



SUBRECIPIENT / CONSULTANT INVESTIGATOR CONFLICT OF INTEREST DISCLOSURE & CERTIFICATION FORM PHS-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 any consultant is listed as an Investigator on a Northwestern research project, for research under **Public Health Service (PHS)** Conflict of Interest regulations. 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. Summary of Requirements

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) with respect to this Northwestern research activity.
2. Review and certify to completion of Northwestern's [COI training document](http://www.northwestern.edu/coi/training/COI_Training_Module.pdf) (http://www.northwestern.edu/coi/training/COI_Training_Module.pdf)
3. Disclose Significant Financial Interests (SFIs) **that directly relate to the Investigator's research for Northwestern**

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 exceeding \$5,000
- Any equity interest in a non-publicly traded entity, and equity interests in publicly traded entities exceeding a value of \$5,000
- Intellectual property interests exceeding \$5,000
- Sponsored or reimbursed travel exceeding \$5,000

EXCLUDED – Do not disclose:

- Remuneration, intellectual property interests, equity in publicly traded entities, or sponsored or reimbursed travel received that aggregates to less than \$5,000 from a single entity in the previous 12 months
- Remuneration or sponsored or reimbursed travel received 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 only those interests and relationships that directly relate to the Investigator’s work for Northwestern and meet the disclosure thresholds identified below.* 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 \$5,000 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 any equity in non-publicly traded entities, or equity valued at more than \$5,000 in a publicly traded entity?				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 \$5,000 in the previous 12 months?				Response:	
				Yes	No
Description of Intellectual Property		Description of Intellectual Property #2			
Date Acquired		Value	Date Acquired		Value
Form (e.g., licensing, royalties)		Form (e.g., licensing, royalties)			

4. Have you received sponsored or reimbursed travel from an entity that, when aggregated, totals more than \$5,000 in the previous 12 months?

Response:

Yes

No

Entity #1

Entity #2

Date of Travel

Value

Date of Travel

Value

Reason for Travel (e.g., conference, board meeting)

Reason for Travel (e.g., conference, board meeting)

Section IV. Investigator Certification

I hereby affirm:

- 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;
- I have reviewed and understand the COI training document (http://www.northwestern.edu/coi/training/COI_Training_Module.pdf); and
- The information I have provided in this Form is complete and accurate to the best of my knowledge.

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](#)
- [NIH Financial Conflict of Interest Website](#)

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