Conflict of Interest Disclosure Form

Instructions: Mark your answer for EACH question below. If your answer to any question is YES, you and/or your manager will be contacted for more information about possible conflicts.

A. Business Relationships and Research Activities
   Are you or a family member involved as an investor, owner, employee, consultant, contractor, or board member with (or entitled to receive royalties from) a business that (a) has a contractual relationship with Vanderbilt, (b) provides goods or services to Vanderbilt, (c) sponsors or is involved in research activities at Vanderbilt, (d) receives referrals from Vanderbilt, or (e) pays royalties directly to you?
   O No  O Yes

B. Family Members Working Together at Vanderbilt
   Have you been involved in the hiring of a family member, or do you directly or indirectly supervise, review, determine compensation for, assign work to, or are you in a position to support the effort of a member of your family working at Vanderbilt?
   O No  O Yes

C. Gifts for Personal Use
   Have you (as an individual or on behalf of your department) or a family member accepted gratuities, gifts, or special favors from someone (or a company) who is doing business with or proposing to do business with the University?
   O No  O Yes

D. Outside Jobs/Activities or Other Relationships (If Healthcare-related, please also answer Question G.)
   Are you or a family member involved in any other activity or other relationship directly or indirectly involving Vanderbilt that creates a conflict of interest/commitment or the appearance of a conflict of interest/commitment under the Vanderbilt University Conflict of Interest and Commitment Policy?
   O No  O Yes

E. Legal Proceedings (THIS IS A PRIVATE QUESTION. THE APPROVER WILL NOT BE ABLE TO VIEW ANY PART OF THIS QUESTION.)
   (The US Department of Education requires universities to verify their continuing eligibility for participation in federally-funded programs. Particular legal proceedings or debarment can affect the University's eligibility for federally-funded programs.) Excluding events previously reported using this disclosure tool, have you been involved in any fraud, antitrust or criminal proceedings as a defendant (including abuse or neglect of a minor, but excluding minor traffic offenses); been debarred, suspended or otherwise excluded by a duly authorized regulatory agency; or had a transaction with any such agency terminated for any reason?
   O No  O Yes

F. Conflict of Commitment
   Did you exceed or do you expect to exceed the 40 days (9 month appointment) or 50 days (12 month appointment) allowed by the University for external activities during the past academic year? (If you are an Adjunct faculty member, you may answer "No" to this question.)
   O No  O Yes

G. Healthcare Industry-Sponsored Activities
   Have you accepted payments from any Healthcare Industry vendor i.e. suppliers of pharmaceuticals, medical equipment and devices or medical services?
   O No  O Yes

H. External Funding Disclosures
   Do you engage in sponsored research in your position at Vanderbilt?
   O No  O Yes

Acknowledgements (Please read each statement and check-off each box.)

☐ Policy - I have reviewed the Vanderbilt University Conflict of Interest Policy and the Policy on Technology and Literary and Artistic Works at www.vanderbilt.edu/compliance, and I agree to comply with their provisions. The information I have provided is accurate and not false, erroneous, misleading, or incomplete. I will file an updated form if changes occur that may either (a) give rise to a new conflict of interest or commitment or (b) eliminate a conflict previously disclosed.

☐ Official Disclosure - As a member of the Vanderbilt Community, I understand that this online disclosure form is the only authorized means by which I may make, as required by institutional policy, disclosures regarding outside activities and financial interests that create or have the appearance of creating conflicts of interest. Although I may elect to seek guidance by other means, I understand that no such action can result in approval of an outside activity or financial interest. I understand that authorized approval for outside activities and financial interests can only be granted through use of the online disclosure tool.

☐ Standards of Conduct - Annual Review & Disclosure - I acknowledge that I have reviewed Vanderbilt University's Standards of Conduct and I understand that I am responsible for knowing and following the Standards of Conduct, and all relevant laws, rules and regulations.

☐ Confidential Helpline - I understand that if I have compliance-related concerns, questions or issues to report, I can call the 24-hour anonymous Confidential Compliance Helpline.

☐ Assignments - In accordance with the Technology Policy, I hereby assign to Vanderbilt all right, title and interest I now have or will have in the future in and to any patent, copyright and other intellectual property right covering any invention, software or other Technology created or authored by me while employed at Vanderbilt University. (Please check the box to indicate your agreement.) PLEASE SEE FURTHER DETAILS ON THE BACK OF THIS FORM.

Signature: _______________________________ Date: ____________________
FURTHER INFORMATION REGARDING THE TECHNOLOGY POLICY:

The Vanderbilt Policy on Technology and Literary and Artistic Works (the “Technology Policy”) covers the ownership, protection and transfer of inventions, computer programs and software, and scholarly works made by Vanderbilt faculty, staff and students. It is necessary for such individuals to attest annually to issues related to compliance with the Technology Policy. All capitalized terms used herein are defined in the Technology Policy, which can be found at: (http://www.cttc.co/cttc/node/104).

As stated in the Technology Policy, subject to the exceptions set forth below, all rights in technology created by Vanderbilt faculty members, staff members, or students (i) with the use of University facilities or funds administered by the University, or (ii) which fall within the individual's scope of employment, are granted to the University, with income to be distributed in accordance with the terms of that policy. In accordance with the Technology Policy, I hereby assign to Vanderbilt all right, title and interest I now have or will have in the future in and to any patent, copyright and other intellectual property right covering any invention, software or other Technology created or authored by me while employed at Vanderbilt University. I understand that this assignment does not apply to my rights in and to Literary and Artistic Works (including rights in scholarly books, articles and other publications, artistic, literary, film, tape, musical works and the like), nor does it apply to inventions made under the exceptions set forth in the Technology Policy for consulting and independent research - Vanderbilt asserts no ownership of such rights.