

STANFORD UNIVERSITY
ANNUAL CERTIFICATION OF COMPLIANCE WITH THE FACULTY POLICY ON
CONFLICT OF COMMITMENT AND INTEREST
Academic Year 2007-2008

Annual reporting on outside professional activities and certification of compliance is required of all members of the Academic Council and Medical Center Line (and certain other faculty) by Stanford's [Faculty Policy on Conflict of Commitment and Interest](#), Research Policy Handbook 4.1. These reports are considered to be confidential and will be reviewed only by the cognizant dean and a designated senior school administrator (in some schools, by the department chairperson and a designated departmental administrator), by the Dean of Research and a designated senior administrator, and by designated University officials (e.g., the Office of the General Counsel and Internal Audit).

Deadlines for the completion of this certification vary by school. Generally, the required filing deadline for faculty in schools other than the School of Medicine is **1 December 2008**.

Name: _____ SUNet ID: _____

Reporting Period: These questions apply to activities throughout Academic Year 2007-2008, defined as 1 September 2007 through 31 August 2008.

I. Appointment Information

1. Indicate the percentage of time for which you were appointed during each of the quarters of the past academic year. Note that for any quarter you were on University sabbatical, your percent time is 100% irrespective of whether you took full or reduced salary.

_____ Autumn _____ Winter _____ Spring _____ Summer*

* Summer appointments reflect the amount of time in which you received summer pay from Stanford:

One month of summer salary = 33% summer appointment

Two months of summer salary = 66% summer appointment

Three months of summer salary = 100% summer appointment

Note that nine-month salary spread over 12 months, with no additional summer salary = 0% summer appointment

Note that approved and paid sabbatical leave is treated the same as active duty for outside activity reporting purposes

II. Presence on Campus

Stanford’s [Faculty Policy on Conflict of Commitment and Interest](#) states: “A full-time appointment conveys an obligation for a faculty member to have a significant physical presence on campus (main or overseas), to be accessible to students and staff, and to be available to interact with Stanford colleagues throughout every quarter during which he or she is on active duty, unless the department chair and/or school dean has granted specific prior approval for extended or frequent absences from campus.”¹

2. During any quarter of the past academic year during which you were on active duty at Stanford, did you have extended or frequent absences from campus which were not previously approved by your department chair and/or school dean?

Yes No (If Yes, please provide an explanation in the space below)

III. Limitations on Outside Professional Activities

Consulting is defined as “professional activity related to your field or discipline, where a fee-for service or equivalent relationship with a third party exists.” This [definition](#) includes paid positions on Boards of Directors or Advisory Boards. Payment in this context includes shares, a partnership stake, or derivative interests such as stock options. It does not include: scholarly communications/publications; public or university service not undertaken for financial gain; or “moonlighting” in an endeavor unrelated to your academic field or discipline.

Stanford’s [Policy on Outside Consulting Activities by Members of the Academic Council](#) sets the maximum number of consulting days permissible for those on a full-time Stanford appointment at 13 days per academic quarter (the 13-day limit is adjusted for individuals holding part-time appointments).

3a. During the current reporting period, did you do any paid consulting (as defined above) for entities outside Stanford?

Yes No

3b. If Yes, please indicate the actual number of days per quarter that you devoted to paid consulting. *Fractional days may be entered as a decimal, e.g., 3.5.*

_____ Autumn _____ Winter _____ Spring _____ Summer

3c. During this reporting period, did you do any compensated consulting with organizations outside Stanford for which you earned \$10,000 or more or received any non-publicly traded equity (including a partnership stake or derivative interests such as stock options)? This includes work on a Board of Directors, but does NOT include serving on NSF, NIH, or other sponsor agency review panels. If so, please indicate the entities with which you consulted and the average number of days per quarter of time committed.

Entity Name	Avg Days/Qtr
_____	_____.
_____	_____.
_____	_____.
_____	_____.

¹ Requirements for field research and other reasons for absence from campus differ across the University, and faculty are referred to their own department for additional guidance on extended or frequent absence.

Stanford's [Faculty Policy on Conflict of Commitment and Interest](#) states: "Because full-time faculty are expected to devote their primary energies and professional interests to their University obligations, they may not accept significant managerial responsibilities as part of their outside consulting activities."

- 3d. Did you have managerial responsibilities or a principal investigator (PI) role in an activity outside the University--including executive roles in an outside organization (such as Chief Scientific Officer, Director of Research, etc.), but excluding managerial/PI roles at the Veterans Affairs Palo Alto Medical Center (VA) or the Howard Hughes Medical Institute (HHMI)?
- Yes No (If Yes, please provide an explanation in the space below)

Stanford's [Faculty Policy on Conflict of Commitment and Interest](#) states: "When any outside activity detracts from the conduct of University duties, a conflict of commitment will result. Even activities such as pro bono work, government service in the public interest, and any outside employment unrelated to the faculty member's University responsibilities (therefore not included as consulting ...), should be managed so they do not take precedence over a faculty member's primary commitment to the University."

- 3e. Did you have any other outside commitments, activities, or professional relationships which presented, or might appear to have presented, a conflict of commitment with your Stanford University appointment?
- Yes No (If Yes, please provide an explanation in the space below)

IV. Personal Financial Interests in Outside Entities

Stanford's [Faculty Policy on Conflict of Commitment and Interest](#) states: "A Conflict of Interest occurs when there is a divergence between an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. A Conflict of Interest depends on the situation, and not on the character or actions of the individual."

The question below asks about certain *regularly-encountered situations* where Stanford faculty or members of their immediate family have a financial relationship with or financial interest in organizations or third-party entities.

4. During the current reporting period, did you (or your spouse or domestic partner or members of your immediate family, such as parents or children) have an employment, consulting, or other financial relationship with, or ownership or equity interest in, any company or organization or third-party which is engaged in any of the following types of activities?

The entity:

- *sponsors research* at Stanford in which you are directly involved
- has *made gifts* to Stanford which benefit you or your research or teaching
- has *products or research interests* which could reasonably appear to be related to your Stanford research
- licenses Stanford *Intellectual Property* in which you have an interest as an inventor
- produces or markets *distance learning services* or materials in which you have an interest
- has entered into a *Materials Transfer Agreement (MTA)* in which you are directly involved
- *sells goods or services* to Stanford which are used in your research or teaching

Yes No (If Yes, please supply the following additional information for each company or organization or third party with which you had a financial relationship or in which you had a financial interest)
(If No, please go to item 5)

4a. Name of company or organization or third-party entity with which you or your family had a financial relationship or interest:

4b. Type(s) of relationships this entity has with Stanford and/or with you: *(check all that apply)*

- the entity sponsors research, not involving human or animal subjects, in which you are directly involved
- the entity sponsors Human Subjects research in which you are directly involved
- the entity sponsors Animal Subjects research in which you are directly involved
- the entity has *products or research interests* which could reasonably appear to be related to your Stanford research
- the entity has *made gifts* to Stanford which benefit you or your research or teaching
- the entity makes a device or product that is being used in pre-clinical research in which you are involved
- the entity licenses Stanford Intellectual Property in which you have an interest
- the entity produces or markets distance learning services or materials in which you have an interest
- the entity has entered into a Materials Transfer Agreement (MTA) in which you have an interest
- the entity sells goods or services to Stanford that are used in your research or teaching

4c. Nature of your (or your family's) financial relationship with this entity and the approximate dollar range of your total remuneration for each type of relationship:

Type of Relationship <i>(check all that apply)</i>	Approximate Amount of Remuneration <i>(check one)</i>			
	<\$10,000	\$10,000-\$50,000	\$50,000-100,000	>\$100,000
_____ Consulting or other employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ Receipt of payment, including honoraria, for commissioned papers or lectures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ Any current or pending equity ownership (including shares, partnership stake, or derivative interests such as stock options) if this a privately held company, e.g., a start-up				
_____ Any current or pending equity ownership if this a company which supports human subjects research in which you are directly involved				
_____ Current or pending equity ownership in a publicly-held company with value amounting to at least (i) \$10,000 or (ii) one-half percent (0.5%) of that entity's equity (unless the ownership interest is managed by a third party such as a mutual fund)				
_____ Receipt of royalties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ Receipt of payment for service on Board of Directors or Advisory Board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ Other type of relationship (please describe) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4d. Have you previously disclosed this relationship in a *formal ad hoc disclosure* to your cognizant department chair or dean's office?

Yes No

4e. Are you an investigator (either principal investigator or co-investigator) of a study involving human subjects in which the company or organization named above is:

- supporting tests of one of your inventions; **or**
- licensed to use one of your inventions; **or**
- testing one of its products for regulatory approval or other purposes?

Yes No (*If Yes, please contact your cognizant dean's office immediately unless you have already filed an ad hoc disclosure about this relationship*)

4f. Have you referred to another faculty member in your department who reports to you (i) any clinical testing of a therapy or device developed by the entity named above, or (ii) clinical research sponsored by this entity?

Yes No (*If Yes, please contact your cognizant dean's office immediately unless you have already filed an ad hoc disclosure about this relationship*)

Duplicate pages 4 and 5, and complete questions 4a-4f for all entities with which you or your family had a financial relationship or interest.

4g. Did you apply for or receive funding from either the National Institutes of Health (or any other branch of the Public Health Service) or the National Science Foundation during the current reporting period?

Yes No

V. Intellectual Property Policy

5. During the current reporting period, did you create, discover, or reduce to practice an invention(s) using University resources to which title has not been assigned to the University?

Yes No (If Yes, please describe and explain in the space below)

VI. Free and Open Exchange of Research Results Policy

6. During the current reporting period, have you personally entered into any agreement that restricted your ability (or that of your colleagues, students, postdoctoral scholars, or staff) to engage in the free and open exchange of the results of Stanford scholarly or research activities? This excludes agreements that were reviewed by the Office of Sponsored Research, the Industrial Contracts Office, or other appropriate university offices. For example, did you as an individual sign a non-disclosure agreement that included such terms?

Yes No (If Yes, please explain in the space below)

VII. Policy Regarding Use of University Resources

7a. During the current reporting period, have you used any Stanford University resources, including facilities, personnel, equipment, or confidential information, except in a purely incidental way, as part of your outside professional activities or for any other non-University purpose?

Yes No (If Yes, please explain in the space below)

7b. During the current reporting period, have any of your students or staff been involved in your outside consulting or *pro bono* activities?

Yes No

7c. If Yes, was this arrangement prospectively approved by the department chair?

Yes No (If No, please explain in the space below)

Certification

I agree to abide by Stanford University's [Faculty Policy on Conflict of Commitment and Interest](#). In submitting this form, I certify that the information provided is true to the best of my knowledge. I supply this information for confidential review by Stanford University, and for such other limited purposes as are required by law, regulation, or contract. I do not authorize release of any of it for any other purpose. I understand and agree that if, during the course of this current year, situations arise which raise questions of conflict of commitment or interest, I must promptly disclose those to my department chair or school dean on an ad hoc basis.

Signature: _____ Date: _____