COI Discloser Quick Tips! Annual Staff Disclosure

1. Open your 2/1/17 *Go-Live* email and log in to the *eDisclosure* system with your Northwestern NetID (or *eDisclosure* ID) and password, the click 'Login'.



2. Review the information and resources on the 'Welcome' page. Click the 'Disclose' button to begin your disclosure.

My Action: Disclose	Northwestern
Policies	Welcome!
Definitions System Help	Annually, Staff members are required to complete a Conflict of Interest (COI) disclosure. The external interests and activities disclosed are assessed to determine whether or not they could potentially interfere with or detract from one's Northwestern obligations and responsibilities. A "Yes' response in this disclosure does not necessarily mean a COI exists. However, without complete disclosure of the facts, a fair and reasonable asseessment of a situation cannot be made. It is Northwestern's obligation to determine whether or not disclosed interests and activities could directly or significantly affect University responsibilities or interests and, if so, how to manage, reduce, or eliminate the identified conflict.
	COI disclosure requirements and the procedures for handling potential <u>Conflicts of Interest</u> are outlined in the University's Conflict of Interest and Conflict of Commitment Policy.
	Northwestern expects its community to perform activities on behalf of the university with the highest degree of integrity and free from actual or perceived bias resulting from personal interests or relationships.
	Key standards supporting this expectation include:
	Faculty and Staff should not allow outside activities or outside financial interests to interfere with their fundamental obligation to act in the best interests of Northwestern.
	 Faculty and Staff are expected to apply their time and effort appropriately and to use Northwestern resources toward university ends. Faculty and Staff should avoid engaging in transactions or relationships with vendors or potential vendors that might influence or appear to influence Northwestern purchasing decisions.
	Faculty and statil secure arguing in transactions or matricinance with ventions that many intrusions or potential ventions are unargued to intrustence or appear to innumence or a
	While this disclosure process occurs only annually for many, please ensure that you are aware of your ongoing responsibilities as outlined in Northwestern's Policy on Conflict of Interest and Conflict of Commitment, Standards of Business Conduct, and Purchasing and Payment Policy and Procedures with respect to <u>Conflict of Interest</u> . Disclosure responses are confidential and are reviewed by a Staff member's manager, the Staff COI Committee, and very few others who have specific need to know.
	Thank you in advance for your cooperation.

3. The 'Introduction/Instructions' page provides some key information and tips for navigating the site. Click 'Continue'.

iest of your knowledge is appropriate. You may contact Northwestern's Conflict of Interest Office at nucol@northwestern.edu or 847-467-4515 if you have questions regarding disclosure. Your responses should encompass relationship(s) and/or interest(s) for calendar year 2016 (January 1, 2016 through December 31, 2016).	Continue >>
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ey tips for navigating this site:	
• Click the "Continue" button (located at the top and bottom right section of the screen) to advance to the next section of the disclosure.	
 Click the "Continue" birthon (located at the top and bottom right section of the screen) to advance to the next section of the disclosure. 	
Click the "@" icon throughout the disclosure for helpful hints and additional information. Click any underlined text to view defined terms or policies.	
lick on System Help for more detailed system help and guidance.	
Save Exit Hide/Show Errors Print Jump To: Introduction/Instruction -	Continue >>

4. The 'Relationships/Interests' page asks you to respond, via 'Yes' or 'No' selection, whether or not you have external relationships and/or interests meeting the disclosure criteria.

Northwestern must understand personal relationships and interests Staff members have with companies that conduct business with the university. During the previous calendar year, did any of the following apply to you or your <u>Immediate Family Member</u> with respect to your <u>Institutional Responsibilities</u>?

Relationship with or Financial Interests in an <u>Entity</u> that conducts business with Northwestern?

• Provided or received individual gifts, goods, or funds to, or from any Entity that conducts business with, or is in the process of seeking business with, Northwestern?



5. If you do <u>not</u> have anything to disclose in response to this question, select 'No'. Click 'Continue'. If you <u>do</u> have something to disclose, select 'Yes', and an option will appear for you to 'Add Disclosure'. Click 'Continue'.

● Yes ■ No Clear		
If <u>YES</u> , please disclose the <u>Entity</u> with which yo	u or your <u>Immediate Family Member</u> had a relationship and/or interest.	
Adding new disclosures or modifying/removing To add a new relationship and/or interest, click		
<< Previous Page	Save Exit Hide/Show Errors Print Jump To: Relationship(s) and/or Interest(s) +	

6. Upon indicating that you have a relationship and/or interest to disclose, you will identify the entity (i.e. company/organization name) with whom the relationship and/or interest exists. Start typing the name of the entity in the box, and selections will appear in a drop-down menu list. Upon locating your entity name, select it, click 'Select', and then click 'OK' to continue. If you do not locate the entity name in the menu, you can type in the entity name in the second box.

Gelect the Entity with Say from the list the (&L Gates, LLP Sele f you are unable to m								oox below and	d selecting t	he approp	
	Clear				for and cho	ose the <u>Entit</u>	(from the list	that appears			
	nd the <u>Entity</u> , ple	ase enter as tex	ct below:								
lease click " <u>OK</u> " to s	elect the <u>Entity</u> e	ntered above, c	or click " <u>Canc</u>	<u>el</u> " to exit th	nis window.						
									O		

7. Having selected the name of the entity with which you have a relationship and/or interest to disclose (e.g., K&L Gates, LLP.), you are now asked more information about the nature of the relationship and/or interest. You may see more or less options than what appears in the screen shot example below, depending on your role. Check as many that apply. If you are not certain what something means or what is being asked, click the '?' icon for guidance/more information. Make your selections and click 'Continue'.

avita Staff: Relationship and/or Interest with K&L	Gates, LLP	
u have indicated that you or an <u>Immediate Family Member</u> had a relationship and/or interest w	th K&L Gates, LLP	
Describe your (or your Immediate Family Member's) relationship and/or interest with this Entit Payment(s) For Service (e.g., consulting, speaking, honoraria, employment, etc.) Ownership or Equity Interest(s) Provided or Received Individual Gift(s), Good(s), Fund(s) to or from Entities that Conduct Bus Other Activities		
	Save Exit Hide/Show Errors Print Jump To: Disclosures For this Entity +	Continue >>
	nd/or interest with the entity is for yourself or an immedia	

Immediate Family Member

9. For each type of relationship you have identified with the entity, you will be asked to provide additional information. Enter the information requested, and then click 'Continue'.

<< Previous Page	Save Exit Hide/Show Errors Print Jump To Ownership or Equity Interest(s) +	Continue >>
*Individual with Interest: Self Immediate Family Member Response Fields: Immediate Family Member *Infimediate Family Member(a), describe all such relationship(a) (e.g., my spouse spouse * Type of ownership: Stock portnased on open market Founder's shares Stock options Other If other, describe Mittional Information My spouse owns a business that conducts business with Northwesterr!		
<< Previous Page	Save Exit Hide/Show Errors Print Jump To: Ownership or Equity Interest(s) +	Continue >>

10. You will see a summary table of your relationships/interests disclosed with this particular entity. If you need to make edits, click 'Previous Page'. If you are done disclosing for this entity, click 'Return to Relationships Page'.

Kavita Staff: K&L Gates, LLP - Disclosure Summary

Click "Return to Relationships Page" if you wish to complete and finalize your relationship(s) and/or interest(s) for this Entity.

Upon clicking "Return to Relationships Page", you will be taken back to the main "Relationship(s) and/or interest(s)" page, where you will be able to click the "Add Disclosure" button to disclose additional Entities with which you have relationship(s) and/or interest(s), or you will be able to click the "Continue" button (located at the top and bottom right section of the screen) to advance to the next section of the disclosure.

Relationship/Activity	Value	Individual with Interest
Payment(s) for Services	No Disclosure	No Disclosure
Ownership or Equity Interest(s)	N/A	Immediate Family Member
Provided / Received Gift(s)	No Disclosure	No Disclosure
Other Activities	Na Disclosure	No Disclosure
Total Value	\$0.00	
<< Previous Page	Save Exit Hide/Show Errors Print.	Jump To: Disclosure Summary -

11. You are back on the main 'Relationships and/or Interests' page. You will see the disclosure you entered in the table at the bottom of the page. You have the opportunity to <u>add</u> additional relationships and/or interests with <u>additional entities</u> by clicking 'Add Disclosure' and repeating step #s 6-10 for as many external entities for which you have relationships and/or interest to disclose. Once you are done adding disclosures for different entities, click 'Continue'.

Kavita Staff: Relationship(s) and/or Interest(s)

Northwestern must understand	personal relationships and interests §	itaff members have with companies that conduct I	ousiness with the university. During the previous calendar year, did any of t	he following apply to you or your Immediate Family Member with respect to your Institutional Responsibilities?		
	ncial interests in an <u>Entity</u> that conduc vidual gifts, goods, or funds to, or from		process of seeking business with, Northwestern?			
* Yes No Clear			e' if you have another external entity			
			(i.e. another co	mpany) for which you need to disclose		
If YES, please disclose the Entity	ty with which you or your <u>Immediate Fa</u>	mily Member had a relationship and/or interest.		elationships/interests.		
To add a new relationship and/or Add Disclosure		ution below.		This table displays the disclosure(s) you have already entered. You may edit the disclosure already made by		
New or Modified Relationship(s) Please review the relationship(s)		onship no longer exists, click the "X" icon under the		clicking the 'Edit' button, or remove it		
View/Edit	Remove	Entity K&L Gates, LLP	Relationship(s)/Interest(s) Ownership or Equity Interest(s)	by clicking the 'X' icon.		
<< Previous Page		Save Exit	Hide/Show Errors Print Jump To: Relationship(s) and/or /nterest(a) - Continue >>		

13. You will be asked a few additional questions that are broader and not necessarily tied to specific external entities. Respond 'Yes' or 'No' to each question and provide information as required for 'Yes' responses. Click 'Continue'.

Kavita Staff: Relationship(s) and/or Interest(s) - Other Activities

 Northwestern expects its resources to be used for university purposes. During the previous calendar year, did you use h incidental interruption) in performing paid or volunteer activity for entities other than Northwestern or its affiliates? Yes ® No <u>clear</u> Northwestern must ensure that decisions about university funding or assistance are not impacted by personal relation 2016), did you participate in the selection of any University grant or other similar assistance to (i) yourself, (ii) any Family 	ships or interests. At any time during fiscal year 2016 (September 1, 2015 through August 31,
collectively, more than 35% interest in? Yes ® No <u>clear</u> * Are there any other activities, relationships and/or interests not specified in the previous questions that you would like	to disclose in the interest of full transparency, and/or, do you anticipate any changes in the
current year, that would lead you to answer "yes" to any of the previous questions that you did not answer affirmatively? Ves S No Clear	۷
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<< Previous Page Si	ave Exit Hide/Show Errors Print Jump To: Other Activities • Continue >>

14. You have reached the 'Submit' page! Submit your disclosure by clicking the 'Submit My Disclosure' button. To save your disclosure but not submit it, click 'Save as Draft'. To view and/or print your entire completed disclosure, click 'View/Print'.

av	ita Statt. Submit Disclosure
(f you wish to <u>review, edit, or confirm your disclosure at a later time</u> , click the "Save As Draft" button below: Save As Draft
(f you wish to <u>complete and finalize your disclosure</u> as of this date, click the "Submit My Disclosure" button below: Submit My Disclosure
(f you wish to <u>view or print a copy of your disclosure</u> , click the "View/Print" button below: View/Print
1	For technical assistance or disclosure support, please contact the Conflict of Interest Office at 847-467-4515 or nucol@northwestern.edu.
	Please note that clicking the "Save As Draft" button saves, but does not submit, your disclosure.