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# International Engagement

## Conflicts of Interest in Research and Commitment

**Town Hall hosted by the Office of the Vice President for Research**

October 28, 2020

# Agenda

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## Conflict of Interest/Commitment – Jan Waterhouse

- Policy overview
- What to disclose

## Conflict of Interest in Research – Martha Hedberg

- What to disclose
- What does management look like

## eCOI Disclosure System

Questions will be taken in the Q&A window for later response

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# Conflict of Commitment Conflict of Interest in the Workplace

**Jan Waterhouse**

**University Human Resources**

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# Conflict of Commitment

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Faculty members are encouraged to actively participate in **external activities** but must also ensure that the activities do not compromise their ability to **fulfill university duties**.

In general, the time allotted to external activities in lieu of university obligations...should not exceed **nine business days** per academic term (fall, spring, summer terms)...

\*OM II Community Policies Chapter 18 Conflicts of Commitment and Interest

# Conflict of Commitment: Disclosures

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## Must be disclosed:

- Outside professional activities related to UI role
  - Consulting in your area of expertise for a non-UI entity
  - Owning a business providing services related to your area of expertise
- External activities not related to UI role requiring substantial time commitment, or that could compromise professional judgment
  - Volunteering for a community organization 20 hours/week
  - Owning a business that wants to provide services to UI
- Number of business days spent on outside activity

## Management Plan addresses:

- time commitment
- use of UI resources
- right of first refusal for business opportunities

# Conflict of Commitment: Disclosures

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Need not be disclosed – Academic Activities\*:

- Presenting at professional conferences
- Professional review board
- Peer review body
- Editor/Referee for professional journals
- Site visits for research/accreditation
- Writing/producing academic books, articles, software, creative works
- UI public engagement

\*Activities that are:

- Expected as part of the faculty role, and
- Considered in employment decisions (e.g., salary, P&T)

# Conflict of Interest in the Workplace

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A conflict exists whenever:

- **financial** interests or other **personal** considerations
- **outside** of the University
- have the **possibility** (either in actuality or in appearance) of
- compromising a faculty or staff member's **professional judgment** in teaching, research, business decision-making.

\*OM II Community Policies Chapter 18 Conflicts of Commitment and Interest

# Conflict of Interest in the Workplace

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Prohibited Activities include:

- Using UI property/resources for personal financial gain
- Pursuing a business opportunity without giving UI right of first refusal
- Using UI letterhead for outside activities unrelated to UI
- Using UI position or property to market/advocate for a product unrelated to UI



# Conflict of Interest in the Workplace: Disclosures

Should be disclosed:

- Owning a business providing services to UI, when you have decision-making authority
- Immediate family member's ownership in outside business providing services to UI, when you have influence over decision
- Using products/textbook in the classroom/lab for which you receive royalties
- Teaching a course in which a family member is enrolled
- Hiring students/employees to work in an outside business when you have UI authority over them
- Outside activities that require access/use of UI data/resources

Management plan addresses UI decision-making authority

# Conflict of Interest in Employment (Nepotism)

A conflict exists when:

- UI employee with supervisory authority
- Has a **personal or outside business relationship**
- With another UI employee
- Over whom they have **decision-making authority**

Relationships include:

- Familial
- Romantic/intimate
- Significant friendship
- Outside business relationship

\*OM III Human Resources Policies Chapter 8 Conflicts of Interest in Employment

# Conflict of Interest in Employment (Nepotism): Disclosures

Should be disclosed:

- Hiring employee with whom you have an outside relationship
- Develop relationship with someone under your decision-making authority

Management Plan will address the UI decision-making authority

# Conflict of Interest in Employment (Nepotism): Disclosures

Need not be disclosed:

- Related individuals working in same department, but no supervisory authority between them

# To Disclose or Not to Disclose?

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Actual or apparent conflict

Err on side of disclosure

Having a conflict is not necessarily a bad thing

Goal is to remove the individual from the conflict situation

- Protects UI interests
- Also protects YOU

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# Conflict of Interest in Research

**Martha Hedberg**

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# Conflict of Interest in Research

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\*A conflict exists whenever personal, professional, commercial, or financial interests or activities outside of the University have the possibility (either in actuality or in appearance) of

- interfering with UI employees' ability to fulfill their employment obligations
- compromising a faculty or staff member's professional judgment
- biasing research or compromising, or giving the appearance of compromising, the sound professional judgment of its investigators
- resulting in personal gain for the employee or employee's immediate family, at the expense of the University and/or the state

\*OM II Community Policies Chapter 18 Conflicts of Commitment and Interest

# Conflict of Interest in Research

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## The Problem

- Competing interests or commitments
- Influence decision-making
- Can occur unconsciously
- Research/data security issue

## The Remedy

- Disclosure to your institution
  - Federal law
  - Required by many other research sponsors
  - Transparency is ALWAYS GOOD



# Conflict of Interest in Research - Disclosure

## External personal compensation

- Any payments for consulting, advisory boards, employment, etc.
- Licensing or royalty income from intellectual property
- Publishing royalties
- Talent/recruitment programs
- Payments for teaching, lecturing, etc. at other institutions

## Foreign and domestic entities

# Conflict of Interest in Research - Disclosure

Publicly traded stocks (NASDAQ, NYSE, Pink Sheets, etc.)

- Stocks in which you directly control the purchases and sales
  - Not TIAA CREF, IPERS, or mutual funds
- Stock Options
- Dividends

# Conflict of Interest in Research - Disclosure

Other External Commitments (even if they are unpaid)

- External employment/side gig/second job/moonlighting
  - Includes teaching positions, visiting professorships, etc. at other institutions
  - Foreign and domestic
- Service on boards of directors, panels, advisory boards, etc.
- Speaking engagements
- Consulting
- Education presenter/recipient
  - Teaching, lecturing, etc. at other institutions
  - Foreign and domestic

# Conflict of Interest in Research - Disclosure

Family member compensation (spouse and dependent children)

Sponsored Travel for PHS researchers

# COIR Management

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Not a bad thing

Most can be managed

Transparency is key

- Disclose to
  - Students
  - Study team members
  - Publications and presentations
  - Informed consent document
- Independent data monitor

PHS requires reporting

# How to Disclose

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*e*COI  
*electronic Conflict of Interest*

# Disclosing – Two Step Process

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## Annual Certification

- Once/year Jan 1 – Apr 30
- Snapshot in time
- Nepotism question will be here for 2021



## Individual Disclosures

- 24/7/365
- Report within 30 days
- Even if you don't get paid
- Domestic AND foreign

# Disclosing

**eCOI**  
electronic Conflict of Interest

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**About eCOI**

**2020 Disclosure**

[Add new disclosure report, if applicable.](#)

You have identified yourself as someone who does not conduct any type of research at the University of Iowa.

Disclosure	Last Submitted Date	Form Status	Actions
No Current Outside Entities			

[View your completed Annual Certification](#)

- Your next Annual Certification is due between 1/1/2021 and 4/30/2021.

**2019 Disclosure**

The outside entities you reported in 2019 are shown below in "view-only" mode. Click on the name of the entity to view an individual entity report.

Entity	Last Submitted Date
<a href="#">Johnson County Central Committee Democratic Party</a>	11/15/2019

**2018 Disclosure**

The outside entities you reported in 2018 are shown below in "view-only" mode. Click on the name of the entity to view an individual entity report.

Entity	Last Submitted Date
<a href="#">Johnson County Central Committee Democratic Party</a>	01/18/2018

**2017 Disclosure**

The outside entities you reported in 2017 are shown below in "view-only" mode. Click on the name of the entity to view an individual entity report.

Entity	Last Submitted Date
No Current Outside Entities	

Welcome, Martha  
Your last login was on 10/27/2020 at 01:16pm

[eCOI Overview](#)  
[UI Health Care COI Office](#)  
[COI in Research Office](#)  
[COI Workplace](#)  
[Conflicts of Commitment](#)  
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# Disclosing

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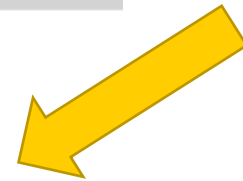
[ecoi.uiowa.edu](http://ecoi.uiowa.edu)

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2020 Disclosure

[Add new disclosure report, if applicable.](#)



# Disclosing

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Name: Marita Hedberg Telephone Number: +1 319 384 4256  
Email: marita-hedberg@uiowa.edu

You indicated that you have financial interests with one or more outside entities. You will complete a report for each of the entities. [eCOI Overview](#)

### Disclosure Report

\* = Required field

1. \* Enter the name of the **entity** with which you have a financial interest or with which you have engaged in outside professional activities. In the box below, type the first letters of the entity's name until the correct name appears. If the **entity** is not on the list, you will need to type in the full name of the **entity** to add it to the database.

\* Type of Entity  
 for-profit publicly-traded  for-profit non-publicly-traded  non-profit

\* Date relationship with entity began (Month & Year)  
Select... | YYYY

2. \* Which aspects of your professional role at the University are related to the activities or financial interest with the entity named above? (check all that apply):

I use or prescribe products, medical devices or implants, or equipment manufactured and/or distributed by this entity

I use the entity's products/services in my teaching or student advising

I evaluate and make recommendations regarding this entity's products or services on behalf of the University (not as part of my research)

I participate in purchasing or business decisions about this outside entity's products/services in my UI role

I use my expertise/professional knowledge in advising, consulting, product evaluation/development, intellectual property development/enhancement, or in some other way that benefits the entity

I assign duties to or employ UI students and/or supervisees in this outside entity

other

4. \* **OUTSIDE PROFESSIONAL ACTIVITIES:** Did you perform any outside professional activities with the entity listed above in the previous calendar year, or do you plan to perform any such activities in the current calendar year? This refers to professional activities in the same field of expertise as your job at the University. If you consult, serve as an expert witness, run a business related to your field of expertise or university responsibilities, you should answer "Yes."

**ACTIVITIES REQUIRING DISCLOSURE INCLUDE:**

- Any Outside Professional Activities that take place during a "business day" (i.e., every Monday through Friday during regular business hours and the time on any Saturday, Sunday, or evening when a person is scheduled to work; does not include any University holiday, vacation day or sick leave).
- Outside Professional Activities that may interfere or be perceived to interfere with the fulfillment of one's UI duties include, but are not limited to: using your professional expertise or practice of your profession to consult, serving as an expert witness, employment at another institution of higher education, delivering a MOOC for a non-UI entity, and outside professional activities that use University resources in any way.

**ACTIVITIES GENERALLY NOT REQUIRING DISCLOSURE INCLUDE:**

- "Academic activities" considered part of your UI duties, such as holding office in or undertaking an editorial office for a scholarly journal or academic press or serving on a professional review board or peer review bodies, attending or presenting at professional meetings, visiting other sites in connection with accreditation, audits, sponsored project reviews, research, or like activities; writing or producing academically related books, articles, software and similar materials, or other creative works ordinarily considered in decisions relating to the employee's employment status or salary; or University-related public engagement.

**IOWA**