_\_ No\_\_\_\_\_

11. While a member of the Northwestern faculty, did you teach or co-teach a course at an institution other than Northwestern?

Yes\_\_\_\_\_ No\_\_\_\_\_

### **PART 3: DETAILS**

12. 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 as “Yes” above, please provide full details of all such arrangements,** including, as appropriate, the outside entity, the type of activity, and the number of days spent in the activity. Dollar amounts of consulting activities do not need to be disclosed, but please indicate the size of your financial stake in outside interests noted in the questions.

*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**\_\_\_\_\_