

LOBBYING AND COMMUNICATIONS BY FACULTY AND STAFF WITH FEDERAL, STATE, AND LOCAL GOVERNMENT OFFICIALS

CONTACT, EXPENSE, AND MEMBERSHIP REPORTING: INSTRUCTIONS & FORMS

INSTRUCTIONS:

Faculty and staff should use the following forms when they expect to interact with government officials or agencies on behalf of University interests, or when using University funds to join or pay dues in excess of \$5,000 to membership organizations, coalitions, or advocacy groups having contact with federal, state, or local governments.

FORM I-A, “Any Type of Contact(s) with Government Officials and/or Agencies,” should be used to report, in advance, all contacts covered by this policy, such as plans to invite government officials to speak on campus, plans to write to legislators, plans to respond to officials’ requests, plans to visit government officials, etc. For many users, if not most, Form I-A will be the only form required. Submit Form I-A to gov@northwestern.edu or, via facsimile, to 847-491-7942.

FORM I-B, “Expenses Related to Contact(s) with Government Officials/Agencies,” is for follow-up reporting of expenses when the Office of Government Relations determines that the interaction reported in Form I-A constitutes reportable lobbying expenses as outlined in this policy. Form I-B requires timely reporting to ensure that Northwestern University complies with applicable law. Submit Form I-B – attached to the completed Form I-A that was submitted prior to the contact – to gov@northwestern.edu (or, via facsimile, to 847-491-7942) no later than 10 days after the end of the reporting quarter in which the contact was made: by April 10 (for quarter 1/1 thru 3/31); by October 10 (for quarter 7/1 thru 9/30); by July 10 (for quarter 4/1 thru 6/30); or by January 10 (for quarter 10/1 thru 12/31).

FORM II, “Membership Dues Paid with University Funds,” should be used by all faculty and staff to report membership dues or other fees exceeding \$5,000 that were paid, with University funds, to organizations interacting with government officials or agencies. The Office of Government Relations will determine whether the reported organization dues or fees constitute a reportable lobbying expense on the part of Northwestern University.

Questions about the policy or about completing these forms should be directed to the Special Assistant to the President for Government Relations (gov@northwestern.edu or 847-491-5680).

Government Contact, Expense, and Membership Reporting Forms

**FORM I-A:
ANY TYPE OF CONTACT(S) WITH GOVERNMENT OFFICIALS &/OR AGENCIES**

DATE(S) OF CONTACT (only one contact per form): _____

EMPLOYEE(S) WHO WILL MAKE THE CONTACT (Name, Dept./Office; Address; E-mail Address; Phone Number):

NAME(S) OF PERSON CONTACTED & LOCATION OF CONTACT (e.g., Senator A in Springfield):

NAME(S) OF GOVERNMENT OFFICE/AGENCY (and note U.S., Illinois, or Cook County, etc.):

PURPOSE OF CONTACT & TYPE OF ACTIVITY (e.g., phone call to discuss [Agency] regulation):

Signature(s) of Employee(s) Who Will Make the Contact

Date Submitted

Submit Form I-A prior to the contact to gov@northwestern.edu or, via fax, to 847-491-7942. Questions about the policy or this form should be directed to the Special Assistant to the President for Government Relations (847-491-5680).

Government Contact, Expense, and Membership Reporting Forms

**FORM I-B:
EXPENSES RELATED TO CONTACT(S) WITH GOVT OFFICIALS/AGENCIES**

1. PLEASE INDICATE ANY CHANGES TO FORM I-A (e.g., different contact date or person):

2. CONTACT EXPENSES THAT WERE COVERED BY NORTHWESTERN UNIVERSITY:

- a. **TRAVEL EXPENSES:** \$ _____
Include costs of transportation (air and ground), accommodations, meals
- b. **SALARIES & BENEFITS COSTS:** \$ _____
Include costs of the date(s) of the contact and of the preparation by the employee who made contact and other staff members
- c. **OTHER COSTS RELATED TO CONTACT:** \$ _____
(e.g., poster materials)

3. _____ PLEASE INITIAL HERE to certify that you have provided no gifts to government officials on behalf of or as a representative of Northwestern University except as approved in advance by the Office of Government Relations

Signature(s) of Employee(s) Who Made the Contact

Date Submitted

Submit Form I-B – attached to Form I-A (completed earlier) – to gov@northwestern.edu (or fax to 847-491-7942): by April 10 (for quarter 1/1 thru 3/31); by October 10 (for quarter 7/1 thru 9/30); by July 10 (for quarter 4/1 thru 6/30); or by January 10 (for quarter 10/1 thru 12/31).

Government Contact, Expense, and Membership Reporting Forms

**FORM II:
MEMBERSHIP DUES PAID WITH UNIVERSITY FUNDS**

ORGANIZATION NAME (Coalition, Association, etc.): _____

AMOUNT OF DUES & DATE PAID (BY NORTHWESTERN UNIV.): \$ _____

TIME PERIOD COVERED BY DUES: _____

Signature of Employee Who Joined

Print Name

Date Submitted

Submit to gov@northwestern.edu or, via fax, to 847-491-7942. Questions about the policy or this form should be directed to the Special Assistant to the President for Government Relations (847-491-5680).