



Council on Research Summer Meeting

Managing Conflicts of Interest in Research: Diving into Practices

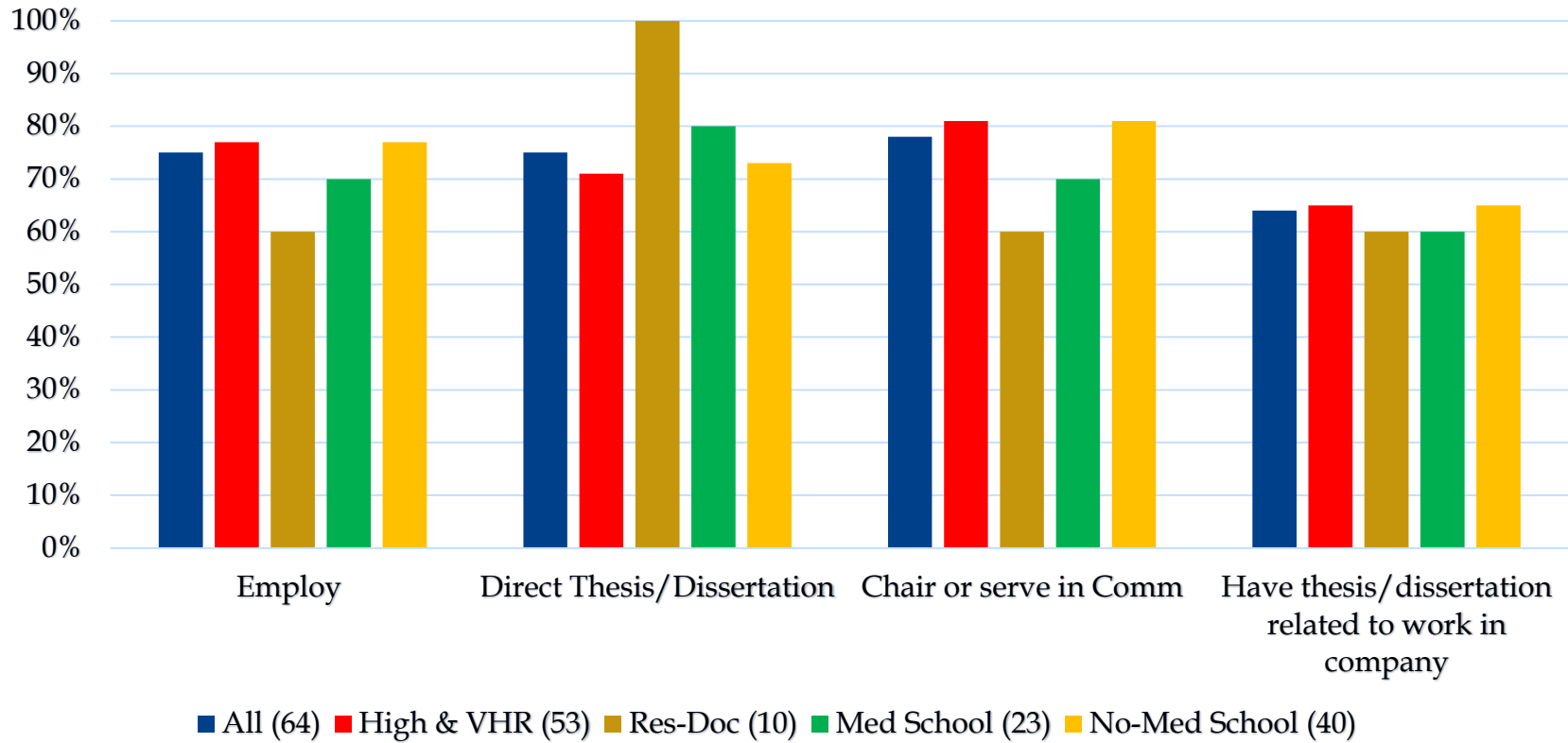
Kimberly Andrews Espy, Senior VP for Research, *the University of Arizona*

Gerard Sonnefeld, VP for Research & Economic Development, *the University of Rhode Island*

Andres G. Gil, VP for Research & Economic Development, *Florida International University*

Mark McLellan, Vice President for Research, Dean of the School of Graduate Studies, *Utah State University*

Graduate Students: Allowed Roles for PIs with SFI



Graduate Students: Management Strategies for PIs with SFI

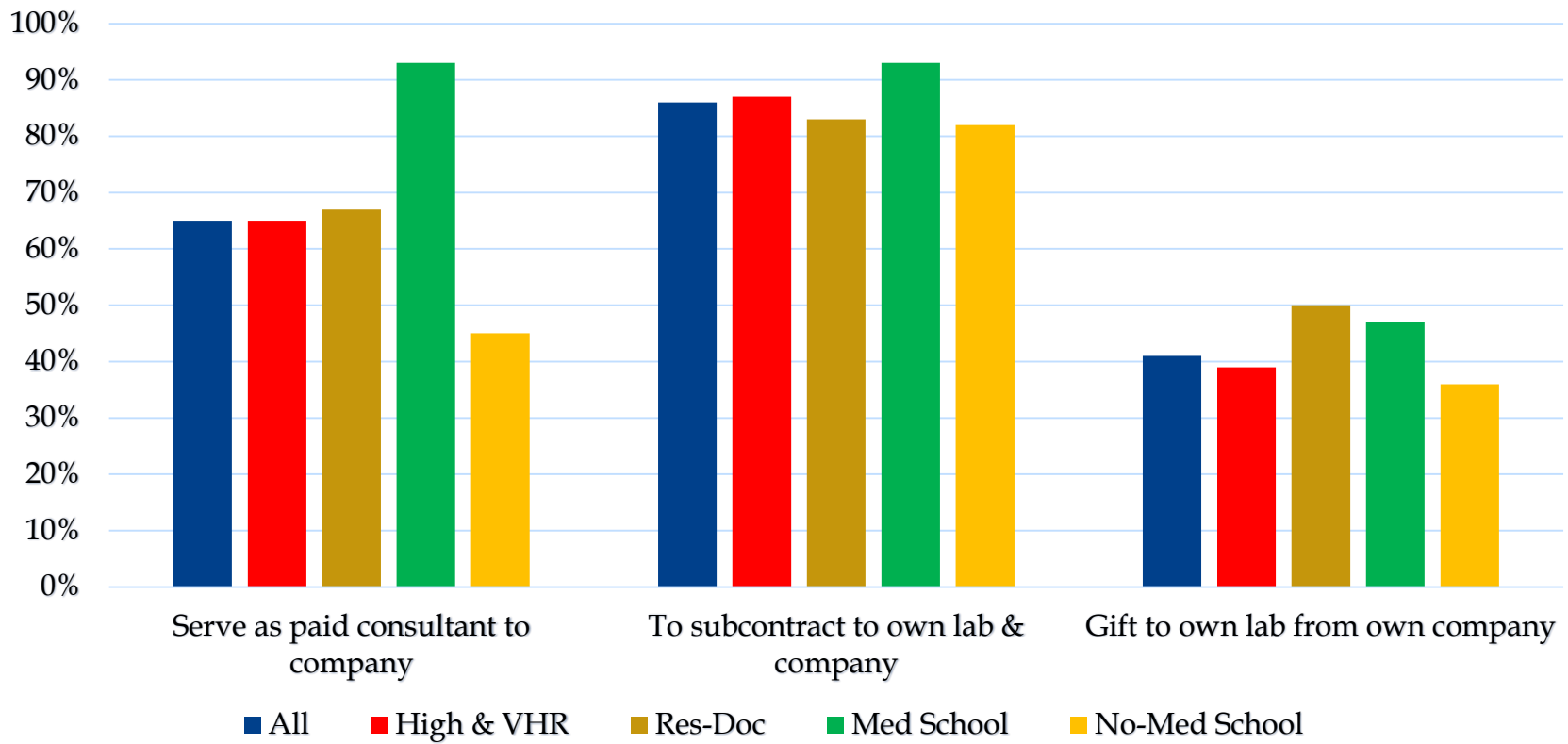
- **Through a Conflict of Interest Management Plan**
 - Management plan that is disclosed to all; institutionally approved conflicts management plan; scope of activities in company versus university clearly separated.
- **Through a Specific Committee**
 - Dissertation co-chair; student's committee makes major decisions; majority of faculty in committee from outside company; student is supervised by someone with same academic standing or higher than PI; PI can serve on committee but not as chair (non-conflicted chair is a significant part of the management).
- **Designated COI Officer**
 - A member of the faculty is designated the role of ensuring the student is protected.
 - A third party is appointed as ombudsman role for the student.

Graduate Students: Management Strategies for PIs with SFI

QUESTIONS FOR DISCUSSION:

1. Any approaches to managing graduate student relations for PIs with SFI not reported in survey?
2. What is the future given increased focus on industry cooperation, economic development and technology transfer?

Contracts/Gifts: Allowed Roles for PIs with SFI



Contracts/Gifts: Management Strategies for PIs with SFI

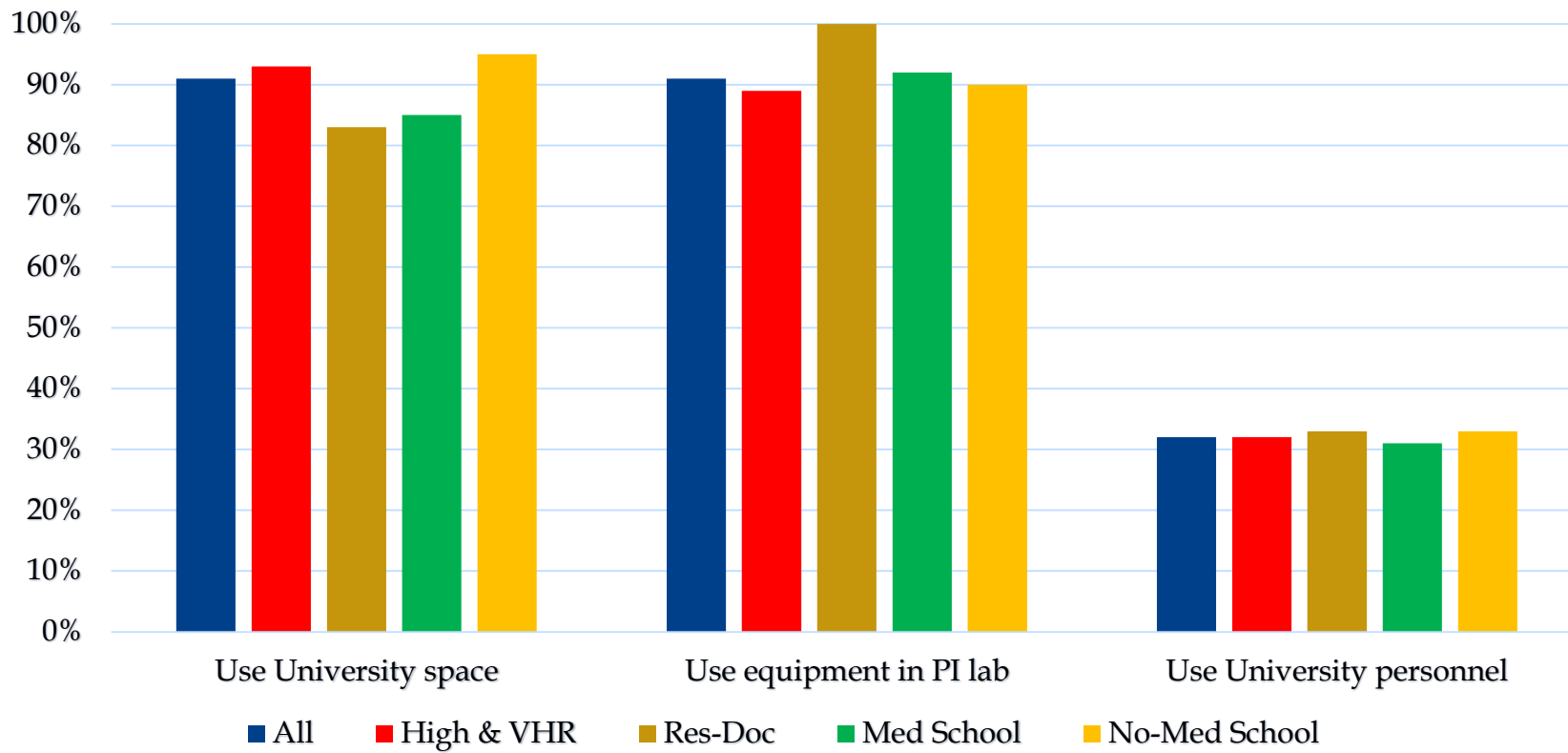
- **Through a Conflict of Interest Management Plan**
 - COI Committee develops management plan that is reviewed regularly; COI committee with review by research office;
- **Through a Specific University Policy**
- **Independent Advisory Board is Created After Certain Monetary Threshold is Reached**
- **Through Separately Appointed University PI**
 - Another individual of equal or greater position in the hierarchy is PI over scope of work and independently manages all relationships with the entity
 - All work is independently supervised

Contracts/Gifts: Management Strategies for PIs with SFI

QUESTIONS:

1. What works best in collaborating with PI company?
2. Are these relationships manageable?
3. How do we manage gifts for Foundation vs. Research Foundation?
4. Service Centers/Auxiliary; how to manage conflict?

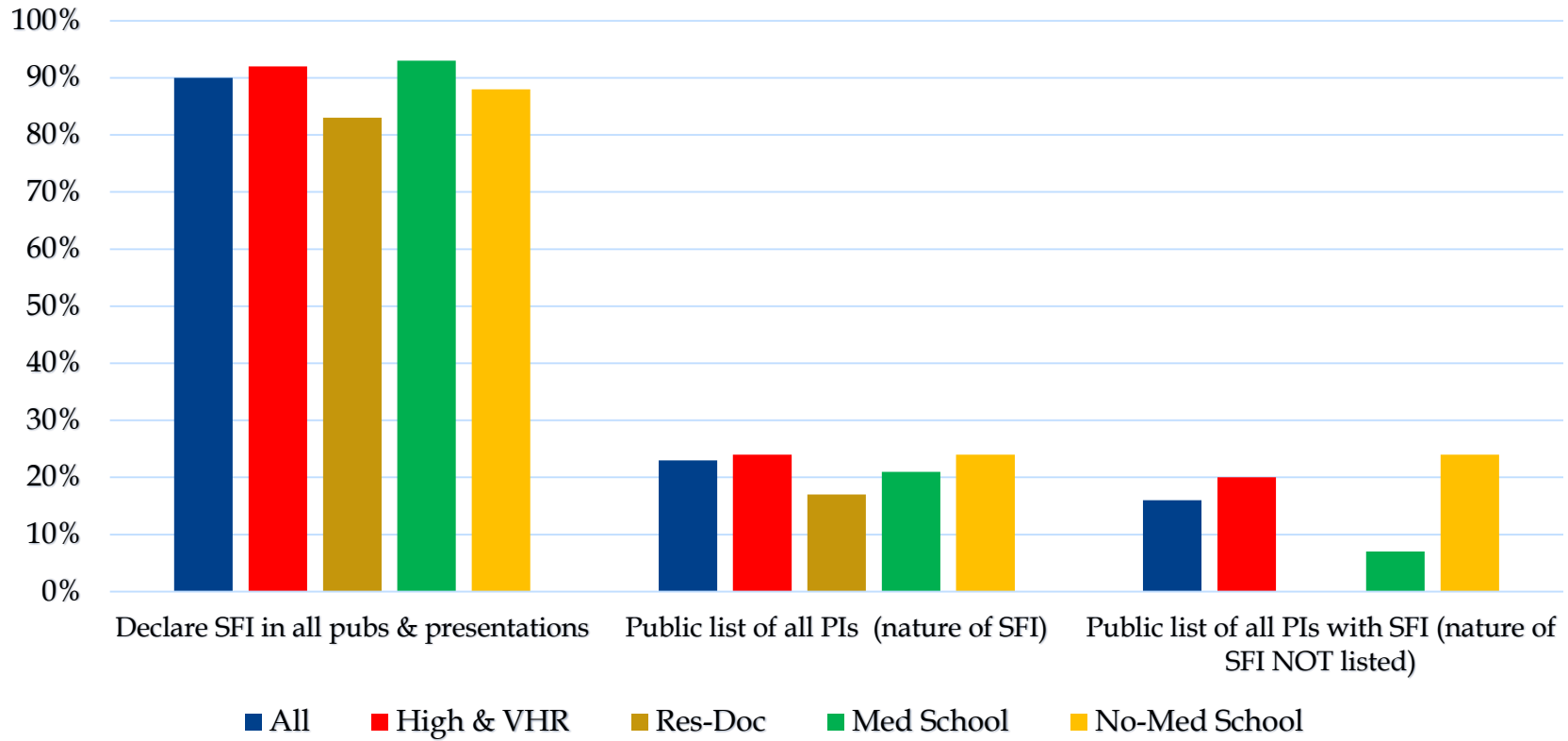
Campus Space: Allowed Uses for PIs with SFI



Campus Space: Management Strategies for PIs with SFI

- **Creation of a Formal Agreement**
 - Facility Use Agreement; equipment being used treated as core facility; cost accounting for space, equipment and personnel; fair market value for facilities, equipment and personnel use
- **COI Committee/Monitoring Plan**
 - Use cannot interfere with university needs; all activities monitored;

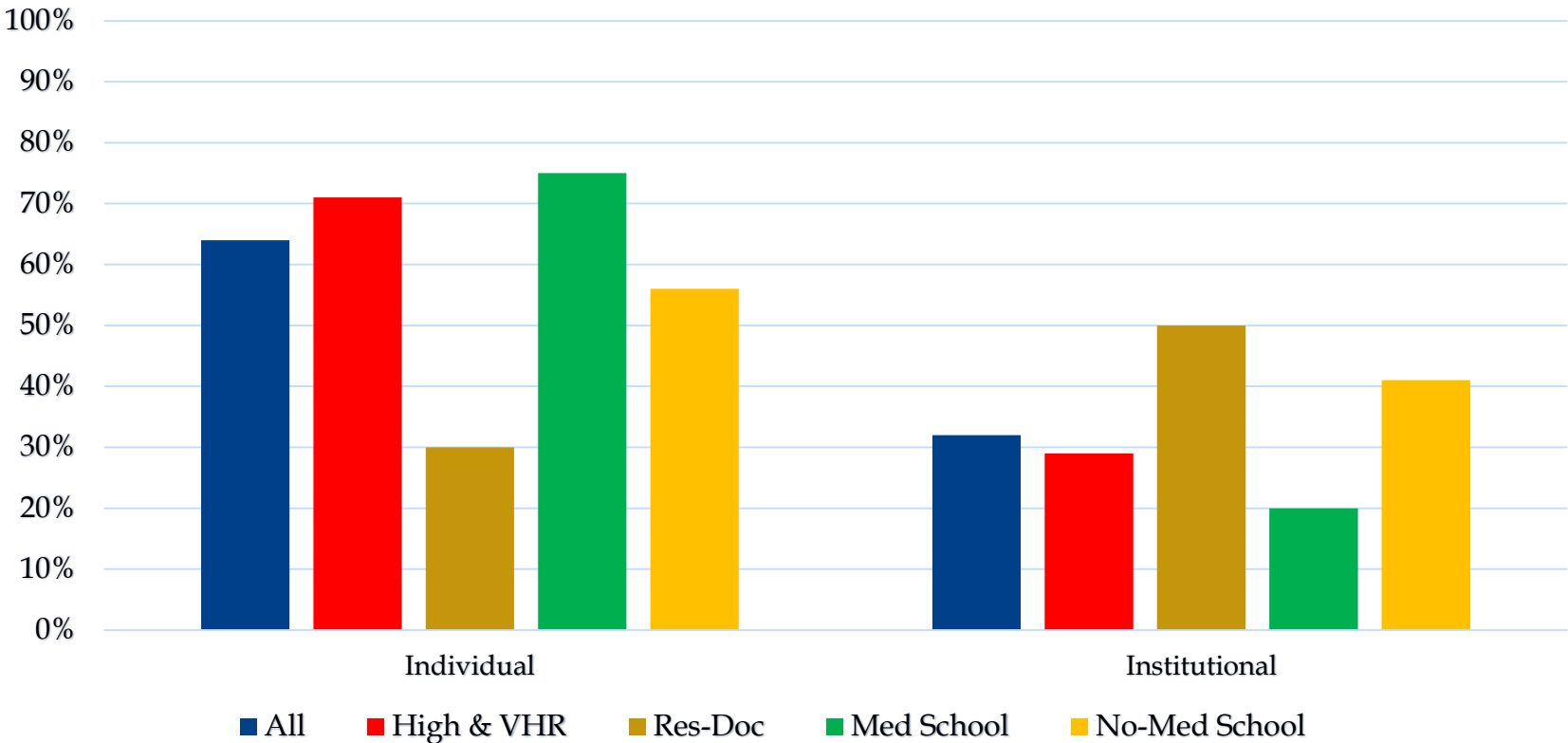
Public Declaration Required for PIs with SFI



Public Declarations: Strategies for Managing

- SFI must be disclosed. Data not public, but available per PHS guidelines.
- Only PHS-funded PIs subject to declarations.
- Sample a rotating subset on an annual basis & check publications.
- No formal monitoring yet; but working on it.
- Some spot checking; little control over those that ignore policy.
- Require publication disclosures as part of COI Management Plan.
- Faculty required to submit annual disclosures. We cross check random sample.
- Monitoring is less than ideal.
- We audit publications.

Institutions with Conflict of Interest Policies



Strategies for Allowed Relationships

- Conflict of Interest Policy
- Monitored COI Management Plan
- Use of COI Committee
- Case-by-case basis
- Allowed only in circumstances where the faculty member demonstrates transparency and willingness to be monitored.