

Name _____ Department _____

Conflict of Interest Questionnaire for Staff

Northwestern University's Staff Conflict of Interest Policy provides guidelines about business and personal relationships between Northwestern employees and suppliers and other business entities as well as guidelines regarding the use of University resources for purposes other than University business. You should read this policy, found at <http://www.northwestern.edu/hr/policies/coip.html>

The policy provides cautions about situations that may improperly influence or even appear to influence the business decisions and transactions that we make on behalf of the University. In addition, we must examine outside activities that conflict with or appear to conflict with our primary employment obligations to Northwestern.

This annual questionnaire provides staff with an opportunity to review personal situations and disclose any such relationships or activities. A "Yes" answer does not necessarily constitute a conflict of interest. However, without complete disclosure of the facts, a fair and reasonable assessment of an individual's situation cannot be made.

If you answer "Yes" to a question, please use the comment box that follows the question to describe the potential conflict of interest.

Financial Interests. If you or a family member (your spouse or child) is in a business providing services to the University, there is a potential conflict of interest that may be resolved by making the relationship known. This will help assure objectivity in decisions, but it does not necessarily mean the services need to stop.

1. Are you or is any member of your immediate family a director, officer, owner, partner, employee, an agent of, or a consultant to any firm that provides products or services to Northwestern University? Yes___ No___

If yes, please describe here the business and the nature of your relationship to it and that of your immediate family.

2. In the past twelve months, have you or has any member of your immediate family had a direct or indirect financial interest in any business that provides products or services to Northwestern University? Yes___ No___

If yes, please describe here the business and the nature of your relationship to it and that of your immediate family.

Gifts. Gifts received from suppliers to the University or gifts given to suppliers can affect or appear to affect the objectivity of judgment regarding that supplier. Gifts can bring with them an expectation to return a favor. If you have a doubt about an item received or given, a discussion with your supervisor can help resolve a potential conflict of interest that a gift might represent.

3. At any time in the past twelve months, have you or has anyone from your immediate family received any gift (other than promotional items or an occasional meal) or unusual hospitality from a supplier of Northwestern University? Yes___ No___

If yes, please describe here the nature of any gifts and the parties giving them.

4. At any time in the past twelve months, have you or has anyone from your immediate family given any gift (other than promotional items) or unusual hospitality to a supplier of Northwestern University? Yes___ No___

If yes, please describe here the nature of any gifts and the parties receiving them.

Personal activities. Providing other employers with the same services you provide to the University could be in conflict with University interests if the work subtracts from effort expected in your University job or if it competes with University interests. However, holding another job outside the university is not necessarily a conflict by itself. If there is any doubt, you should discuss the activity with your supervisor and resolve the doubt.

5. Are there any other personal activities of yours that you think might be a conflict of interest with respect to your work at Northwestern University? Yes___ No___

If yes, describe here the nature of the activity.

University resources. Using university time or equipment or supplies for professional or civic activities related to your work or University employment is not a conflict insofar as these activities contribute to the University's interests. The amount of time or resources may be an issue requiring discussion with your supervisor to assure compatibility with performance of your job and affordability in drawing on the department's resources. Personal activities unrelated to work but using your time on the job or the department's resources require a "yes" response and a discussion with your supervisor.

6. Do you have occasion to use University resources (equipment, space, supplies or your paid work time other than incidental interruption) in performing paid or volunteer activity for entities other than Northwestern University or its affiliates? Yes___ No___

If yes, describe here the activity and the resources used.

Signature: _____

Date: _____

Supervisor approval signature _____

Date: _____