

HARVARD UNIVERSITY -- FACULTY OF ARTS AND SCIENCES

Affirmation of Awareness for FAS Appointees

Name _____

Department _____

University Address _____

University Telephone _____

E-mail Address _____

Synopsis of Conflict of Interest Policy. The University expects everyone to be alert to conflicts of interest — situations or arrangements that might motivate actions that are not in the best interests of the University. Individuals may not, in their University roles, participate in assessments or decisions, or utilize staff and facilities, in ways that would reasonably appear to give them (or their families or household members) privileged access to financial or other material benefits. Nor may individuals associated with the University make agreements that conflict with University policies and rules (e.g., agree not to publish University-based research), or give their business associates privileged access to the results of unpublished University-based research.

FAS legislation stipulates that FAS academic appointees should inform the Chair of the Committee on Professional Conduct or the Dean, ordinarily the former, if they may have a potential conflict of interest. See *Policies Relating to Research and Other Professional Activities Within and Outside the University* for more details. (Individuals with staff appointments must disclose conflicts as explained in the *Personnel Manual*. See Section 2 of the *Personnel Manual* for more details.)

Synopsis of Extramural Activities Policies. FAS legislation (see *Policies Relating to Research and Other Professional Activities Within and Outside the University*) and University rules (see *Statement on Outside Activities of Holders of Academic Appointments*) stipulate limits on the extramural activities of full-time faculty members: they may devote no more than 20% of their time and effort to extramural research and/or consulting. Managerial positions in outside organizations are not ordinarily permissible. FAS rules also stipulate that activities (e.g., conferences), conducted with or for other organizations at Harvard, must respect University policies. University rules stipulate that academic appointees: (i) may not hold faculty appointments elsewhere, nor teach courses or substantial parts thereof for other educational institutions, without prior approval by the Dean and Corporation; (ii) should ordinarily conduct their research at, and

process research projects under their direction through, the University; (iii) should not engage in paid consulting at or for another educational institution or educational organization without prior approval from their Dean and the Corporation [Please refer to the full University-wide policy (where "customary activities" such as service on Visiting Committees are excluded) and to the full FAS policy (for a list of extramural activities for which Faculty approval is generally unnecessary)]; and (iv) must do their best to assure that their extramural activities are not identified as Harvard's. Academic appointees should address questions regarding research arrangements to the Chair of the FAS Committee on Research Policy and questions regarding appointments at other institutions to the Office of the Dean.

Note: While the affirmation at the bottom of this page deals with only two of the documents in the Greybook (*Principles and Policies that Govern Your Research, Instruction, and Other Professional Activities*), you should review, and you must comply with, all rules in that book that apply to your professional activities. To facilitate continuing review, changes to policies included in the Greybook will be highlighted and summarized at www.fas.harvard.edu/~research/greybook as they occur.

Question 1. Are you engaged in, or have you been engaged in, any activity that might reasonably be perceived as presenting a conflict of interest or commitment (as specified in *Policies Relating to Research and Other Professional Activities Within and Outside the University* or *Statement on Outside Activities of Holders of Academic Appointments* and briefly summarized on this form) that has not yet been reported (or that has significantly changed since your last report) to the Chair of the Committee on Professional Conduct or to another designated official?

___ YES

___ NO

(If yes, please provide details of the situation(s) on the reverse side of this form.)

Question 2. Are you an investigator on a current or pending grant or contract from the National Science Foundation or any agency of the Public Health Service, or do you plan to apply for such within the next year?

___ YES

___ NO

(If yes, please complete a **Disclosure Form Required for Federal Support** and attach it to this form. Additional copies of the Disclosure Form may be found at www.fas.harvard.edu/~research/policy/coi.html)

Please sign below to certify (i) that you are familiar with FAS and University policies as indicated above and have consulted with designated officials as required; (ii) that you have fully and to the best of your ability completed this Affirmation of Awareness (including, if you answered YES to question 1 or 2 above, providing additional information as required); and (iii) that you will update your Affirmation of Awareness statement promptly if relevant circumstances change.

Signature

Date

Relevant web sites:

Greybook (*Principles and Policies that Govern Your Research, Instruction, and Other Professional Activities*)

<http://www.fas.harvard.edu/~research/greybook/>

Personnel Manual for Administrative Staff and Non-Bargaining-Unit Support Staff

http://harvie.harvard.edu/Policies_Contracts/Staff_Personnel_Manual/

Disclosure Form Required for Federal Support (NSF and PHS-funded research)

http://www.fas.harvard.edu/~research/forms/fed_disclosure.pdf