

PLEASE PRINT

Name: _____

Title: _____

Department/College: _____

CONFIDENTIAL

2007 Annual Disclosure Statement of External Interests and Time Commitments

Part I

Cornell is a learning community that seeks to serve society by educating the leaders of tomorrow and extending the frontiers of knowledge. Supporting that mission, the goal of research at Cornell is to excel in the production of new knowledge, in the training of the next generation of scholars, and in the transfer of results to society for use. The University encourages academic personnel, consistent with university policy, to engage in sponsored research, to participate in professional practice as appropriate and necessary to sustaining intellectual output, to consult widely, and to engage in entrepreneurial and other activities that may benefit not only the participants but also the university and the larger public. The academic community at Cornell strives toward these objectives in a context of freedom with responsibility. Cornell's conflicts policy recognizes and affirms the settled tradition and expectation that members will conduct their relationships with each other and the University with candor and integrity. Recognizing the increasing complexity of external relationships, Cornell asks individuals to be mindful of situations where there is a potential conflict of interest or commitment.

Cornell does not require individuals to avoid all situations where there may be a seeming or potential conflict of interest. On the contrary, some types of conflicts are unavoidable and completely acceptable. When they arise, disclosure is often the only action required of the individual. The primary purpose of these annual disclosures is to form the basis of a discussion between academic personnel and their department chairs/unit heads about potential conflicts in order to recognize and to resolve potential conflicts. The obligation to disclose external financial interests and time commitments stems from the public trust vested in a University, is required by the Cornell University Conflicts Policy, and fulfills legal reporting requirements to funding agencies. Cornell's process for annual disclosure balances these needs while avoiding unreasonable intrusion into the external interests and activities of University employees.

The University Conflicts Committee oversees the annual disclosure process, through the Office of Research Integrity and Assurance (ORIA). Responsibility for collection, review, and reporting on conflicts disclosure statements rests with the Deans and Department Chairs/Unit Heads. Disclosures are considered sensitive, confidential documents. Completed disclosures (including Part II, if applicable) will be seen by the corresponding department chair, college dean and their COI representatives. The University Conflicts Committee will have access to anonymous data; respondent's names will not be associated with the data provided.

Notwithstanding the above, the Office of Sponsored Programs (OSP) is required to certify to federal funding agencies and other public and private funding agencies that (1) financial disclosures have been filed and (2) that real or perceived conflicts have been managed, reduced, or eliminated. The Office of Research Integrity and Assurance (ORIA) reports to OSP the names of individuals who are not in compliance with this policy, as well as those individuals having managed conflicts. OSP will neither submit sponsored project proposals nor accept funding awards for individuals who have not filed an Annual Disclosure Statement.

The Cornell University Conflicts Policy is available at http://www.policy.cornell.edu/Conflicts_Policy.cfm. Detailed guidance and procedural documents are available on the Office of Research Integrity and Assurance website: <http://www.oria.cornell.edu/coi/>.

Definitions of selected terms are supplied on the attached information sheet.

A. If you give occasional lectures, seminars, or participate in panels at universities and other nonprofit organizations for which you receive compensation (other than for expenses), please indicate:

Total number of days effort, Jan. 1 - Dec. 31, 2007: _____

(If you were paid or self-employed by the hour for a specific task, divide the number of hours paid or devoted to the task by 8 to obtain the number of days.)

B. Cornell asks that faculty and staff make more detailed disclosure of any of the following activities that apply to them.

1. Any outside sources of compensation (other than the activities reported in Question A, and excluding income from publications or other scholarly works).
2. Any external managerial responsibilities (including self-employment).
3. An equity interest in any business related to your professional activities at Cornell, held by you or your family, whose value may have been influenced by the exercise of your professional duties at Cornell.
4. A policy position held and/or receipt of more than \$500, by you or any member of your family, from any for-profit business (excluding your consulting income) whose activities relate to your professional activities at Cornell.
5. Use or employment for activities external to Cornell (in either paid or unpaid capacity), by you or any member of your family, of the services of Cornell students or staff over whom you exercise supervisory or academic responsibility in your role at the University.
6. Use of Cornell facilities, equipment, or staff services to support consulting at a for-profit business or some other commercial activity.
7. A financial interest, by you or any member of your family, in any contract, sale, or other transaction that you are aware of to which Cornell was a party and whose outcome you had any perceived ability to influence.
8. Any other situations, not listed above, that you may reasonably foresee as creating an actual or perceived conflict of interest or conflict of commitment between your role at Cornell and an outside interest.

If any of your outside activities or interests fit the situations described above in Question B, you must complete Part II. Cornell policy requires you to disclose those activities and to discuss all such future activities with your Department Chair before committing to them. (In answering these questions, it is understood that you are responding for yourself, your spouse or affectional partner, children, siblings, parents, dependents, or members of your household.)

Please check one of the following statements and sign this form.

- _____ 1. I have had no activities during the immediately previous calendar year that fit into the classifications described above to disclose, other than those described in Question A. I certify that the information on this disclosure statement is true to the best of my knowledge. I supply this information for confidential review by the University and I do not authorize its release for any other use. I agree to disclose future activity to my Department Chair before committing to it.
- _____ 2. I have activities or have committed to future activities that fit into the classifications described in Question B to disclose. I will fill out Part II of the disclosure form (available at <http://www.oria.cornell.edu>). I certify that the information on this disclosure statement is true to the best of my knowledge. I supply this information for confidential review by the University and I do not authorize its release for any other use. I agree to disclose future activity to my Department Chair before committing to it.

Signature: _____ Date: _____

**Deadline for both electronic and paper submission is May 16, 2008.
Please submit paper copies to your Department Chair /Unit Director.**

Definitions

Activities: The activities of a business *include* both direct activities of that business and the activities of any entities which that business controls.

Business: Any corporation, partnership, proprietorship, firm, franchise, association, holding company, joint stock company, receivership, trust, or any other legal entity organized for profit. It *does not include* mutual funds over which you have no control, or any governmental committee, community, political, academic, charitable, religious, social, or professional nonprofit organization.

Contracts: *Excludes* the terms of your own or any family member's employment contract with the University.

Cornell: *Includes* all units operated by the University.

Equity interest: Ownership or control of stock, stock options, or other investment instruments.

Facilities: *Excludes* your office, office equipment and incidental supplies (e.g. personal computers and local telephone service), libraries, and commonly available services (e.g. copying, FAX, long-distance telephone service) for which you reimburse Cornell.

Family: Spouse, affectional partner, children, siblings, parents, dependents, or members of your household.

Policy position: A director, officer, partner, manager, or agent in any managerial position.

Receipts: *Include* loans, gifts, royalties and earned income other than consulting fees. *Exclude* royalties from books or other scholarly works and unearned income. *Exclude* grants, contracts, or any other sums that you or your family member receive from Cornell, no matter what the original source.

Staff Services: *Excludes* infrequent secretarial support.