

# **CONFLICTS OF INTEREST IN RESEARCH**

## **Supplemental policy to UNM COI Policy E110 for employees and staff of:**

### **THE UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER Effective November 1, 2008**

#### **I. Introduction**

The purpose of this supplement to the Regents policies on Conflicts of Interest in Research is to protect the integrity of research and human subjects as well as UNM's obligation to students, trainees, and junior faculty in exposing them to the highest levels of ethics in research. It provides additional guidance specifically for research conducted at the UNM Health Sciences Center (UNMHSC). All elements of the official Regent's policies remain in effect. Parts of the supplemental policy provide clarification of conflicts of interests and their management at the UNMHSC. In some cases the supplemental definitions and procedures may be more restrictive, but never less, than the existing Regents' policies. The supplemental policy is designed to address aspects of the research enterprise and prospective oversight by Conflict of Interest Committees specific to the Health Sciences Center. In addition to this supplement, it is mandatory that investigators review and follow the Regents policies, one dated July 11, 2000 and the other April 11, 2000, revised May 12, 2003.

#### **II. Applicability**

The supplemental COI definitions and procedures in this document apply to all UNMHSC investigators, faculty, staff and students, including non-UNM investigators. It is an obligation of employment to disclose situations that could have a "significant effect" on the design, conduct, or reporting of the research, and provide this information to the HSC Pre-Award office.

#### **III. Definitions**

- A. Additional examples of the types of situations that may come within the definition of conflict of interest:
- 1) Serving as an executive officer or board member of an outside entity that sponsors an investigator's research or in an outside entity that conducts business in an area related to the research.
  - 2) Any equity interests (stocks, stock options, or other ownership interests) or derivative financial instruments in a publicly held

outside entity when the value of the interest would be affected by the outcome of the research.

B. Additional examples of significant financial interest:

- 1) Any equity interests or derivative financial interests in a non-publicly held outside entity that sponsors the research or when the value of the interest would be affected by the outcome of the research.
- 2) Any equity interests or derivative financial interests in a publicly held outside entity when the value of the interest would be affected by the outcome of the research.
- 3) Any income from seminars, lectures or teaching engagements sponsored by for profit entities.
- 4) Any compensation from an outside entity when the value of the compensation would be affected by the outcome of the research.

C. Clarification of financial interests not included as significant:

- 1) Income from seminars, lectures or teaching engagements sponsored by public or charitable entities.
- 2) Income from service on advisory committees or review panels for public or charitable entities.
- 3) Interests in widely held investment funds if:
  - a. The investigator does not exercise control over or have the ability to exercise control over the fund's financial interests (such as, but not exclusive of mutual funds, funds in a UNM retirement account).

#### **IV. Conflicts of Interest Committee**

A. Purpose

- 1) The purpose of the Conflicts of Interest Committee is to protect the integrity of investigators, UNM and UNM research by identifying and resolving conflicts of interest when they exist. The Committee carries out this charge in a manner that is intended to foster research integrity and, when possible, not hinder research relationships.

#### **V. Disclosure Requirements**

A. Ongoing Disclosure Responsibility

- 1) All newly-added investigators on UNMHSC research must submit a completed conflict of interest disclosure form to the HSC Pre-Award office within 5 days after beginning work on the research.

## **VI. Review and Management of Conflict of Interest Disclosures**

### **A. Determination of Conflicts of Interest**

- 1) The COI Committee or designees will regularly review and assess conflict of interest disclosure forms referred by ORS or HSC-Pre-Award Administration.

### **B. Disclosure of Conflict of Interest**

- 1) The privacy of the investigator must be balanced with the need for sufficient information and appropriate management of possible conflict. In this regard, management plans will typically involve disclosure of the conflict, in general terms, to all members of the research team in order to assure the integrity of the research.

### **C. Management of Conflicts of Interest**

- 1) If the Conflicts of Interest Committee determines that an investigator has a conflict of interest in UNM research, it will recommend to the Provost how the conflict should be managed so the research may proceed if at all possible.

## **VII. Applicability of Federal Rules**

- A. Any contradictory changes in the federal requirements will supersede the relevant provisions of this supplemental policy. In the event of competition between federal regulations and this policy, federal regulations will be employed.