



SUBRECIPIENT / CONSULTANT INVESTIGATOR CONFLICT OF INTEREST DISCLOSURE & CERTIFICATION FORM NSF-SPONSORED PROJECTS

This Form must be completed by Investigators external to Northwestern University only when a subrecipient institution elects to adhere to Northwestern's Conflict of Interest in Research Policy relative to a research project under Northwestern, or when any consultant is listed as an Investigator on a Northwestern research project, for research under **National Science Foundation (NSF)** Conflict of Interest [requirements](#). The information collected on this Form will be maintained in a confidential manner by Northwestern and will not be shared except with those who have a need to know for regulatory compliance purposes.

Please return completed form to: nucoi@northwestern.edu

Investigator Name

Investigator Institution

Email Address

Phone Number

Role in Research

Northwestern University Principal Investigator

Project Title

For Internal Use Only:

NU InfoEd #

Section I. Northwestern Policy on Conflict of Interest in Research

Subrecipient and Consultant Investigators covered under Northwestern's Conflict of Interest Policy must:

1. Read and comply with [Northwestern's Conflict of Interest in Research Policy](http://www.northwestern.edu/coi/policy/research_policy.pdf) (http://www.northwestern.edu/coi/policy/research_policy.pdf)
2. Disclose all Significant Financial Interests that directly relate to the Investigator's work for Northwestern (described in Section II below).

Section II. Definitions

Investigator: any individual acting as a project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research, and the individual's spouse and dependent children.

Significant Financial Interest: a financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) received from a single external entity in the 12 months prior to disclosure:

- Remuneration from an outside entities exceeding \$10,000
- Equity interest in any entities exceeding 5% ownership or a value of \$10,000
- Intellectual property rights exceeding \$10,000

EXCLUDED – Do not disclose:

- Remuneration, intellectual property, or equity interests that aggregates to less than \$10,000 from a single entity in the previous 12 months
- Remuneration for lectures, seminars, teaching engagements, or service on advisory committees or review panels relating to federal, state, or local government agencies, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.
- Unlicensed intellectual property that does not generate income or is administered through an Investigator's home educational institution.
- Equity interests in publicly and non-publicly traded entities in the form of stock ownership through personal retirement accounts and mutual funds, as long as the investigator does not directly control the investment decisions made in these vehicles.

Section III. Disclosure

Each Investigator must respond to each question below. Disclose any of the interests indicated below -- *that directly relate to the Investigator's work for Northwestern* -- in aggregate, relative to any single external entity received in the 12 months prior to this disclosure date. If a response to any question is "YES", the detail requested is required. If there are more than two entities, please attach additional copies of the form, as needed.

1. Have you received remuneration from an entity that, when aggregated, totals more than \$10,000 in the previous 12 months?

Response:

Yes No

Entity #1 Name

Entity #2 Name

Remuneration Date

Amount

Remuneration Date

Amount

Reason for Remuneration

Reason for Remuneration

2. Do you hold equity in an outside entity exceeding 5% ownership or valued at more than \$10,000?

Response:

Yes No

Entity #1 Name

Entity #2 Name

Date Acquired

Value

Date Acquired

Value

Form of equity (e.g., stock, stock options)

Form of equity (e.g. stock, stock options)

3. Do you have any intellectual property rights from which you receive income that exceeded \$10,000 in the previous 12 months?

Response:

Yes No

Description of Intellectual Property #1

Description of Intellectual Property #2

Date Acquired

Value

Date Acquired

Value

Form (e.g., licensing, royalties)

Form (e.g., licensing, royalties)

Section IV. Investigator Certification

I hereby affirm:

- The information I have provided in this Form is complete and accurate to the best of my knowledge; and
- I will adhere to Northwestern's Conflict of Interest in Research Policy (http://www.northwestern.edu/coi/policy/research_policy.pdf) during the period of the research for Northwestern.

Signature:

Date:

Section V: Resources

- [Northwestern University Conflict of Interest in Research Policy](#)
- [Northwestern University Conflict of Interest Office Website](#)
- [Northwestern University Office for Sponsored Research Contact List](#)
- [NSF Conflict of Interest Policies](#)

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