



## Conflict of Interest Oversight Committee Guidelines

### Mission

*The mission of the Conflict of Interest Oversight Committee (COIOC) is to oversee and implement the University's Conflict of Interest policies to preserve integrity and objectivity in the University's research, academic, and business activities, while observing the entrepreneurial spirit and mission of the University.*

### Function

- Review and make decisions relative to COI issues escalated from School-based COI Committees
- Review and make decisions relative to COI issues crossing School or faculty/staff boundaries
- Review and make decisions relative to faculty disclosures from University Research Centers
- Review and make decisions relative to institutional COI issues
- Receive and review appeals to COI determinations or management plans per policy
- Receive periodic updates from School-based and Staff COI committees
- Make recommendations for high-level and overarching COI policy and process decisions

### Composition and Structure

The COIOC was established by the Provost under the University's Policy on Conflict of Interest and Conflict of Commitment. The Committee is comprised of representatives from each School and from key offices within central administration, including the Provost's Office, the Office for Research, the Innovation and New Ventures Office, the Office of Financial Operations, the Office of General Counsel, and the Office of Human Resources. Members are appointed by the Provost and generally serve for the duration of their role in the School Dean's Office relative to oversight of faculty COI issues as decided by the respective School Dean, or the duration of their role in the central administrative offices. As the need arises, faculty School representatives may assign designees to attend meetings and vote on issues on their behalf. The Office of General Counsel and NUCOI representatives on the COIOC are non-voting members.

Faculty members may be invited to take part in Committee meetings and discussions on an ad hoc basis based on the need for specific expertise or knowledge. Representatives external to Northwestern may also be invited to take part in Committee meetings and discussions on an ad hoc basis based on the need for impartial and objective insights when the COIOC is considering potentially significant institutional conflict of interest issues.

The Committee is chaired by one of the faculty School representatives. The Chair is selected by the Committee for a one year renewable term and can appoint Committee members on behalf of the Provost.

Committee meetings are scheduled on a bimonthly basis and may be scheduled more frequently as the need arises. Issues that come to a vote require a simple majority of voting members to pass. A quorum must be present for any votes, and a quorum consists of a simple majority of voting COIOC members at the time of the vote.

The COIOC is supported by Northwestern's Conflict of Interest Office (NUCOI).

*Adopted by COIOC on October 20, 2014.*