January 26, 2012

TO: William Anderson, Chair and BOT Liaison
   University Committee on Faculty Affairs

FROM: Terry A. May
       Faculty Conflict of Interest Information Officer

SUBJECT: Recommended Draft Conflict of Interest Policy

I am writing to transmit a draft Conflict of Interest Policy that is scheduled for consideration by the UCFA at its meeting on January, 31, 2012. Also included is a draft of a proposed annual reporting form to address how this might be applied through a password protected, electronic system.

Key recommendations include:

• Renaming the Faculty Conflict of Interest Information Officer to “Faculty Conflict of Interest Officer” (FCOIO) and revising its role and responsibilities.

• Revising the applicability of the Policy to “individuals appointed through the academic personnel system with research, teaching, outreach, or service institutional responsibilities. This Policy also applies to individuals who have independent responsibility for proposing, conducting or reporting the results of University research and other sponsored projects.”

• Revising what must be reported from a conflict of interest to all “significant financial interests [defined in the Faculty Conflict of Interest Handbook] that are related to the faculty member’s institutional responsibilities.”

• Revising the timing of reporting from an event-based system of conflicting interests to an annual system of related significant financial interests with no presumption of whether or not there is a conflict of interest.

• Revising the specified composition, role, and responsibilities of the Conflict Review Committee (CRC) from being advisory (three persons) to having explicit responsibilities and decision-making authority (a minimum of five persons).

• Revising the authority and responsibility for initial assessment about the existence of a conflict of interest and recommendation for a conflict management plan from the Unit Administrator/Dean to the FCOIO/CRC. The CRC would have authority to vote concerning recommendations to the Vice President for Research & Graduate Studies.

• Adding a section addressing compliance with specific Federal requirements imposed for funded projects that would enable rescinding the “Guidelines for Potential Conflicts of Interest Pertaining to Applications for NSF and PHS Research Support” from the Faculty Handbook.

C: Terry Curry, Associate Provost Academic Human Resources
       J. Ian Gray, Vice President Research & Graduate Studies
       Lee Bollinger, Assistant General Counsel