

# **Conflict of Interest Advisory Board 2015 Annual Report**

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## **Charge of Committee**

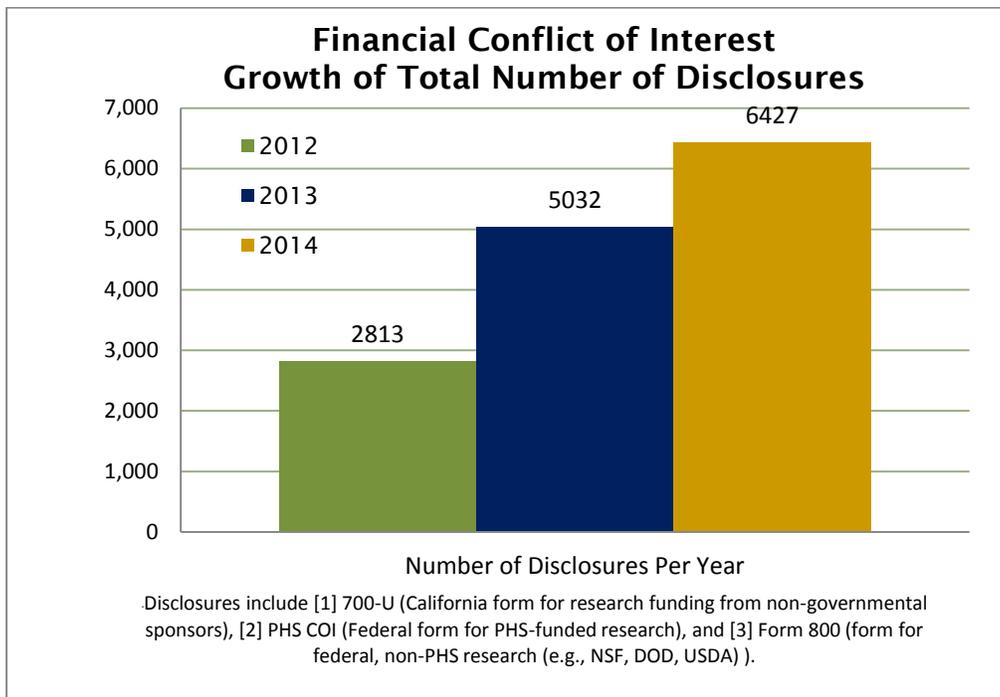
The Conflict of Interest Administrative Advisory Committee (COIC) is charged with reviewing Investigator statements of financial interest related to their sponsored research activities and determining whether a conflict of interest management plan is warranted after review of all the facts and circumstances. If a disclosure statement indicates a financial interest (positive disclosure) related to the research activity, the potential for conflict is reviewed by the RCI Unit and/or the COIC prior to acceptance of any grant, contract, or gift.

COIC responsibilities include:

- Independent, substantive reviews of positive disclosure statements.
- Understanding and continuing to implement the federal PHS regulations and guidelines about how to manage and reduce direct and significant financial conflicts of interests.
- Recommending changes or restrictions in the project and/or personnel to manage, reduce, or eliminate potential and/or actual conflicts of interest.

## **FY 2014-2015 Accomplishments**

- The COIC substantively reviewed over four hundred forty- three (443) positive disclosure statements which was an approximate 20 percent increase from the year before.
- In addition, the Research Compliance and Integrity Unit (RCI) received and processed 6,427 disclosures during FY 2014-15 which was a 22% increase from the year before.



- The COIC successfully reduced and managed potential conflicts of interest for Investigators across campus, following timely review of the disclosures, while in all cases allowed the research to proceed. For the convenience of Investigators, RCI and/or the COIC sometimes considered and resolved disclosures on an expedited (electronic) basis to avoid delays in receipt of funds. The COIC, as appropriate and necessary, engaged individual Investigators to effectively manage potential conflicts and worked together to facilitate the research.
- The COIC continued to apply the PHS regulations to appropriately identify financial conflicts of interest as defined under the new regulations and, as necessary, recommended management plans that addressed the conflict but allowed the research to continue.
- The RCI Unit provided ongoing education on both current state and federal conflict of interest regulations and changing PHS-related regulations to units across campus. The RCI Unit also presented the campus Responsible Conduct of Research program, which informs graduate and postdoctoral students about financial conflict of interest policy and filing processes.
- The RCI Unit continues to evaluate and modify the financial conflict of interest in research website, which includes updating information and generating new guidance documents. The updated webpage and the new guidance materials provide a better resource to our stakeholders and help demystify the filing process for financial conflicts of interest in research.
- The COIC and the RCI Unit continues to use last year's developed Best Practices Memo that is recommended to PHS Investigators who have a financial interest that does not rise to the level of direct and significant but is of a nature that the COIC believes best practices should be observed. This memo includes best practices advice to diminish any apparent perception of a financial conflict of interest.

- The RCI Unit modified UC Davis policy on conflicts of interest involving PHS-funded research to allow for less administrative burden on travel-related conflict of interest disclosures as permitted by the National Institutes of Health.
- The RCI Unit and IRB have continuously worked together to form streamlined process and improved communication for reporting FCOI's to the IRB committees.
- The RCI Unit and Sponsored Programs have also collaborated to form an Award Analyst Guide for verifying PHS-COI Compliance.
- Appointed a new chair and added X new members

## **Goals for FY 2015-2016**

- Enhance educational opportunities with the COIC Members and research community.
- On boarded a new COIC Chair.
- Maintain and continue to improve our PHS database system to make disclosure applications more user friendly.
- Develop and publicize COI Standard Operating Procedures. This will assist Investigators, their Department contacts, and Research Administration staff in understanding and implementing the conflict of interest filing policy and process.
- Continue to develop, in hopes for 2014-2015 implementation of the Office of Research IT Unit to continue to develop an online system for electronic 700-U submission. This will eliminate the original (i.e., wet-ink) signature requirement on 700-U forms to allow for electronic processing of such forms.
- Continue to collaborate with Innovation Access and other campus units to provide more robust and useful guidance and education materials that address financial conflicts of interest and related issues for faculty who are interested in start-up companies.

## **Recommendations for COI Advisory Board**

- Continue to monitor the committee charge and revise as needed to ensure compliance with federal, state, and local regulations and policies while maintaining flexibility to maximize operational efficiencies and execute best practices.