Motion 1.

- Whereas the Vanderbilt Faculty Manual (as archived on 8/3/2015) requires revision and updating, and
- Whereas revisions to Part I, Chapter 5 of the Faculty Manual were approved by the Faculty Senate on 9/10/2015 and given final approval by the Chancellor of Vanderbilt University on 9/14/2015, and
- Whereas, the Faculty Manual Committee has now circulated additional proposed revisions to the Faculty Senate,

We the Faculty Manual Committee, move that the Sections entitled “Compliance Program and Standards of Conduct” and “Part I (Chapters 1-4)” of the 8/3/2015 Faculty Manual be revised by addition and deletion as per the attached document (see Exhibit 1a,b),

We further move that the Faculty Senate give its endorsement to these revisions, and

We further move that these endorsed revisions be forwarded as a formal proposal as per Faculty Manual “Part 1, Chapter 5, Amendments to the Faculty Manual” to the Chancellor and the Provost, for review, and if accepted, final approval by the Chancellor.
Exhibit 1a, Re: Motion 1

Vanderbilt University Compliance Program and Standards of Conduct

Introduction

Vanderbilt University is committed to the highest standards of ethics, honesty, and integrity in pursuit of its mission of education, research, patient care, and public service, and in supporting health care through its affiliation with Vanderbilt University Medical Center (VUMC). All members of the Board of Trust, the chancellor, general officers, members of the executive administration, administrative officers, members of the faculty and staff, and others representing Vanderbilt University are expected to adhere to these standards of conduct in the discharge of their duties. The Vanderbilt University Compliance Program demonstrates the university’s commitment to ethical conduct and compliance by setting forth guidelines for conduct designed to prevent and detect violations of law, uphold accreditation standards, comply with university policies, and encourage compliance by providing support, training, and educational resources. The Compliance Program is designed to assist the university in fulfilling its compliance responsibilities by creating an operational structure and process to monitor the university’s compliance efforts and is designed to work in conjunction with other university offices and compliance programs. For more details, the Vanderbilt Compliance Program Plan is available here.

Faculty members employed by VUMC will be responsible in the conduct of their clinical work for complying with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University. Questions regarding the VUMC standards of conduct should be addressed to the VUMC Compliance Office.

Faculty members employed by VUMC will be responsible in the conduct of their work for complying with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University.

Compliance Program

The Administrative Compliance Committee (“ACC”) Vanderbilt University has two compliance committees which have direct oversight responsibility for the compliance activities of Vanderbilt and which assists the Vanderbilt community in fulfilling its legal compliance obligations. The Compliance and Corporate Integrity Committee (the “VUMC Compliance Committee”) provides oversight and
support for Vanderbilt University Medical Center (“VUMC”) functions and all institution-wide research activities. The Administrative Compliance Committee (the “ACC”) provides oversight and support for University Central operations and institution-wide administrative activities. The ACC committees oversee the following areas of compliance activity:

1. Informing, training, and educating the Vanderbilt community about the Standards of Conduct and ethical obligations under those Standards;

2. Monitoring compliance activities, including policies and procedures and training and education programs;

3. Serving as a resource to Vanderbilt on matters of compliance and legal and regulatory changes, and assessing and identifying areas of risk;

4. Maintaining a reporting helpline for compliance matters;

5. Assisting operational units in developing corrective action plans;

6. Reporting on compliance activities to the Audit Committee of the Board of Trust through the Compliance Officers.

The ACC is co-chaired by the Vice Chancellor for Administration and the Vice Chancellor, General Counsel and University Secretary. Each compliance committee is supported and assisted in its oversight responsibilities by a compliance officer who is responsible for the day-to-day operations of the compliance program, as it relates to each compliance officer’s areas of responsibility. Their responsibilities include employee training on the Standards of Conduct, routine monitoring of compliance activities, assisting with corrective action plans, monitoring emerging issues in the field of compliance, maintaining and responding to calls made to their respective reporting helplines, coordinating interdepartmental compliance efforts, providing staff support for the committees’ operational activities, and submitting biannual reports to the Audit Committee on the activities of the Compliance Program.

Compliance and Corporate Integrity Committee

Vice Chancellor for Health Affairs

Associate Vice Chancellor for Health Affairs and VUMC Chief Compliance Officer

VUMC Assistant Vice Chancellor for Compliance and Corporate Integrity

Confidential Compliance Hotline 1-866-783-2287

The ACC is co-chaired by the Vice Chancellor for Administration and the Vice Chancellor, General Counsel and University Secretary, Administrative Compliance Committee

Vice-Chancellor for Administration

Vice Chancellor for University Affairs and Athletics, General Counsel, and Secretary of the University

Manager of Compliance, University Compliance Office
Standards of Conduct

Consistent with the Faculty Manual and Human Resources policies, the Vanderbilt University Standards of Conduct provide the guiding standards of conduct for the university’s faculty, staff, and others representing the university and set forth the university’s commitment to good practices and following the law. It is of paramount importance that all individual members, University faculty in supervisory positions, ensure that they themselves adhere to the Standards of Conduct of the University who are engaged in supervision of others ensure that they themselves adhere to the Standards of Conduct. The deans of the schools are responsible for assuring that the Standards of Conduct are observed by faculty. Staff and other university representatives are responsible for those employees under their supervision. All members of the university community are responsible for reading and understanding the Standards of Conduct. See http://www.vanderbilt.edu/compliance/html/standards.pdf.

Compliance with the Law

Vanderbilt University is committed to compliance with all applicable laws, rules, and regulations. It is the responsibility of each member of the university community, including staff, faculty, health care professionals with hospital privileges, agents, representatives, contractors, and vendors, to follow, in the course and scope of their work at Vanderbilt, all applicable laws, rules, regulations, and university policies, and to maintain an educational, health care, and business environment that is committed to integrity and ethical conduct.

Research and Health Care Services

Vanderbilt University is committed to compliance with applicable law in the conduct of research and health care services. In particular, Vanderbilt is committed to the protection of the health, safety, and welfare of human and animal research subjects and the conduct of research with scientific integrity. Vanderbilt has adopted policies and procedures designed to foster the responsible conduct of research, and it is essential that the conduct of research activities and the delivery of health care services be accurately documented as required by applicable laws, rules, and regulations. Federal regulations relating to effort reporting and appropriate expenditure of grant funds must also be followed. Matters involving School of Medicine faculty in the clinical departments (who are employees of VUMC) employed by VUMC will be referred to the VUMC compliance officer with the expectation that the University and VUMC will work cooperatively to handle such compliance matters that may affect their faculty status.

False Claims Act and Whistleblower Protection

Vanderbilt University requires all faculty and staff to report all known or suspected violations of the Federal False Claims Act (“FFCA”) or the Tennessee False Claims Act (“TFCA”) (collectively referred to as “FCA”). A person violates the FCA by knowingly submitting, or causing another to submit, false claims for payment of government funds. Examples of violations of a FCA are (i) submission of a claim to Medicare for payment for services not rendered, or (ii) falsification of a time and effort report in connection with a claim for reimbursement from government grant. Vanderbilt University does not allow
retaliation against persons reporting such suspected violations (sometimes referred to as “whistleblowers”) for making such reports in good faith.

Report any known or suspected violation of either the FFCA or the TFCA to the appropriate supervisor, department head or chair, the University Compliance Officer, the Medical Center Compliance Officer, or the 24-hour Confidential Help Line for the university at (615) 322-0133, or the Medical Center Confidential Help Line at (615) 343-0135. In making reports to either the confidential help line, the caller may make a report anonymously remain anonymous. The compliance helplines have no call identification or number recognition capability.

Faculty and staff may also report known or suspected violations of the FFCA to the following Federal hotline, (800) 447-8477, or by email at HHSTips@oig.hhs.gov.

All persons making reports of compliance concerns are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a bona fide need-to-know basis. Vanderbilt prohibits retaliation and will take no adverse action against persons who make such reports in good faith (“whistleblowers”), even if the report turns out not to be correct. Any faculty or staff member who believes that he or she has been subjected to or affected by retaliatory conduct for reporting a suspected violation of an FCA or for refusing to engage in activity that would be a violation of an FCA should report such retaliation to the university compliance officer or medical center compliance officer.

Kickbacks

It is against university policy for any person acting on behalf of the university to accept or pay a kickback. When someone who can influence purchasing decisions made at the university takes money or anything of value from a vendor, it can be considered a kickback, which is illegal. No gifts or accommodations of any nature, including unrestricted grants, may be accepted by the university or individual members of the university community when to do so would place them in a prejudicial or compromising position, interfere in any way with the impartial discharge of their duties to the university, or reflect adversely on their integrity or that of the university.

Additionally, it is illegal for the medical center or anyone acting on behalf of the medical center to provide gifts or other remuneration in exchange for referrals of patients covered by Medicare, TennCare, Medicaid or other federal health care programs, such as CHAMPUS and the Railroad Retirement Board. It is also illegal to accept a kickback in return for purchasing, leasing, ordering, or recommending the purchase, lease, or ordering of any goods, facilities, services, or items reimbursable under the Medicare, TennCare, or Medicaid programs.

Antitrust Laws and Regulations

Vanderbilt University is committed to complying with state and federal antitrust (monopolies) laws and regulations. University policy and business practices prohibit setting charges in collusion with competitors, certain exclusive arrangements with vendors, and joint ventures that are in restraint of trade or which attempt to monopolize any part of interstate trade or commerce. The sharing of confidential information such as salaries or charges for services with competitors is also prohibited.
Conflicts of Interest and Commitment

Vanderbilt University is committed to following and enforcing its conflict of interest and commitment policies. All university faculty, staff, and representatives should avoid potential or perceived conflicts of interest and/or commitment. Any concerns about a proposed transaction that may involve inducements offered by a vendor or supplier or a business relationship with a company that is connected with you or a family member, should be discussed with the appropriate dean, supervisor, or compliance officer. The primary source of Vanderbilt conflict of interest policies and commitment policies are found in Part III, Chapter 3 of this Manual. See also on the Vanderbilt Compliance Web site at www.vanderbilt.edu/compliance/, the Vanderbilt University Medical Center Compliance Web site at www.mc.vanderbilt.edu/compliance/, and the Vanderbilt University Conflict of Interest and Commitment Policy can be found at http://www.vanderbilt.edu/compliance/ (and is included in Part III of the Faculty Manual) and the VUMC Conflict of Interest and Commitment Policy can be found at https://www.mc.vanderbilt.edu/root/vumc.php?site=DCCI&doc=23385. See also the Human Resource Services Web site at www.vanderbilt.edu/HRS, and in the hospital policy manual.

Environment

Vanderbilt University is committed to complying with all applicable environmental laws and to maintaining all necessary environmental permits and approvals. Environmental compliance includes the proper handling, storage, use, shipment, and disposal of all materials that are regulated under any applicable environmental law. If any employee has actual knowledge that a spill, release, or discharge of any material regulated pursuant to an applicable environmental law has occurred, such employee must immediately report such event to his or her immediate supervisor so that necessary action may be taken. Necessary action may include evacuating employees, reporting such event to a governmental authority if required pursuant to any environmental law, and containing and cleaning up any such spill, release, or discharge. Employees should also report any other violations of applicable environmental law of which they have actual knowledge that could endanger the health and safety of other individuals. Questions concerning environmental regulations should be directed to Vanderbilt Environmental Health and Safety at 322-2057.

Confidentiality

Vanderbilt University is committed to the appropriate protection of confidential information. Many faculty and staff have access to various types of sensitive, confidential, and proprietary information. Vanderbilt prohibits the unauthorized seeking, disclosing, or selling of such information, including confidential information contained in health care records, patient medical records, student educational records, and employment records. See VUMC Addendum below for more information about the confidentiality of patient information.

Controlled Substances

In accordance with the university’s Drug-Free Workplace policy, Vanderbilt and its medical center prohibits the unlawful manufacture, distribution, possession, or use of a controlled substance by any member of the university community in the workplace or while conducting university business off the university’s premises. Federal law may impose sentences of up to twenty years in prison and fines of up
to $1,000,000 for violation of criminal drug laws. Additionally, if the medical center or any of its employees are convicted under federal or state law of unlawfully manufacturing, distributing, prescribing, or dispensing a controlled substance, the medical center can be excluded from participation in the Medicare, TennCare, and Medicaid programs. For more information, see the Vanderbilt Compliance Program Plan at http://www.vanderbilt.edu/compliance/plan.php.

Non-Discrimination

Vanderbilt University is committed to the principles of equal opportunity and affirmative action. Vanderbilt does not discriminate on the basis of race, color, religion, sex, national or ethnic origin, age, disability, sexual orientation, or military service in administration of its educational policies, programs or activities; its admission policies; scholarship and loan programs; athletic or other institution-administered programs; or employment. The Equal Opportunity, Affirmative Action, and Disability Services Department (EAD) has responsibility for monitoring Vanderbilt’s Affirmative Action Plan and assisting with the application and interpretation of laws that impose special obligations on Vanderbilt. The EAD also assists with compliance with the Americans with Disabilities Act and with providing accommodation to students, faculty, and staff.

The EAD receives complaints regarding unlawful discrimination within the university community and, where possible, assists in the resolution of those complaints. Any faculty or staff member who experiences harassment or inappropriate discrimination should immediately seek assistance through the EAD by calling 322-4705. Vanderbilt prohibits retaliation against persons who utilize the EAD in good faith to voice complaints of harassing or discriminatory conduct. Other staff member employment concerns related to personnel issues or human resources, such as salary, promotion, or hiring, should initially be directed to Human Resource Services at 322-8330.

Response to Investigation

Vanderbilt University is committed to cooperating with government investigators as required by law. If an employee receives a subpoena, search warrant, or other similar document, before taking any action, the employee must immediately contact the Office of the General Counsel. The Office of the General Counsel is responsible for authorizing the release or copying of documents. If a government investigator, agent, or auditor comes to the University Central or the Vanderbilt University Medical Center, a supervisor, or the Office of the General Counsel, or the hospital administrator on call should be contacted before an employee discusses any matters with such investigator, agent, or auditor.

Compliance Training

Vanderbilt University is committed to providing training and education to the university community about compliance with applicable laws, rules, and regulations. In addition to employee orientation, the VUMC Safety Fair, and the Hearts and Minds Medical Center Orientation, ongoing training and education is available on the university Web site with the Institutional Review Board, Office of Grants and Contracts Management, Research Support Services, and other relevant departments. Also, the compliance officers are always available to assist and coordinate specific education and training efforts.

Conclusion
Vanderbilt University is committed to following local, state, and federal laws, rules, and regulations. The compliance officers maintain help and reporting phone lines to enable faculty, staff, and other university representatives to report violations and to discuss any questions. To assist the university with its commitment to appropriate conduct, all faculty, staff, and representatives are encouraged to report violations of any law or policy to a supervisor, a department head or chair, or a compliance officer. It is the duty of all faculty, staff, and university representatives to report Vanderbilt job-related criminal conduct of which they have actual knowledge or Vanderbilt-job-related situations that endanger the health and safety of any individual. All persons making such reports are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a bona fide need-to-know basis. Vanderbilt will take no adverse action against persons making such reports in good faith. Vanderbilt prohibits retaliation against persons who make such reports in good faith.

Faculty and staff wanting to make a report of a violation or a potential problem may contact the University Central Compliance Officer at 322-5162, or call the anonymous, confidential helpline at 322-1033. Members of the medical center community may contact the VUMC Compliance Office at 343-7266. Concerns can also be reported confidentially and anonymously on VUMC’s confidential helpline at 343-0135. For more information, see the Vanderbilt Compliance Program Plan at http://www.vanderbilt.edu/compliance/html/ComplianceProgramPlan.doc. In addition, relevant Human Resource Policies are available at http://hr.vanderbilt.edu/policies/index.htm.

Standards of Conduct Addendum: School of Medicine Faculty Employed by VUMC

Clinical faculty employed by VUMC will be responsible in their conduct of clinical work to comply with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University.

School of Medicine faculty employed by VUMC will be responsible for complying with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University. Questions regarding the VUMC Standards of Conduct should be addressed to the VUMC Compliance Office.

Standards of Conduct Addendum: Medical Center Only

These additional Standards of Conduct apply exclusively to members of the Vanderbilt University Medical Center community, which includes medical center staff or faculty, and any person who provides services at the medical center, including health care professionals with hospital privileges.

Billing and Claims

Vanderbilt University is committed to charging, billing, documenting, and submitting claims for reimbursement for hospital and professional services in the manner required by applicable laws, rules, and regulations. All of our faculty/staff should know and carefully follow the applicable rules for submission of bills and claims for reimbursement on behalf of the medical center. If you know or suspect that a bill or claim for reimbursement is incorrect, you are required to report it immediately to your supervisor or to the medical center compliance officer.
Patient Referrals

Vanderbilt University is committed to the lawful referral of patients to services outside the medical center for the delivery of appropriate patient care. If a referring physician, or his or her immediate family member, has an ownership or investment interest in or a compensation arrangement with the entity to which a patient is referred, and payment for the referred services will be made from a federal or state health care program, such as Medicare, Medicaid, or TennCare, a federal law, commonly referred to as the “Stark Law,” may prohibit the referral. No medical center physician shall refer a patient for services in violation of the law. If a physician has questions about referrals, he/she should consult with the medical center compliance officer or the Office of the General Counsel.

Emergency Treatment for Patients and Women in Labor and Patient Transfers

Vanderbilt University is committed to following state and federal laws and regulations with respect to the evaluation, admission, and treatment of patients with emergency medical conditions and pregnant women who are in labor, regardless of a patient’s financial or insurance status. As the health care arm of the university, the medical center conducts its activities in furtherance of the university’s charitable mission in the areas of education, research, and patient care. Emergency services are available to all persons in need of those services without regard to their financial or insurance status. If any individual comes to the Emergency Department of the hospital for examination or treatment of a medical condition, then the medical center must provide the individual with an appropriate medical screening examination to determine if an emergency medical condition exists, and, if one does, it must stabilize the emergency medical condition within its capabilities. A woman in active labor is deemed to have an emergency medical condition. Additionally, the medical center must accept for transfer from another hospital an individual requiring specialized capabilities of the medical center if the medical center has the capacity and capability to treat the individual. The medical center’s commitment to patients is reflected in our willingness to help anyone in need and not be influenced by race, creed, ethnicity, or sex. To ensure that these factors do not affect staff and faculty decisions, all people will be given emergency treatment and be discharged and referred without discrimination. It is also important for medical center staff and faculty to keep all patients’ medical information confidential.

Discharge Planning and Ancillary Service Referrals

Vanderbilt University is committed to appropriate discharge planning and the lawful referral of patients for ancillary health care services. The medical center recognizes that the discharge of a patient to a residence or post-hospitalization provider is an important decision. In developing and implementing discharge plans, medical center faculty and staff shall act in the best interest of the patient, in the judgment of the health care provider. This includes the involvement and consent of the patient or patient’s legal representative.

Disciplinary Action

All medical center faculty, staff, and representatives, as well as those who hold professional staff privileges, must carry out their duties for the medical center as stated in these policies, and, as required by law, report violations of local, state, or federal laws, rules, or regulations to a supervisor or the Medical Center Compliance Officer. If any faculty, staff, or representative does not report violations, knowing that
such a failure violates a clear legal obligation, the individual may be subject to disciplinary action and
may be terminated from employment. Such disciplinary conduct must abide by all substantive and
procedural protections applicable to discipline in the Faculty Manual or, for staff, in the Human Resource
Services Staff Guidelines. Disciplinary action may apply to a supervisor who knowingly directs or
approves a person’s improper actions, or is aware of those improper actions but does not act appropriately
and within the supervisor’s scope of authority to correct them, or who, by knowingly violating a clear
legal or professional duty, otherwise fails to exercise appropriate supervision.

Part I  The University and Its Governance

Chapter 1: About Vanderbilt University

Section A

History

Vanderbilt University is an independent, privately-supported university founded in 1873 through a gift
from Commodore Cornelius Vanderbilt. Born of modest means and not formally educated, the
Commodore, a nickname Vanderbilt received in his youth, built a fortune from steamboat lines and
railroads. The endowment of the University was his only major philanthropy, and his hope was that
Vanderbilt would “contribute to strengthening the ties that should exist between all geographical sections
of our common country.”

Bishop Holland N. McTyeire, whose wife was a cousin of Vanderbilt’s second wife, Frank Armstrong
Crawford, was leading a movement within the Methodist Episcopal Church, South, to establish “an
institution of learning of the highest order.” In 1872, a charter was issued to petitioners representing nine
Methodist conferences located in the mid-South for “Central University” in Nashville. However, their
efforts failed for lack of financial resources in a region so recently ruined by the Civil War. In early 1873,
Bishop McTyeire traveled to New York to seek medical care, and the Vanderbilts offered their hospitality
for his convalescence. Prior to the trip, the Bishop had reportedly discussed the possibility of gaining
financial support from the Commodore in letters to his wife, Frank Armstrong Crawford. She is credited
for laying the groundwork for the gift. During his stay in New York, Bishop McTyeire was able to gain
the admiration and financial support of the Commodore in the amount of one half million dollars to
endow the Vanderbilt University. Himself unschooled, Vanderbilt once said, “Though I never had
any education, no man has ever felt the lack more than I have, and no man appreciates the value of it
more than I do and believes more than I do what it will do in the future.” Soon after the university
opened, Vanderbilt sent another half million dollars for its endowment.

Commodore Vanderbilt, who never visited Nashville himself, entrusted Bishop McTyeire to choose the
site for the campus and administer the institution. At that time, Nashville had a population of 40,000, and
the campus was part cornfield with a few residences scattered on the site. The Bishop himself planted
young trees over the original seventy-five acre campus and supervised the planning and construction of
the buildings. Vanderbilt University opened for classes in October of 1875 with 192,307 students
enrolled. Since then, the University has grown to 346,333 acres with more than 40,000,12,000 students, and it has been designated a national arboretum—a legacy of Bishop McTyeire’s early efforts.

Section B

Colleges and Schools

Vanderbilt University comprises ten schools offering undergraduate programs in the liberal arts and sciences, education and human development, engineering, and music and a full range of graduate and professional degrees. The University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools and is a member of the Association of American Universities.

The College of Arts and Science, founded in 1873 as the Department of Philosophy, Science, and Literature, offers the Bachelor of Arts and the Bachelor of Science.

The Blair School of Music, once an independent music school that merged with the university in 1981, offers the Bachelor of Music.

The Divinity School was established in 1875 as the Biblical Department and operated under the auspices of the Methodist Episcopal Church, South, from its opening until May 1914. Since that date, it has carried on as an ecumenical theological school under the direction of the Vanderbilt Board of Trust, which in 1915 officially established it as The Divinity School with its own dean and faculty. The Divinity School offers the Master of Theological Studies and the Master of Divinity.

The School of Engineering, established as a full department in 1886, offers the Bachelor of Engineering, the Bachelor of Science, and the Master of Engineering.

The Graduate School, an early priority of the University which offered doctoral programs within the first ten years of its founding, offers the Master of Arts, Master of Fine Arts, the Master of Arts in Teaching, the Master of Liberal Arts and Science, the Master of Science, and the Doctor of Philosophy.

The Law School, founded as one of the original departments of the University, offers the Doctor of Jurisprudence and the Master of Laws.

The Department of Medicine (now School of Medicine) conferred its first diplomas in 1875 as part of an agreement with the University of Nashville Medical Department. It continued to use the University of Nashville facilities until moving to Vanderbilt’s main campus area in 1925. The School of Medicine offers the Doctor of Medicine, the Master of Public Health, and the Master of Science in Medical Physics, Master of Health Professions Education, Master of Science (Speech Language Pathology), Master of Science in Applied Clinical Informatics, Doctor of Audiology, and Doctor of Medical Physics.
The School of Nursing, with a history dating back to 1909, and began offering the Master of Science in Nursing in 1955. The School offers the Master of Science in Nursing and Doctor of Nursing Practice.

The Owen Graduate School of Management, was established in 1969. The Owen School offers the Master of Business Administration, Master of Science in Finance, Master of Accountancy, and Master of Management in Health Care.

Peabody College traces its roots to Davidson Academy, organized in 1785, eleven years before the founding of the state of Tennessee. It operated as an independent professional school of education from 1875 until its merger with Vanderbilt in 1979. The Peabody College of Education and Human Development offers the Bachelor of Science, the Master of Education, the Master of Public Policy, and the Doctor of Education.

Section C

Administration

Vanderbilt University is governed by a Board of Trust which appoints the Chancellor as the Chief Officer. The University’s other administrative officers serve at the pleasure of the Chancellor and include the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for Health Affairs, the Vice Chancellor for Investments and Chief Investment Officer and Treasurer, the Vice Chancellor for Administration and Chief Financial Officer, the Vice Chancellor for Finance and Chief Financial Officer, the Vice Chancellor for Public Affairs, and the Vice Chancellor for Athletics and University Affairs. Each of the ten schools of the university is led by a Dean, with nine of whom who reports report to the Vice Chancellor for Health Affairs in the case of the School of Medicine and the School of Nursing, and to the Provost and the Dean of the School of Medicine who reports to the Chancellor in all other cases.

Section D

Academic Affiliation between Vanderbilt University and Vanderbilt University Medical Center

Vanderbilt University and Vanderbilt University Medical Center became separate non-profit entities in 2016. They operate under an Academic Affiliation Agreement to support one another and fulfill their related missions. As part of this agreement, based on their roles and appointments, faculty may be in the Clinical Departments of the Vanderbilt University School of Medicine are employed by Vanderbilt University Medical Center. These faculty continue to have their faculty appointments with Vanderbilt University and are covered by the Vanderbilt University Faculty Manual. Under the academic affiliation, such faculty in the Clinical Departments of the School of Medicine render services to, and are responsible to, both Vanderbilt University and the Vanderbilt University Medical Center.
Chapter 2: University Governance

Vanderbilt University is committed to a robust model of shared university governance. The Faculty and Administration cooperate, and strategize together regarding all substantive university matters.

The Code of By-Laws of Vanderbilt University provides that voting membership of the Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly. [CBL, 1981]

As provided in the Code of By-Laws, the Faculty Senate is the representative, deliberative, legislative body of the faculties. It is composed of the Deans of the colleges and schools, elected members, and ex officio members, including the Chancellor. Ex officio members may participate fully in the deliberations, but have no vote. [CBL, 1982]

The Faculty Assembly is authorized to adopt a Constitution, setting forth its own regulations and rules of order and also the composition and organization of the Faculty Senate to the extent not defined in the Code of By-Laws, including procedures for changing its composition from time to time. The Faculty Senate is given power under the Constitution to adopt its own regulations and rules of order, and the Constitution contains provisions for its amendment. [CBL, 1966]

The University By-Laws and Constitution of the Faculty Assembly authorize the Faculty Senate to review and evaluate the educational policies and practices of the University (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and to the Board of Trust; to discuss and express its views about any matter affecting the University to any individual, faculty, or other group within the University; and to facilitate communication among the faculties, the Chancellor, and assisting officers. [CBL, 1982]

Each Faculty elects its own representatives to serve for a three-year term. Only full-status faculty members with the academic rank of Instructor or above are eligible for election to the Faculty Senate. Upon the expiration of his or her first full term, a senator is eligible for reelection to a second subsequent term. All full-status faculty members with the academic rank of Instructor or above, part-time faculty members having full status, and such other part-time faculty members as the full-status faculty of a school or college may designate, are eligible to vote for representatives to the Faculty Senate. The Executive Committee of the Faculty Senate, elected by members of the Faculty Senate, consists of the Chair, Vice Chair, the Chair-elect, and the Vice Chair-elect. The Faculty Senate meets at least four times each academic year. All meetings of the Faculty Senate are open to full-status faculty members who hold the rank of Instructor or above (including administrative officers who hold faculty appointments) and to part-time faculty members with full status.

The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the several departments, colleges, and schools have been fulfilled. No individual may be awarded a degree without the recommendation of the appropriate faculty. None of the regular degrees of the University shall be conferred as honorary degrees, nor shall any honorary degree be conferred by the University except upon recommendation of the Faculty Senate and with the concurrence of the Board of Trust and of the faculties. Each Faculty may adopt policies, rules, and procedures necessary or desirable in connection with its internal administration. [CBL, 1981]
As provided in the Code of By-Laws of Vanderbilt University, the immediate government of the University is committed to the Chancellor and, through the Chancellor, to the assisting officers and the faculty in each of the several schools and colleges. The Chancellor is designated as the Chief Officer of the University and may delegate authority to assisting officers, to the faculties, and to others within the University. The Chancellor has the authority to suspend the action of any faculty, the Faculty Senate, or of other individuals or bodies to whom authority has been delegated. In so doing, in the case of any faculty or of the Faculty Senate, the Chancellor submits to the body concerned a statement of the action and the reasons, and reports the action to the Board of Trust together with any pertinent statements submitted by the affected body. [CBL, 1998]

The Chancellor is, ex officio, chair of the faculty of each school and college, and appoints assisting officers, including general officers and Deans of colleges and schools, who serve at the pleasure of the Chancellor. The appointment of general officers and deans of colleges and schools requires approval by the Board of Trust. Although not specified in the Code of By-Laws, the Provost is the chief executive academic officer for the nine colleges and schools reporting to the Provost and the basic science departments in the School of Medicine. The Dean of the School of Medicine is the chief academic officer of the clinical departments of the School of Medicine.

The Code of By-Laws further provides that the faculty of each school or college shall meet at such times as it may appoint, or at the call of the Chancellor or the appropriate Dean. Each faculty may establish its own procedures for calling meetings.

As provided in the Code of By-Laws of Vanderbilt University, the immediate government of the University is committed to the Chancellor and, through the Chancellor, to the assisting officers and the faculty in each of the several schools and colleges. The Chancellor is designated as the Chief Officer of the University and may delegate authority to assisting officers, to the faculties, and to others within the University. The Chancellor has the authority to suspend the action of any faculty, the Faculty Senate, or of other individuals or bodies to whom authority has been delegated. In so doing, in the case of any faculty or of the Faculty Senate, the Chancellor submits to the body concerned a statement of the action and the reasons, and reports the action to the Board of Trust together with any pertinent statements submitted by the affected body.

The Chancellor is, ex officio, chair of the faculty of each school and college, and appoints assisting officers, including general officers and Deans of colleges and schools, who serve at the pleasure of the Chancellor. The appointment of general officers and deans of colleges and schools required approval by the Board of Trust. Although not specified in the Code of By-Laws, the Provost and the Vice Chancellor
for Health Affairs are the chief academic officers for their respective the nine schools and colleges reporting to the Provost and the basic science departments of the School of Medicine, and the Dean of the School of Medicine is the chief academic officer of the clinical departments of School of Medicine.

The Code of By-Laws further provides that the faculty of each school or college shall meet at such times as it may appoint, or at the call of the Chancellor or the appropriate Dean. Each faculty may establish its own procedures for calling meetings.

The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the several departments, colleges, and schools have been fulfilled. No individual may be awarded a degree without the recommendation of the appropriate faculty. Each faculty may adopt policies, rules, and procedures necessary or desirable in connection with its internal administration.

The Code of By-Laws provides that voting membership of the Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly.

As provided in the Code of By-Laws, the Faculty Senate is the representative, deliberative, legislative body of the faculties. It is composed of the Deans of the colleges and schools, elected members, and ex officio members, including the Chancellor. Ex officio members may participate fully in the deliberations, but have no vote. Each faculty elects its own representatives to serve for a three-year term. Only full-status faculty members with the academic rank of Instructor or above are eligible for election to the Faculty Senate. Upon the expiration of his or her first full term, a senator is eligible for reelection to a second subsequent term. All full-status faculty members with the academic rank of Instructor or above, part-time faculty members having full status, and such other part-time faculty members as the full-status faculty of a school or college may designate, are eligible to vote for representatives to the Faculty Senate. The Executive Committee of the Faculty Senate, elected by members of the Faculty Senate, consists of the Chair, Vice Chair, the Chair-elect, and the Vice Chair-elect. The Faculty Senate meets at least four times each academic year. All meetings of the Faculty Senate are open to full-status faculty members who hold the rank of Instructor or above (including administrative officers who hold faculty appointments) and to part-time faculty members with full status.

The Faculty Assembly is authorized to adopt a Constitution, setting forth its own regulations and rules of order and also the composition and organization of the Faculty Senate to the extent not defined in the Code of By-Laws, including procedures for changing its composition from time to time. The Faculty

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*The list of basic science departments in the School of Medicine, which may be amended from time to time, are: Biochemistry, Cancer Biology, Cell and Developmental Biology, Molecular Physiology and Biophysics, and Pharmacology.

*The list of clinical departments in the School of Medicine, which may be amended from time to time, are: Anesthesiology, Biomedical Informatics, Biostatistics, Emergency Medicine, Health Policy, Hearing and Speech Sciences, Medicine, Neurology, Obstetrics and Gynecology, Ophthalmology, Orthopaedic Surgery, Otolaryngology, Pathology, Micro & Immunology, Pediatrics, Physical Medicine and Rehabilitation, Psychiatry, Radiation Oncology, Radiology and Radiological Sciences, and Section of Surgical Sciences.
The Constitution of the Faculty Assembly authorizes the Faculty Senate to review and evaluate the educational policies and practices of the University (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and, through the Chancellor, to the Board of Trust; to discuss and express its views about any matter affecting the University to any individual, faculty, or other group within the University; and to facilitate communication among the faculties, the Chancellor, and assisting officers.

Vanderbilt University is committed to a robust model of shared University governance. The Faculty and Administration cooperate and collaborate through a number of University committees and the Faculty Senate. As provided in the Code of By-Laws of Vanderbilt University, the Faculty Senate is the representative, deliberative, legislative body of the faculties. It is composed of the Deans of the colleges and schools, elected members, and ex officio members, including the Chancellor. Ex officio members may participate fully in the deliberations, but have no vote.

The Code of By-Laws authorizes the Faculty Senate to review and evaluate the educational policies and practices of the University (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and to the Board of Trust; to discuss and express its views about any matter affecting the University to any individual, faculty, or other group within the University; and to facilitate communication among the faculties, the Chancellor, and assisting officers.

Each Faculty elects its own representatives to serve for a three-year term on the Faculty Senate. Only full-status faculty members with the academic rank of Instructor or above are eligible for election to the Faculty Senate. Upon the expiration of his or her first full term, a senator is eligible for reelection to a second subsequent term. All full-status faculty members with the academic rank of Instructor or above, part-time faculty members having full status, and such other part-time faculty members as the full-status faculty of a school or college may designate, are eligible to vote for representatives to the Faculty Senate. The Executive Committee of the Faculty Senate, elected by members of the Faculty Senate, consists of the Chair, Vice Chair, the Chair-elect, and the Vice Chair-elect. The Faculty Senate meets at least four times each academic year. Unless otherwise announced as Senators’ only meetings, all meetings of the Faculty Senate are open to full-status faculty members who hold the rank of Instructor or above (including administrative officers who hold faculty appointments) and to part-time faculty members with full status.

The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the several departments, colleges, and schools have been fulfilled. No individual may be awarded a degree without the recommendation of the appropriate faculty. None of the regular degrees of the University shall be conferred as honorary degrees, nor shall any honorary degree be conferred by the University except upon recommendation of the Faculty Senate and with the concurrence of the Board of Trust and of the faculties. Each Faculty may adopt policies, rules, and procedures necessary or desirable in connection with its internal administration.

The Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). The Code of By-Laws authorizes the Faculty Assembly to adopt a Constitution, setting forth its own regulations and rules of order and also the
composition and organization of the Faculty Senate to the extent not defined in the Code of By-Laws, including procedures for changing its composition from time to time. Under the Constitution the Faculty Senate is given power to adopt its own regulations and rules of order, and the Constitution contains provisions for its amendment.

The Code of By-Laws provides that voting membership of the Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly.

As provided in the Code of By-Laws of Vanderbilt University, the immediate government of the University is committed to the Chancellor and, through the Chancellor, to the assisting officers and the Faculty in each of the several schools and colleges. The Chancellor is designated as the Chief Officer of the University and may delegate authority to assisting officers, to the faculties, and to others within the University. The Chancellor has the authority to suspend the action of any Faculty, the Faculty Senate, or of other individuals or bodies to whom authority has been delegated. In so doing, in the case of any Faculty or of the Faculty Senate, the Chancellor submits to the body concerned a statement of the action and the reasons, and reports the action to the Board of Trust together with any pertinent statements submitted by the affected body.

The Chancellor is, ex officio, chair of the faculty of each school and college, and appoints assisting officers, including general officers and Deans of colleges and schools, who serve at the pleasure of the Chancellor. The appointment of general officers and deans of colleges and schools requires approval by the Board of Trust. Although not specified in the Code of By-Laws, the Provost is the chief academic officer for the nine colleges and schools reporting to the Provost and the basic science departments in the School of Medicine. The Dean of the School of Medicine is the chief academic officer of the clinical departments of the School of Medicine.

The Code of By-Laws further provides that the faculty of each school or college shall meet at such times as it may appoint, or at the call of the Chancellor or the appropriate Dean. Each faculty may establish its own procedures for calling meetings.

Chapter 3: Administrative Terms of Office

TERMS OF OFFICE OF DEPARTMENT CHAIRS

For colleges or schools with departments, nominations of chairs of departments are made by the Dean of the college or professional school, acting on the advice of the members of the department holding academic tenure or on the advice of an appropriately constituted search committee appointed by the Dean. In the School of Medicine, nominations of chairs for the Basic Science Departments are made on the advice of an appropriately constituted search committee appointed by the Provost Dean and with the approval of the Chancellor or the Provost’s designee Vice Chancellor for Health Affairs. The list of basic science departments in the School of Medicine, which may be amended from time to time, are: Biochemistry, Cancer Biology, Cell and Developmental Biology, Molecular Physiology and Biophysics, and Pharmacology.
of chairs for the Clinical Departments of the School of Medicine are made on the advice of an appropriately constituted search committee appointed by the Dean and with the approval of the Chancellor of the School of Medicine. These are reviewed by the Provost or, as appropriate, by the Vice Chancellor for Health Affairs.

With the exception of the School of Medicine, where such appointments are made for indefinite terms, department chairs are appointed for limited, renewable terms of three, four, or five years. This does not imply a standard practice or policy of rotating chairs. Regardless of the type of terms of appointment, department chairs are subject to continual evaluation and systematic appraisal by the Dean, and, at the initiative of the Dean, by competent, outside professional consultants.

Divisional or interdepartmental chairs are nominated by the Dean for fixed terms on the advice of special faculty committees appointed by the Dean to review such programs and candidates. The Provost nominates chairs in the case of interschool committees, and the Vice Chancellor for Health Affairs is involved when appropriate. The Provost may confer with the Dean of the School of Medicine when such nominations involve Clinical Departments in the School of Medicine.

Chapter 4: University Committees

University Committees serve Vanderbilt as a whole, in contrast with committees within the schools or certain specialized committees within administrative units.

Invitations to membership on these standing University Committees are extended in writing by the Chancellor.

All committees have at least two categories of membership: faculty and ex officio/administrative. Some have student members, and some have particular requirements, such as alumni representation or citizen members not affiliated with Vanderbilt.

Nominations for faculty positions are made by the Consultative Committee of the Faculty Senate. The Committee calls for faculty volunteers each year and also seeks the advice of Deans, committee chairs, and administrative officers in making its recommendations. The Consultative Committee in submitting nominations for membership to the Chancellor may also recommend faculty for committee chairs when positions are open.

For committees with student members, nominations of undergraduates are submitted to the Chancellor by the Office of the Dean of Students. Nominations of graduate or professional students are solicited by the

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5 The list of clinical departments in the School of Medicine, which may be amended from time to time, are: Anesthesiology, Biomedical Informatics, Biostatistics, Emergency Medicine, Health Policy, Hearing and Speech Sciences, Medicine, Neurology, Obstetrics and Gynecology, Ophthalmology, Orthopaedic Surgery, Otolaryngology, Pathology, Micro & Immunology, Pediatrics, Physical Medicine and Rehabilitation, Psychiatry, Radiation Oncology, Radiology and Radiological Sciences, and Section of Surgical Sciences.
Office of the Dean of Students from the graduate and professional schools and submitted to the Chancellor.

For committees with student members, nominations of undergraduates are submitted to the Chancellor by the Student Government Association. Nominations of graduate or professional students are submitted by the Graduate Student Council, by the student professional organization in the school, or, in the School of Medicine, by the senior class. These groups share the responsibility for making nominations.

Ex officio/administrative members on University Committees include (a) persons who are automatically members by virtue of the position held, and (b) persons necessary to the committee by virtue of special knowledge or experience. In the latter cases, the University officer to whom the committee reports assists the Chancellor by making nominations.

The current committees and their charges are listed in alphabetical order in the following section. Membership requirements and membership lists are on file in the Office of the Chancellor.

University Committees

Athletics

The purpose of this Committee is to give advice, support, and guidance to the Vice Chancellor for Athletics and University Affairs and Athletics and to the Chancellor. The Committee has the general advisory responsibility for athletics.

Calendar

The Committee addresses plans for and coordination of the annual academic calendar of the schools within Vanderbilt.

Chemical Safety

This Committee considers issues pertaining to the safe handling, transport, and use of chemicals and recommends the adoption of new or revised policies through Vanderbilt Environmental Health and Safety.

Environmental Advisory

This Committee considers and recommends policies for the purpose of creating of a comprehensive environmental compliance program for Vanderbilt University and to assist the University in meeting regulatory requirements.

Environmental Health and Safety Oversight
This Committee serves as a resource to the University on matters of environmental health and safety compliance. The committee prepares an annual report to the University on the effectiveness of the University’s environmental health and safety compliance program.

Faculty and Staff Benefits

This Committee has responsibility for reviewing and recommending new and proposed changes to the University’s benefit program provided to the University’s faculty and staff members. The faculty and staff composition is intended to provide multiple perspectives regarding the design of benefit programs.

The Committee develops recommendations based on review and analysis of available utilization data, in consideration of specific program objectives and available financial resources for funding programs.

Institutional Animal Care

The University will have a designated Institutional Official for the purposes of compliance with administrative and reporting obligations to external entities. Through the Affiliation Agreement with Vanderbilt University Medical Center, animal care will be administered by VUMC with services provided to the University.

Institutional Animal Care

The University Committee on Institutional Animal Care is responsible for the establishment and periodic review of University policy and procedures to ensure the humane care and use of animals in experimentation or educational projects. These policies require the committee to review and approve all research or instructional projects using vertebrate animals, regardless of the funding source.

The Committee makes such recommendations to the Chancellor as are necessary to ensure that University policies are in accordance with prevailing federal, state, and local laws and guidelines.

The Committee considers in its establishment of policy for animal care the applicability of those guidelines in situations peculiar or unique to Vanderbilt as well as compliance with general standards for compliance with government regulations. It is also concerned that the policies established will lead to a standard of quality that will enhance the overall quality of scientific investigation in the University.

The Committee is responsible for the establishment of such review procedures as are necessary and appropriate to ensure that all animal care and use in the University are in compliance with federal, state, and local laws and University policies.

The Committee is not involved in direct administration of any animal facility. The committee is free to consult with and take recommendations to the Vice Chancellor for Health Affairs, the Provost, and the Deans of the several schools of the University in its function of formulating and reviewing animal care policy.

Institutional Biosafety

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6 This Committee recommends benefits for faculty and staff who are employees of Vanderbilt University, but not...
The functions of the Institutional Biosafety Committee are:

To review for compliance with the National Institutes of Health Guidelines all recombinant DNA research to be conducted at or sponsored by Vanderbilt and to approve those research projects that it finds are in conformity with the guidelines. This review includes: (a) an independent assessment of the containment levels required by these guidelines for the proposed research, and (b) an assessment of the facilities, procedures, and practices, and of the training and expertise of personnel engaged in recombinant DNA research or research support.

To authorize the principal investigator to proceed with a project upon receipt of proper funding agency approval or, in certain cases, without prior agency approval.

To review periodically recombinant DNA research being conducted at Vanderbilt, to ensure that the requirements of the guidelines are being fulfilled.

To adopt emergency plans covering accidental spills and possible contamination of persons resulting from such research.

To report within thirty (30) days to the Provost, the Dean of the School of MedicineVice Chancellor for Health Affairs, and the Chancellor any significant problems or violations of the guidelines and any significant research-related accidents or illnesses.

Federal regulations require that the Institutional Biosafety Committee be selected so that, collectively, its members have expertise in recombinant DNA technology and the capability to assess the safety of recombinant DNA research experiments and any potential risk to public health or the environment. Non-institutional members are also required.

OFFICER EDUCATION ADVISORY COMMITTEE

The Committee considers policy related to the Army and Navy ROTC units, approves selection of instructional staff, reviews course offerings given for credit, and deals with specific issues that may affect the operation of the units in the University community.

RADIATION SAFETY

The responsibilities of the Radiation Safety Committee relate to and include the radiological aspects involved in the safe use and disposition of radioactive isotopes, sources emitting radiation, fissionable materials, fission products, irradiation services, and any and all material or equipment that emits radiation.

The functions of the committee are:

• To adopt rules and policies on the use of radiation.

• To review and act on all proposals for the use of radiation at Vanderbilt University.

(The Clinical Radiation Committee of the Medical Center shall review proposals for human use.)

• To review proposed shielding and operation of all radiation-producing machines and reactors.
• To review plans for all new buildings and modifications of existing structures where ionizing radiations are to be used.

• To provide technical advice to the Radiation Safety Officer.

• To review periodic reports from the Radiation Safety Officer.

• To review all instances of alleged infractions of the use of radiation or safety rules with the Radiation Safety Officer and responsible personnel and take necessary steps to correct such infractions.

• To ensure that all license obligations and regulations from the federal government and the State of Tennessee are met.

Religious Affairs

The Committee serves as an advisory body to the Office of Religious Life, with responsibility for reviewing policies, appointments, and programs, and for making recommendations to the Provost on the chartering of religious organizations that are not affiliated with the Office of Religious Life.

Technology Review

This Committee reviews and monitors the activities of the Center for Technology Transfer and Commercialization Office of Technology Transfer on matters relating to the administration of the University Policy on Technology and Literary and Artistic Works in accordance with the provisions of that policy. The committee is chaired by a faculty member, and the majority of members are faculty members without administrative appointments. The Committee is consulted in advance concerning any material changes to the policy. In addition, the committee approves recommended allocations between the Technology Promotion Fund and the Technology Research Fund. [Are these two funds still in existence?]

The Committee serves as an appellate body advisory to the Chancellor in the event a disagreement occurs between inventors or creators and the University concerning the interpretation or application of the University’s policy. In cases in which the Committee is unable to resolve the disagreement between the parties, the Committee will forward its recommendation for a resolution to the Chancellor for a final decision.

Traffic and Parking

The main functions of the Traffic and Parking Committee are:

• To reflect various consumer opinions on traffic and transportation within the University community.

• To review general policies and procedures concerning campus traffic and transportation (including parking assignments, plans, and statistics) and advise the Vice Chancellor for Administration, University Relations.
• To consult with the Department of Campus Planning and Construction in the development of comprehensive plans regarding traffic and transportation for submission to the Vice Chancellor for Administration, University Relations.

• To become familiar with the complex systems and regulations within which the University must operate to maintain compliance with various government ordinances and agencies that ultimately influence the traffic and transportation systems of the campus.

• To support the Office of Traffic and Parking as a regulating body by hearing requests for variances and by reviewing appeals of traffic citations.

[Amendments to Faculty Manual omitted, Chapter 5, because it has already been approved.]
Vanderbilt University Compliance Program and Standards of Conduct

Introduction

Vanderbilt University is committed to the highest standards of ethics, honesty, and integrity in pursuit of its mission of education, research, public service, and in supporting health care through its affiliation with Vanderbilt University Medical Center (VUMC). All members of the Board of Trust, the Chancellor, general officers, members of the executive administration, administrative officers, members of the faculty and staff, and others representing Vanderbilt University are expected to adhere to these standards of conduct in the discharge of their duties. The Vanderbilt University Compliance Program demonstrates the university’s commitment to ethical conduct and compliance by setting forth guidelines for conduct designed to prevent and detect violations of law, uphold accreditation standards, comply with university policies, and encourage compliance by providing support, training, and educational resources. The Compliance Program is designed to assist the university in fulfilling its compliance responsibilities by creating an operational structure and process to monitor the university’s compliance efforts and is designed to work in conjunction with other university offices and compliance programs. For more details, the Vanderbilt Compliance Program Plan is available at http://www.vanderbilt.edu/compliance/.

Faculty members employed by VUMC will be responsible in the conduct of their work for complying with the standards of conduct adopted by VUMC as well as the standards of conduct adopted by the University Compliance Program.

The Administrative Compliance Committee (“ACC”) has direct oversight responsibility for the compliance activities of Vanderbilt and assists the Vanderbilt community in fulfilling its legal compliance obligations. The ACC oversees the following areas of compliance activity:

1. Informing, training, and educating the Vanderbilt community about the Standards of Conduct and ethical obligations under those Standards;

2. Monitoring compliance activities, including policies, procedures, training, and education programs;

3. Serving as a resource to Vanderbilt on matters of compliance and legal and regulatory changes, and assessing and identifying areas of risk;

4. Maintaining a reporting helpline for compliance matters;

5. Assisting operational units in developing corrective action plans; and

6. Reporting on compliance activities to the Audit Committee of the Board of Trust.

The ACC is supported and assisted in its oversight responsibilities by a compliance officer who is responsible for the day-to-day operations of the compliance program. The compliance officers’ responsibilities include employee training on the Standards of Conduct, routine monitoring of compliance activities, assisting with corrective action plans, monitoring emerging issues in the field of compliance,
maintaining and responding to calls made to their respective reporting helplines, coordinating interdepartmental compliance efforts, providing staff support for the committees’ operational activities, and submitting biannual reports to the Audit Committee on the activities of the Compliance Program.

The ACC is co-chaired by the Vice Chancellor for Administration and the Vice Chancellor, General Counsel and University Secretary.

Confidential Compliance Hotline 1-866-783-2287.

Standards of Conduct

Consistent with the Faculty Manual and Human Resources policies, the Vanderbilt University Standards of Conduct provide the guiding standards of conduct for the university’s faculty, staff, and others representing the university and set forth the university’s commitment to good practices and following the law. It is of paramount importance that all University faculty in supervisory positions ensure that they themselves adhere to the Standards of Conduct. The deans of the schools are responsible for assuring that the Standards of Conduct are observed by faculty. Staff and other university representatives are responsible for those employees under their supervision. All members of the university community are responsible for reading and understanding the Standards of Conduct. See http://www.vanderbilt.edu/compliance/html/standards.pdf.

Compliance with the Law

Vanderbilt University is committed to compliance with all applicable laws, rules, and regulations. It is the responsibility of each member of the university community, including staff, faculty, health care professionals with hospital privileges, agents, representatives, contractors, and vendors, to follow, in the course and scope of their work at Vanderbilt, all applicable laws, rules, regulations, and university policies, and to maintain an educational, health care, and business environment that is committed to integrity and ethical conduct.

Research and Health Care Services

Vanderbilt University is committed to compliance with applicable law in the conduct of research and health care services. In particular, Vanderbilt is committed to the protection of the health, safety, and welfare of human and animal research subjects and the conduct of research with scientific integrity. Vanderbilt has adopted policies and procedures designed to foster the responsible conduct of research, and it is essential that the conduct of research activities and the delivery of health care services be accurately documented as required by applicable laws, rules, and regulations. Federal regulations relating to effort reporting and appropriate expenditure of grant funds must also be followed. Matters involving faculty employed by VUMC will be referred to the VUMC compliance officer with the expectation that the University and VUMC will work cooperatively to handle such compliance matters.

False Claims Act and Whistleblower Protection

Vanderbilt University requires all faculty and staff to report all known or suspected violations of the Federal False Claims Act (“FFCA”) or the Tennessee False Claims Act (“TFCA”) (collectively referred to as “FCA”). A person violates the FCA by knowingly submitting, or causing another to submit, false
claims for payment of government funds. Examples of violations of a FCA are (i) submission of a claim to Medicare for payment for services not rendered, or (ii) falsification of a time and effort report in connection with a claim for reimbursement from government grant. Vanderbilt University does not allow retaliation against persons reporting such suspected violations (sometimes referred to as “whistleblowers”) for making such reports in good faith.

Report any known or suspected violation of either the FFCA or the TFCA to the appropriate supervisor, department head or chair, the University Compliance Officer, or the 24-hour Confidential Help Line for the university at (615) 322-0133. In making reports to the confidential help line, the caller may remain anonymous. The compliance helpline has no call identification or number recognition capability.

Faculty and staff may also report known or suspected violations of the FFCA to the following Federal hotline, (800) 447-8477, or by email at HHSTips@oig.hhs.gov.

All persons making reports of compliance concerns are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a bona fide need-to-know basis. Vanderbilt prohibits retaliation and will take no adverse action against persons who make such reports in good faith (“whistleblowers”), even if the report turns out to be incorrect. Any faculty or staff member who believes that he or she has been subjected to or affected by retaliatory conduct for reporting a suspected violation of an FCA or for refusing to engage in activity that would be a violation of an FCA should report such retaliation to the university compliance officer.

Kickbacks

It is against university policy for any person acting on behalf of the university to accept or pay a kickback. When someone who can influence purchasing decisions made at the university takes money or anything of value from a vendor, it can be considered a kickback, which is illegal. No gifts or accommodations of any nature, including unrestricted grants, may be accepted by the university or individual members of the university community when to do so would place them in a prejudicial or compromising position, interfere in any way with the impartial discharge of their duties to the university, or reflect adversely on their integrity or that of the university.

Antitrust Laws and Regulations

Vanderbilt University is committed to complying with state and federal antitrust (monopolies) laws and regulations. University policy and business practices prohibit setting charges in collusion with competitors, certain exclusive arrangements with vendors, and joint ventures that are in restraint of trade or which attempt to monopolize any part of interstate trade or commerce. The sharing of confidential information such as salaries or charges for services with competitors is also prohibited.

Conflicts of Interest and Commitment

Vanderbilt University is committed to following and enforcing its conflict of interest and commitment policies. All university faculty, staff, and representatives should avoid potential or perceived conflicts of interest and/or commitment. Any concerns about a proposed transaction that may involve inducements offered by a vendor or supplier or a business relationship with a company that is connected with you or a family member, should be discussed with the appropriate dean, supervisor, or compliance officer. The
Vanderbilt University Conflict of Interest and Commitment Policy can be found at http://www.vanderbilt.edu/compliance/ (and is included in Part III of the Faculty Manual) and the VUMC Conflict of Interest and Commitment Policy can be found at https://www.mc.vanderbilt.edu/root/vumc.php?site=DCCI&doc=23385. See also the Human Resource Services Web site at www.vanderbilt.edu/HRS.

Environment

Vanderbilt University is committed to complying with all applicable environmental laws and to maintaining all necessary environmental permits and approvals. Environmental compliance includes the proper handling, storage, use, shipment, and disposal of all materials that are regulated under any applicable environmental law. If any employee has actual knowledge that a spill, release, or discharge of any material regulated pursuant to an applicable environmental law has occurred, such employee must immediately report such event to his or her immediate supervisor so that necessary action may be taken. Necessary action may include evacuating employees, reporting such event to a governmental authority if required pursuant to any environmental law, and containing and cleaning up any such spill, release, or discharge. Employees should also report any other violations of applicable environmental law of which they have actual knowledge that could endanger the health and safety of other individuals. Questions concerning environmental regulations should be directed to Vanderbilt Environmental Health and Safety at (615) 322-2057.

Confidentiality

Vanderbilt University is committed to the appropriate protection of confidential information. Many faculty and staff have access to various types of sensitive, confidential, and proprietary information. Vanderbilt prohibits the unauthorized seeking, disclosing, or selling of such information, including confidential information contained in health care records, student educational records and employment records.

Controlled Substances

In accordance with the university’s Drug-Free Workplace policy, Vanderbilt prohibits the unlawful manufacture, distribution, possession, or use of a controlled substance by any member of the university community in the workplace or while conducting university business off the university’s premises. Federal law may impose sentences of up to twenty years in prison and fines of up to $1,000,000 for violation of criminal drug laws. For more information, see the Vanderbilt Compliance Program Plan at http://www.vanderbilt.edu/compliance/plan.php.

Non-Discrimination

Vanderbilt University is committed to the principles of equal opportunity and affirmative action. Vanderbilt does not discriminate on the basis of race, color, religion, sex, national or ethnic origin, age, disability, sexual orientation, or military service in administration of its educational policies, programs or activities; its admission policies; scholarship and loan programs; athletic or other institution-administered programs; or employment. The Equal Opportunity, Affirmative Action, and Disability Services Department (EAD) has responsibility for monitoring Vanderbilt’s Affirmative Action Plan and assisting with the application and interpretation of laws that impose special obligations on Vanderbilt. The EAD
also assists with compliance with the Americans with Disabilities Act and with providing accommodation to students, faculty, and staff.

The EAD receives complaints regarding unlawful discrimination within the university community and, where possible, assists in the resolution of those complaints. Any faculty or staff member who experiences harassment or inappropriate discrimination should immediately seek assistance through the EAD by calling (615) 322-4705. Vanderbilt prohibits retaliation against persons who utilize the EAD in good faith to voice complaints of harassing or discriminatory conduct. Other staff member employment concerns related to personnel issues or human resources, such as salary, promotion, or hiring, should initially be directed to Human Resource Services at 322-8330.

Response to Investigation

Vanderbilt University is committed to cooperating with government investigators as required by law. If an employee receives a subpoena, search warrant, or other similar document, before taking any action, the employee must immediately contact the Office of the General Counsel. The Office of the General Counsel is responsible for authorizing the release or copying of documents. If a government investigator, agent, or auditor comes to the University, a supervisor or the Office of the General Counsel should be contacted before an employee discusses any matters with such investigator, agent, or auditor.

Compliance Training

Vanderbilt University is committed to providing training and education to the university community about compliance with applicable laws, rules, and regulations. In addition to employee orientation, ongoing training and education is available on the university Web site with the Institutional Review Board, Office of Grants and Contracts Management, Research Support Services, and other relevant departments. Also, the compliance officer is always available to assist and coordinate specific education and training efforts.

Conclusion

Vanderbilt University is committed to following local, state, and federal laws, rules, and regulations. The compliance officers maintain help and reporting phone lines to enable faculty, staff, and other university representatives to report violations and to discuss any questions. To assist the university with its commitment to appropriate conduct, all faculty, staff, and representatives are encouraged to report violations of any law or policy to a supervisor, a department head or chair, or a compliance officer. It is the duty of all faculty, staff, and university representatives to report Vanderbilt job-related criminal conduct of which they have actual knowledge or Vanderbilt-job-related situations that endanger the health and safety of any individual. All persons making such reports are assured that such reports will be treated as confidential to the extent permitted by law. Such reports will be shared with others only on a bona fide need-to-know basis. Vanderbilt will take no adverse action against persons making such reports in good faith. Vanderbilt prohibits retaliation against persons who make such reports in good faith.

Faculty and staff wanting to make a report of a violation or a potential problem may contact the University Compliance Officer at (615) 322-5162, or call the anonymous, confidential helpline at (615) 322-1033. For more information, see the Vanderbilt Compliance Program Plan at
Part I The University and Its Governance

Chapter 1: About Vanderbilt University

Section A

History

Vanderbilt University is an independent, privately-supported university founded in 1873 through a gift from Commodore Cornelius Vanderbilt. Born of modest means and not formally educated, the Commodore, a nickname Vanderbilt received in his youth, built a fortune from steamboat lines and railroads. The endowment of the University was his only major philanthropy, and his hope was that Vanderbilt would “contribute to strengthening the ties that should exist between all geographical sections of our common country.”

Bishop Holland N. McTyeire, whose wife was a cousin of Vanderbilt’s second wife, Frank Armstrong Crawford, was leading a movement within the Methodist Episcopal Church, South, to establish “an institution of learning of the highest order.” In 1872, a charter was issued to petitioners representing nine Methodist conferences located in the mid-South for “Central University” in Nashville. However, their efforts failed for lack of financial resources in a region so recently ruined by the Civil War. In early 1873, Bishop McTyeire traveled to New York to seek medical care, and the Vanderbilts offered their hospitality for his convalescence. Prior to the trip, the Bishop had reportedly discussed the possibility of gaining financial support from the Commodore in letters to his wife, Frank Armstrong Crawford. She is credited for laying the groundwork for the gift. During his stay in New York, Bishop McTyeire was able to gain the admiration and financial support of the Commodore in the amount of one half million dollars to found the University. Himself unschooled, Vanderbilt once said, “Though I never had any education, no man has ever felt the lack more than I have, and no man appreciates the value of it more than I do and believes more than I do what it will do in the future.” Soon after the university opened, Vanderbilt sent another half million dollars for its endowment.

Commodore Vanderbilt, who never visited Nashville himself, entrusted Bishop McTyeire to choose the site for the campus and administer the institution. At that time, Nashville had a population of 40,000, and the campus was part cornfield with a few residences scattered on the site. The Bishop himself planted young trees over the original seventy-five acre campus and supervised the planning and construction of the buildings. Vanderbilt University opened for classes in October of 1875 with 307 students enrolled. Since then, the University has grown to 333 acres with more than 12,000 students, and it has been designated a national arboretum—a legacy of Bishop McTyeire’s early efforts.

Section B
Colleges and Schools

Vanderbilt University comprises ten schools offering undergraduate programs in the liberal arts and sciences, education and human development, engineering, and music and a full range of graduate and professional degrees. The University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools and is a member of the Association of American Universities.

The College of Arts and Science, founded in 1875 as the Department of Philosophy, Science, and Literature, offers the Bachelor of Arts.

The Blair School of Music, once an independent music school that merged with the university in 1981, offers the Bachelor of Music.

The Divinity School was established in 1875 as the Biblical Department and operated under the auspices of the Methodist Episcopal Church, South, from its opening until May 1914. Since that date, it has carried on as an ecumenical theological school under the direction of the Vanderbilt Board of Trust, which, in 1915 officially established it as The Divinity School with its own dean and faculty. The Divinity School offers the Master of Theological Studies and the Master of Divinity.

The School of Engineering, established as a full department in 1886, offers the Bachelor of Engineering, the Bachelor of Science, and the Master of Engineering.

The Graduate School, an early priority of the University which offered doctoral programs within the first ten years of its founding, offers the Master of Arts, Master of Fine Arts, the Master of Liberal Arts and Science, the Master of Science, and the Doctor of Philosophy.

The Law School, founded as one of the original departments of the University, offers the Doctor of Jurisprudence and the Master of Laws.

The Department of Medicine (now School of Medicine) conferred its first diplomas in 1875 as part of an agreement with the University of Nashville Medical Department. Vanderbilt split ties with the University of Nashville in 1895, and finally moved to the main campus in 1925. The School of Medicine offers the Doctor of Medicine, Master of Public Health, Master of Science in Clinical Investigation, Master of Laboratory Investigation, Master of Education of the Deaf, Master of Science of Medical Physics, Master of Health Professions Education, Master of Science (Speech Language Pathology), Master of Science in Applied Clinical Informatics, Doctor of Audiology, and Doctor of Medical Physics.

The School of Nursing, has a history dating back to 1909, and began offering the Master of Science in Nursing in 1955. The School offers the Master of Science in Nursing and Doctor of Nursing Practice.

The Owen Graduate School of Management was established in 1969. The Owen School offers the Master of Business Administration, Master of Science in Finance, Master of Accountancy, and Master of Management in Health Care.

Peabody College traces its roots to Davidson Academy, organized in 1785, eleven years before the founding of the state of Tennessee. It operated as an independent professional school of education from 1875 until its merger with Vanderbilt in 1979. The Peabody College of Education and Human
Development offers the Bachelor of Science, the Master of Education, the Master of Public Policy, and the Doctor of Education.

Section C

Administration

Vanderbilt University is governed by a Board of Trust which appoints the Chancellor as the Chief Officer. The University’s other administrative officers serve at the pleasure of the Chancellor and include the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for Investments and Chief Investment Officer, the Vice Chancellor for Administration, the Vice Chancellor for Finance and Chief Financial Officer, the Vice Chancellor for Public Affairs, the Vice Chancellor for Athletics and University Affairs, the Vice Chancellor for Development and Alumni Relations, the Vice Chancellor for Information Technology, and the Vice Chancellor, General Counsel and Secretary. Each of the ten schools of the university is led by a Dean, nine of whom report to the Provost and the Dean of the School of Medicine who reports to the Chancellor.

Section D

Academic Affiliation between Vanderbilt University and Vanderbilt University Medical Center

Vanderbilt University and Vanderbilt University Medical Center became separate non-profit entities in 2016. They operate under an Academic Affiliation Agreement to support one another and fulfill their related missions. As part of this agreement, based on their roles and appointments, faculty may be employed by Vanderbilt University Medical Center. These faculty continue to have their faculty appointments with Vanderbilt University and are covered by the Vanderbilt University Faculty Manual. Such faculty render services to, and are responsible to, both Vanderbilt University and the Vanderbilt University Medical Center.

Chapter 2: University Governance

Vanderbilt University is committed to a robust model of shared University governance. The Faculty and Administration cooperate and collaborate through a number of University committees and the Faculty Senate. As provided in the Code of By-Laws of Vanderbilt University, the Faculty Senate is the representative, deliberative, legislative body of the faculties. It is composed of the Deans of the colleges and schools, elected members, and ex officio members, including the Chancellor. Ex officio members may participate fully in the deliberations, but have no vote.

The Code of By-Laws authorizes the Faculty Senate to review and evaluate the educational policies and practices of the University (including policies and procedures to be applied in cases involving conscience or academic freedom); to make recommendations concerning them to the Chancellor and to the Board of Trust; to discuss and express its views about any matter affecting the University to any individual,
faculty, or other group within the University; and to facilitate communication among the faculties, the Chancellor, and assisting officers.

Each Faculty elects its own representatives to serve for a three-year term on the Faculty Senate. Only full-status faculty members with the academic rank of Instructor or above are eligible for election to the Faculty Senate. Upon the expiration of his or her first full term, a senator is eligible for reelection to a second subsequent term. All full-status faculty members with the academic rank of Instructor or above, part-time faculty members having full status, and such other part-time faculty members as the full-status faculty of a school or college may designate, are eligible to vote for representatives to the Faculty Senate. The Executive Committee of the Faculty Senate, elected by members of the Faculty Senate, consists of the Chair, Vice Chair, the Chair-elect, and the Vice Chair-elect. The Faculty Senate meets at least four times each academic year. Unless otherwise announced as Senators’ only meetings, all meetings of the Faculty Senate are open to full-status faculty members who hold the rank of Instructor or above (including administrative officers who hold faculty appointments) and to part-time faculty members with full status.

The faculties have the power of recommending individuals for degrees or other marks of academic distinction when the conditions prescribed in the several departments, colleges, and schools have been fulfilled. No individual may be awarded a degree without the recommendation of the appropriate faculty. None of the regular degrees of the University shall be conferred as honorary degrees, nor shall any honorary degree be conferred by the University except upon recommendation of the Faculty Senate and with the concurrence of the Board of Trust and of the faculties. Each Faculty may adopt policies, rules, and procedures necessary or desirable in connection with its internal administration.

The Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). The Code of By-Laws authorizes the Faculty Assembly to adopt a Constitution, setting forth its own regulations and rules of order and also the composition and organization of the Faculty Senate to the extent not defined in the Code of By-Laws, including procedures for changing its composition from time to time. Under the Constitution the Faculty Senate is given power to adopt its own regulations and rules of order, and the Constitution contains provisions for its amendment.

The Code of By-Laws provides that voting membership of the Faculty Assembly consists of the full-time members of the faculties of the several colleges and schools, and those having full status with partial load, who hold the rank of Instructor or above (which includes administrative officers who hold faculty appointments). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly.

As provided in the Code of By-Laws of Vanderbilt University, the immediate government of the University is committed to the Chancellor and, through the Chancellor, to the assisting officers and the Faculty in each of the several schools and colleges. The Chancellor is designated as the Chief Officer of the University and may delegate authority to assisting officers, to the faculties, and to others within the University. The Chancellor has the authority to suspend the action of any Faculty, the Faculty Senate, or of other individuals or bodies to whom authority has been delegated. In so doing, in the case of any Faculty or of the Faculty Senate, the Chancellor submits to the body concerned a statement of the action and the reasons, and reports the action to the Board of Trust together with any pertinent statements submitted by the affected body.
The Chancellor is, *ex officio*, chair of the faculty of each school and college, and appoints assisting officers, including general officers and Deans of colleges and schools, who serve at the pleasure of the Chancellor. The appointment of general officers and deans of colleges and schools requires approval by the Board of Trust. Although not specified in the *Code of By-Laws*, the Provost is the chief academic officer for the nine colleges and schools reporting to the Provost and the basic science departments in the School of Medicine. The Dean of the School of Medicine is the chief academic officer of the clinical departments of the School of Medicine.

The *Code of By-Laws* further provides that the faculty of each school or college shall meet at such times as it may appoint, or at the call of the Chancellor or the appropriate Dean. Each faculty may establish its own procedures for calling meetings.

**Chapter 3: Administrative Terms of Office**

**TERMS OF OFFICE OF DEPARTMENT CHAIRS**

For colleges or schools with departments, nominations of chairs of departments are made by the Dean of the college or professional school, acting on the advice of the members of the department holding academic tenure or on the advice of an appropriately constituted search committee appointed by the Dean. In the School of Medicine, nominations of chairs for the Basic Science Departments are made on the advice of an appropriately constituted search committee appointed by the Provost or the Provost’s designee. ¹ The nominations of chairs for the Clinical Departments of the School of Medicine are made on the advice of an appropriately constituted search committee appointed by the Dean of the School of Medicine. ²

With the exception of the School of Medicine, where such appointments are made for indefinite terms, department chairs are appointed for limited, renewable terms of three, four, or five years. This does not imply a standard practice or policy of rotating chairs. Regardless of the type of terms of appointment, department chairs are subject to continual evaluation and systematic appraisal by the Dean and, at the initiative of the Dean, by competent, outside professional consultants.

Divisional or interdepartmental chairs are nominated by the Dean for fixed terms on the advice of special faculty committees appointed by the Dean to review such programs and candidates. The Provost nominates chairs in the case of interschool committees. The Provost may confer with the Dean of the School of Medicine when such nominations involve Clinical Departments in the School of Medicine.

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¹ The list of basic science departments in the School of Medicine, which may be amended from time to time, are: Biochemistry, Cancer Biology, Cell and Developmental Biology, Molecular Physiology and Biophysics, and Pharmacology.

² The list of clinical departments in the School of Medicine, which may be amended from time to time, are: Anesthesiology, Biomedical Informatics, Biostatistics, Emergency Medicine, Health Policy, Hearing and Speech Sciences, Medicine, Neurology, Obstetrics and Gynecology, Ophthalmology, Orthopedic Surgery, Otolaryngology, Pathology, Micro & Immunology, Pediatrics, Physical Medicine and Rehabilitation, Psychiatry, Radiation Oncology, Radiology and Radiological Sciences, and Section of Surgical Sciences.
Chapter 4: University Committees

University Committees serve Vanderbilt as a whole, in contrast with committees within the schools or certain specialized committees within administrative units.

Invitations to membership on these standing University Committees are extended in writing by the Chancellor.

All committees have at least two categories of membership: faculty and ex officio/administrative. Some have student members, and some have particular requirements, such as alumni representation or citizen members not affiliated with Vanderbilt.

Nominations for faculty positions are made by the Consultative Committee of the Faculty Senate. The Committee calls for faculty volunteers each year and also seeks the advice of Deans, committee chairs, and administrative officers in making its recommendations. The Consultative Committee in submitting nominations for membership to the Chancellor may also recommend faculty for committee chairs when positions are open.

For committees with student members, nominations of undergraduates are submitted to the Chancellor by the Office of the Dean of Students. Nominations of graduate or professional students are solicited by the Office of the Dean of Students from the graduate and professional schools and submitted to the Chancellor.

Ex officio/administrative members on University Committees include (a) persons who are automatically members by virtue of the position held, and (b) persons necessary to the committee by virtue of special knowledge or experience. In the latter cases, the University officer to whom the committee reports assists the Chancellor by making nominations.

The current committees and their charges are listed in alphabetical order in the following section. Membership requirements and membership lists are on file in the Office of the Chancellor.

University Committees

Athletics

The purpose of this Committee is to give advice, support, and guidance to the Vice Chancellor for Athletics and University Affairs and to the Chancellor. The Committee has the general advisory responsibility for athletics.

Calendar

The Committee addresses plans for and coordination of the annual academic calendar of the schools within Vanderbilt.

Chemical Safety
This Committee considers issues pertaining to the safe handling, transport, and use of chemicals and recommends the adoption of new or revised policies through Vanderbilt Environmental Health and Safety.

Environmental Advisory

This Committee considers and recommends policies for the purpose of creating of a comprehensive environmental compliance program for Vanderbilt University and to assist the University in meeting regulatory requirements.

Environmental Health and Safety Oversight

This Committee serves as a resource to the University on matters of environmental health and safety compliance. The committee prepares an annual report to the University on the effectiveness of the University’s environmental health and safety compliance program.

Faculty and Staff Benefits

This Committee has responsibility for reviewing and recommending new and proposed changes to the University’s benefit program provided to the University’s faculty and staff members. The faculty and staff composition is intended to provide multiple perspectives regarding the design of benefit programs.

The Committee develops recommendations based on review and analysis of available utilization data, in consideration of specific program objectives and available financial resources for funding programs.

Institutional Animal Care

The University will have a designated Institutional Official for the purposes of compliance with administrative and reporting obligations to external entities. Through the Affiliation Agreement with Vanderbilt University Medical Center, animal care will be administered by VUMC with services provided to the University.

Institutional Biosafety

The functions of the Institutional Biosafety Committee are:

To review for compliance with the National Institutes of Health Guidelines all recombinant DNA research to be conducted at or sponsored by Vanderbilt and to approve those research projects that it finds are in conformity with the guidelines. This review includes: (a) an independent assessment of the containment levels required by these guidelines for the proposed research, and (b) an assessment of the facilities, procedures, and practices, and of the training and expertise of personnel engaged in recombinant DNA research or research support.

To authorize the principal investigator to proceed with a project upon receipt of proper funding agency approval or, in certain cases, without prior agency approval.

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3 This Committee recommends benefits for faculty and staff who are employees of Vanderbilt University.
To review periodically recombinant DNA research being conducted at Vanderbilt, to ensure that the requirements of the guidelines are being fulfilled.

To adopt emergency plans covering accidental spills and possible contamination of persons resulting from such research.

To report within thirty (30) days to the Provost, the Dean of the School of Medicine, and the Chancellor any significant problems or violations of the guidelines and any significant research-related accidents or illnesses.

Federal regulations require that the Institutional Biosafety Committee be selected so that, collectively, its members have expertise in recombinant DNA technology and the capability to assess the safety of recombinant DNA research experiments and any potential risk to public health or the environment. Non-institutional members are also required.

Officer Education Advisory Committee

The Committee considers policy related to the Army and Navy ROTC units, approves selection of instructional staff, reviews course offerings given for credit, and deals with specific issues that may affect the operation of the units in the University community.

Radiation Safety

The responsibilities of the Radiation Safety Committee relate to and include the radiological aspects involved in the safe use and disposition of radioactive isotopes, sources emitting radiation, fissionable materials, fission products, irradiation services, and any and all material or equipment that emits radiation.

The functions of the committee are:

• To adopt rules and policies on the use of radiation.

• To review and act on all proposals for the use of radiation at Vanderbilt University.

• To review proposed shielding and operation of all radiation-producing machines and reactors.

• To review plans for all new buildings and modifications of existing structures where ionizing radiations are to be used.

• To provide technical advice to the Radiation Safety Officer.

• To review periodic reports from the Radiation Safety Officer.

• To review all instances of alleged infractions of the use of radiation or safety rules with the Radiation Safety Officer and responsible personnel and take necessary steps to correct such infractions.

• To ensure that all license obligations and regulations from the federal government and the State of Tennessee are met.

Religious Affairs
The Committee serves as an advisory body to the Office of Religious Life, with responsibility for reviewing policies, appointments, and programs, and for making recommendations to the Provost on the chartering of religious organizations that are not affiliated with the Office of Religious Life.

Technology Review

This Committee reviews and monitors the activities of the Center for Technology Transfer and Commercialization on matters relating to the administration of the University Policy on Technology and Literary and Artistic Works in accordance with the provisions of that policy. The committee is chaired by a faculty member, and the majority of members are faculty members without administrative appointments. The Committee is consulted in advance concerning any material changes to the policy.

The Committee serves as an appellate body advisory to the Chancellor in the event a disagreement occurs between inventors or creators and the University concerning the interpretation or application of the University’s policy. In cases in which the Committee is unable to resolve the disagreement between the parties, the Committee will forward its recommendation for a resolution to the Chancellor for a final decision.

Traffic and Parking

The main functions of the Traffic and Parking Committee are:

- To reflect various consumer opinions on traffic and transportation within the University community.
- To review general policies and procedures concerning campus traffic and transportation (including parking assignments, plans, and statistics) and advise the Vice Chancellor for Administration. To consult with the Department of Campus Planning and Construction in the development of comprehensive plans regarding traffic and transportation for submission to the Vice Chancellor for Administration.
- To become familiar with the complex systems and regulations within which the University must operate to maintain compliance with various government ordinances and agencies that ultimately influence the traffic and transportation systems of the campus.
- To support the Office of Traffic and Parking as a regulating body by hearing requests for variances and by reviewing appeals of traffic citations.

[Amendments to Faculty Manual omitted, Chapter 5, because it has already been approved.]