

# Northwestern

## Research Sponsors Subject to Northwestern’s Research Conflict of Interest (COI) Disclosure Requirements

- ✓ Proposals submitted to/research funded by federal sponsors
- ✓ Proposals submitted to/research funded by industry sponsors
- ✓ Proposals submitted to/research funded by other sponsors with COI requirements
- ✓ All research involving human research participants, regardless of funding source

## Non-Federal / Non-Industry Sponsors Following Federal Public Health Service COI Requirements

- ✓ American Heart Association (AHA)
- ✓ American Cancer Society (ACS)
- ✓ American Asthma Foundation
- ✓ Alliance for Lupus Research
- ✓ Arthritis Foundation
- ✓ American Lung Association (ALA)
- ✓ California Breast Cancer Research Program (CBCRP)
- ✓ California HIV/AIDS Research Program (CHRP)
- ✓ Lupus Foundation of America (LFA)
- ✓ Juvenile Diabetes Research Foundation (JDRF)
- ✓ Susan G. Komen Foundation
- ✓ Patient-Centered Outcomes Research Institute (PCORI)
- ✓ CurePSP (Society for Progressive Supranuclear Palsy)

## Northwestern’s Conflict of Interest Disclosure Requirements

Any Significant Financial Interests (SFI), which means an external financial interest related to your institutional responsibilities consisting of one or more of the following interests of an Investigator (and those of the Investigator’s spouse and dependent children), when combined for the 12 months preceding the disclosure date, from a single entity:

Nature of SFI	Threshold	Excluded (Do <u>Not</u> Disclose)
Compensation and/or other payments for service	Exceeds \$5,000*	Compensation received less than \$5,000, as well as any compensation 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 as defined in <a href="#">20 U.S.C. 1001(a)</a> , an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education, and compensation received from NU funds
Equity interests in a publicly-traded entity	Exceeds \$5,000*	Interests in publicly-traded entities valued at less than \$5,000 as well as interests in any entity through personal retirement accounts and mutual funds
Equity interests in a non-publicly-traded entity	0	Interests in any entity through personal retirement accounts and mutual funds
Intellectual property rights and interests upon receipt of income related to such rights and interests	Exceeds \$5,000*	Royalties received from NU funds, and unlicensed intellectual property that does not generate income
Sponsored or reimbursed travel <i>Applies to PHS-funded researchers only: Investigators who have <u>any</u> PHS funding or any funding from agencies following PHS COI regulations must disclose any reimbursed or sponsored travel</i>	Exceeds \$5,000	Travel administered through NU funds, and travel reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education as defined in <a href="#">20 U.S.C. 1001(a)</a> , an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education

\* Investigators whose primary appointment is in the Feinberg School of Medicine (FSM) are subject to a \$0 disclosure threshold for compensation and intellectual property interests.  
Please read each disclosure question carefully.

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Questions? Contact [nucoi@northwestern.edu](mailto:nucoi@northwestern.edu) or 847.467.4515