

**2003
Northwestern University
School of Communication**

Annual Disclosure Form: Conflict of Commitment and Conflict of Interest

(For a complete description of the policy on Conflict of Commitment and Conflict of Interest go to <http://www.northwestern.edu/research/policies/faculty-conflict.html>. Note: NSF and PHS have specific conflict policies which you must also comply with if you are receiving funding from them.)

Return this form to your department chair along with your Annual Merit Review Form

Name:

Title:

Department:

Northwestern University policy states *“Faculty members are encouraged to engage in Non-compensated Professional Activities as long as such activities do not interfere with the Faculty Member’s teaching, research, and service responsibilities to the University.”* Your Annual Merit Review Form will be considered your report of non-compensated professional activities. Modest honoraria are not considered compensation.

Northwestern University policy also states that *“Compensated Professional/Commercial Activities, including outside consulting activity, should not generally exceed, on the average, one day per calendar week during that portion of the year when a Faculty Member is drawing academic year or summer salary.”*

The following questions pertain to your activities from January 1 through December 31, 2003. If you receive any portion of your academic year salary from a research center, a copy of this completed form should also be provided to the center director.

1. Did you spend more than one day per week in outside Compensated Professional/Commercial Activities during that portion of the year when you were drawing academic year or summer salary?
Yes _____ No _____
If yes, please note the outside entity, the type of activity, and the number of days spent in the activity at the end of this form. Dollar amounts are not to be disclosed.
2. Did you involve any of your Northwestern students or support staff in your compensated professional/commercial activities?
Yes _____ No _____
3. Do you serve as principal or co-principal investigator for sponsored projects submitted and managed through other academic, federal, or commercial institutions excluding subcontracts awarded to Northwestern University and multi-site training or research projects?
Yes _____ No _____
4. Did you serve as a manager of outside business activities in your professional field?
Yes _____ No _____

5. Did you or members of your immediate family¹ have employment, consulting, or other financial interests, and/or ownership interests²:
 - a. In a company or other entity that does business with Northwestern where that business involves you as an employee of the University?
Yes_____ No_____
 - b. In an entity that supports your University teaching or research activities?
Yes_____ No_____
 - c. In an entity that contributes gift funds, in-kind gifts, or goods which are under your control or of direct benefit to your teaching or research at Northwestern?
Yes_____ No_____
 - d. In an outside entity that has or will receive a license through Northwestern to intellectual property that you invented?
Yes_____ No_____
6. Did you or anyone in your research group submit proposals to, or receive awards from, any funding agency that could benefit outside entities in which you have employment, consulting, or other financial interests²?
Yes_____ No_____
7. Using University resources did you create, discover, or reduce to practice, invention(s) to which title has not been offered to the University? (This question does not apply to books, journal articles or works of art.)
Yes_____ No_____
8. Are there any other situations in which you feel there may be a potential conflict of commitment or interest?
Yes_____ No_____
9. Are you submitting a disclosure to any other unit of the University?
Yes_____ No_____

For each question answered yes please list all such arrangements. Provide an attached written explanation if necessary.

*In submitting this form, I certify that the above information is true to the best of my knowledge, that I have read the **Policy on Faculty Conflict of Commitment and Conflict of Interest**, and that I am in compliance with Northwestern University policies related to conflicts of commitment and conflicts of interest. I supply this information for confidential review by the University, and I do not authorize release of any of it for any other use.*

Signature_____ Date_____

¹ Spouse, financially dependent children as determined by the Internal Revenue Service, or domestic partner.

² “Financial interests” do **not** include: I.) Current or pending ownership interests in an entity that, when aggregated for you and members of your immediate family, amounts to less than \$100,000 in financial interests and also represents less than 0.5% of the company’s equity; II.) Ownership interests such as mutual funds that are managed by an independent third party.