



CONFLICTS OF INTEREST AND COMMITMENT
PROGRAM

2025 VERSION

Contents

- Procedures for Evaluating Conflicts of Interest and Commitment.....4
- 1. OVERVIEW: CONFLICT OF INTEREST AND COMMITMENT4
 - 1.1 Conflict of Interest.....4
 - 1.2 Conflict of Commitment5
 - 1.3 Financial Conflict of Interest.....6
- 2. EDUCATION AND DISCLOSURES6
 - 2.1 Education and Training.....6
 - 2.2 Disclosure Requirements6
 - 2.3 What has to be Disclosed?.....7
 - 2.4 Reporting Process.....7
 - 2.5 Failure to Disclose or Participate.....7
 - 2.6 Notification and Reminder Protocols8
- 3. REVIEW PROCESS.....9
 - 3.1 Annual Review of Conflict of Interest Disclosure Forms.....9
 - 3.2 Review Procedures9
 - 3.2 Management plans.....9
- 4. COMPLIANCE OVERSIGHT10
 - 4.1 Compliance Monitoring.....10
 - 4.2 Compliance Responsibility.....10
 - 4.3 Institutional Reports10
 - 4.4 Reporting Timeline10
- Appendix I: Definitions11
- Appendix II: Conflict of Interest Examples.....19

Appendix III: Best Practices Guidelines.....20

Appendix IV: University Conflict of Interest Policy Statements.....21

Appendix V:22

Procedures for Evaluating Conflicts of Interest and Commitment

Maintenance of the public trust is critical to the mission and reputation of Syracuse University (the University), which is committed to upholding the principles of transparency, integrity and accountability. The University encourages its employees to interact with business and industry, public and private organizations, and government agencies in ways that support the institution's mission. Notwithstanding the foregoing, teaching, research, outreach, and other activities shall not be compromised, or perceived as compromised, by financial and/or personal benefit.

The procedures outlined herein supplement the Syracuse University Conflicts of Interest and Commitment for Faculty and Staff [Policy](#). Syracuse University encourages and supports outside interactions of its faculty, staff and student employees with federal, state, and local governments, and with business and industry as important parts of their research, education, and public service activities.

1. OVERVIEW: CONFLICT OF INTEREST AND COMMITMENT

1.1 Conflict of Interest

Situations in which financial or other personal considerations may adversely affect, or have the appearance of adversely affecting, an employee's professional judgment in exercising any university duty or responsibility in administration, management, instruction, research, and other professional activities may be considered conflicts of interest. The bias that such conflicts could conceivably impart may inappropriately affect the goals of university research, instructional or administrative programs. The education of students, the methods of analysis and interpretation of research data, the hiring of staff, procurement of materials and other administrative tasks at the university must all be free of the undue influence of outside interests.

The mere appearance of a conflict may be as serious and potentially damaging as an actual distortion of instructional, research, or administrative goals, processes, or outcomes. Reports of conflicts based on appearances can undermine public trust in ways that may not be adequately restored even when the mitigating facts of a situation are brought to light. Apparent conflicts, therefore, should be disclosed and evaluated with the same vigor as actual conflicts.

Per the Conflicts of Interest Policy, "**Conflicts of Interest**" exist when a faculty or staff member:

1. is in a position to influence the University's business, administrative, academic, or other decisions in ways that could result in personal or family benefits or gains (e.g., financial gains, gifts, gratuities, favors, notoriety, or participation in nepotism or bribery);

2. acts in opposition to the interests of the University, including by competing directly with the University, or diverting opportunities the person knows or should know the University is or may be pursuing; and/or
3. uses their university position for personal or family gain at the expense of the University or otherwise in violation of this or other University policies.

Conflicts of Interest also include "**Reporting-Line Conflicts**," which occur when a faculty or staff member is in a position to influence the terms or conditions of employment for a family member. Faculty and staff must avoid Reporting-Line Conflicts by working with the University to develop appropriate management plans so they are not solely responsible for directly supervising or making employment decisions for family members or others with whom they have an intimate relationship.

1.2 Conflict of Commitment

A "**Conflict of Commitment**" arises when a faculty or staff member's involvement in outside professional or other activities substantially interferes with their commitments to the University. Such interference can include, but is not limited to, performance of outside activities (i) during a faculty or staff member's work hours for the University, or (ii) to a degree that renders the faculty or staff member incapable of satisfactorily performing their responsibilities to the University.

Such activities are encouraged insofar as they are conducted in accordance with university policy, promote professional development of faculty and student employees and enrich their contributions to the institution, to their profession and to the community. Consulting relationships, for example, may serve to create conduits for the exchange of information and technologies that enhance the university environment and permit faculty to test the soundness of their ideas.

Conflicts of commitment that are not appropriate could occur, for example, in the following areas:

- **Conflict of Time:** When the commitments for external activities, whether related to professional competence or not, encroach upon a faculty or staff member's ability to contribute to the level expected of other staff members in the same specialty, a potential for a conflict of time commitment exists.
- **Conflict of Business or Mission:** Faculty and staff members may not engage in consulting or other external activities that compete or conflict with university business activities or mission. Additionally, they must not divulge proprietary university business information.
- **Conflict of Resources/Intellectual Property:** Faculty and staff members may not utilize university resources or share intellectual property developed or acquired during their faculty appointment for the betterment of an external entity without prior approval.

1.3 Financial Conflict of Interest

A Financial Conflict of Interest (FCOI) arises whenever the design, conduct, and reporting of research is compromised by, or could reasonably be perceived as being compromised by, a person's financial interests. A financial interest is anything of monetary value, whether or not the value is readily ascertainable, that reasonably appears to be related to a person's institutional responsibilities including their research. A FCOI is based on the situation itself and in no way reflects on or speaks to the character of the individual in any way.

2 EDUCATION AND DISCLOSURES

2.1 Education and Training

Information

An annual notice of the Conflict of Interest survey is issued in February of each year. The link to the Conflict of Interest and Conflict of Commitment Policy is included in the communication.

Individuals must acknowledge their understanding of the policy as part of submitting the annual Conflict of Interest Disclosure Form.

Training

Syracuse University is committed to communicating its standards for ethical conduct and university policies to all employees. The university provides education and training to develop awareness and stress compliance with this Conflict of Interest and Conflict of Commitment Policy through individual guided study.

2.2 Disclosure Requirements

All eligible personnel must complete a Syracuse University COI Disclosure Form according to the following requirements:

- No later than at the time of application for research funding (i.e., one cannot submit a grant if a current disclosure is not on file with the Compliance);
- Annually between February 1 and February 28 or upon request by the Office of Compliance; or
- Within 30 days of discovering or acquiring a new significant financial interest (e.g. through purchase, marriage or inheritance).

2.3 What has to be Disclosed?

All perceived or actual conflicts that impact the individual's relationship with the university and any other entity, organization or individual must be reported based on the parameters defined in each survey question.

For Financial Conflicts of Interest the following must be disclosed:

- Relationships and activities that are related to your Syracuse University Sponsored Research responsibilities
- Any financial interests in an organization that is related to your sponsored research at Syracuse University (consulting, advising, speaking)
- This applies if the organization is related to your field or could benefit from your professional expertise
- Ownership of, or investment in, a start-up company related to your field even if it is not currently worth anything
- You must disclose within 30 days of the investment, the filing paperwork as a founder, or the acquisition of ownership interest (options, shares, etc.)
- Current academic appointments or salary outside of Syracuse University (does not apply to salary from previous academic appointments before arriving at SU)
- Use of Syracuse University resources for outside activities (including staff, software, equipment and/or instruments, lab or research space, or confidential information)

2.4 Reporting Process

Conflicts of Interest are reported annually through the secure MySlice portal via the 'Conflict of Interest Survey' tile on the employee Home Page. The tile links eligible employees with the OnBase portal to confidentially and securely complete their COI submission. Employees without an SUID number may complete their submission via the following Qualtrics links:

COI

https://syracuseuniversity.qualtrics.com/jfe/form/SV_6hgsTQTMbgS0kyG

FCOI (if eligible)

https://syracuseuniversity.qualtrics.com/jfe/form/SV_eeAn6rZ1VFoRRgq

2.5 Failure to Disclose or Participate

Employees:

All eligible employees are required to participate on an annual basis. 100% participation is required. Eligible employees who fail to participate are placed on unpaid administrative leave until the survey requirements can be fulfilled.

FCOI Eligible Researchers:

Researchers designated by the Office of Sponsored Programs are required to participate on an annual basis and at the time of proposal submission. 100% participation is required. Eligible employees who fail to participate are placed on unpaid administrative leave until the survey requirements can be fulfilled. Additional parameters related to FCOI are outlined in the [Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs policy](#).

Trustees:

All trustees are required to participate in the annual Trustee COI survey. Trustees who do not participate by the written due date are removed from the Trustee roll. Any associated voting rights held by that individual are removed by the Office of the Board of Trustees. Additional parameters related to Trustee COI are outlined in the [Board of Trustee Conflicts of Interest Policy and Procedures](#).

Vendors:

The Purchasing Department oversees all vendor Conflicts of Interests. Per the policy, and 'For cases... where a vendor fails to complete a questionnaire, the University may be prohibited from purchasing goods or services from the vendor.'

When the university identifies a conflict that was not disclosed in a timely manner by the individual, the university will implement, on at least an interim basis, a management plan that specifies the actions that have been, and will be, taken to manage the financial conflict of interest going forward. Additional actions, as deemed appropriate, will be taken if the case of a disclosure that is intentionally omitted or falsely reported. Additional parameters related to vendor COI are outlined in the [Purchasing Policy](#).

2.6 Notification and Reminder Protocols

The COI survey is extended by the Chancellor to all eligible employees on or around February 1. Weekly reminders follow to all those who have yet to participate. On day 28, the survey closes and disciplinary action is taken.

Individuals with approved leaves or protected status under Human Resource guidelines are exempt from participation and will be forwarded to the next cycle.

3. REVIEW PROCESS

3.1 Annual Review of Conflict of Interest Disclosure Forms

All eligible individuals are required to file an annual COI Disclosure with the Office of Compliance. All disclosure submissions are reviewed by the Office of Compliance. Family relationship disclosures that require additional review are shared with the Office of Human Resources to review and clear or resolve and document in a management plan.

3.2 Review Procedures

Conflict of Interest disclosures are assessed based on the perceived risk associated (risk rating) with the relationship or conflict and the individual's decision-making abilities within their role.

The risk assessment is conducted by members of the Office of Compliance. The Chief Compliance Officer (CCO) provides guidance during the assessment process. The CCO is responsible for conducting two bi-annual reviews (September and March) of the assessment process. During those reviews, the CCO randomly selects up to 10 disclosure reviews to confirm the accuracy of the risk ratings.

3.2 Management plans

The Office of Compliance will review all disclosures that indicate a high risk to the institution and recommend a management plan be implemented. In the majority of cases, management plans relate to family relationship conflicts/ reporting-line conflicts and we partner with Human Resources and the Senior Business Partner who oversees the unit to establish a written plan. All relevant parties are required to sign the management plan and the final document is shared with the Office of Compliance (via the dedicated email address at coimp@syr.edu) before a plan is considered final. Plans are evaluated annually and in conjunction with the annual COI disclosure unless conditions change that warrant an off-cycle review.

For FCOI, the Office of Compliance will review all Financial Conflict of Interest disclosures and determine whether a potential FCOI exists that requires a management plan. Once a management plan is required, the Vice President for Research will assign a manager to work with the employee requiring management of the potential conflict. Both the employee and assigned manager will be notified by the Vice President for Research and asked to develop a management plan. Once developed, both the employee and manager will approve of the plan. Once the management plan is approved by the employee and manager it will be sent to the FCOI Committee for their review and approval. The FCOI Committee will review and either request modifications or approve the plan as submitted.

4 COMPLIANCE OVERSIGHT

4.1 Compliance Monitoring

The Office of Compliance, in conjunction with the Office of Human Resources provides oversight over management plans.

4.2 Compliance Responsibility

All individuals who participate in the annual COI Disclosure survey, receive a confirmation that directs them to self-report any changes to their disclosures to the Office of Compliance.

The university expects individuals to comply fully and promptly with the policy outlined herein, including the disclosure requirements. Failure to disclose perceived or actual conflicts can result in the suspension of university activities and funding.

4.3 Institutional Reports

The Office of Compliance provides an annual update (March) to the Board of Trustees Audit Committee on the status of University's Conflicts of Interest. Financial Conflicts of Interest are reported to the Board of Trustees Audit Committee.

4.4 Reporting Timeline

MONTH	ACTIVITY
FEBRUARY	COI/ FCOI Survey Collection for Previous Calendar Year and Disclosure Review
MARCH, APRIL, MAY	HR/ Research Review of Disclosures
APRIL	Senior Leader and Highest Paid Survey Collection for Previous Calendar Year and Disclosure Review
MAY, JUNE, JULY	Trustee COI Survey
JULY, AUGUST	Implementation of COI Management Plans for Fall Semester
AUGUST, SEPTEMBER	Review of Trustee Disclosures by OOC and GC
OCTOBER	FCOI Committee Review of Research Management Plans
OCTOBER	Trustee Disclosure Letter Notifications

NOVEMBER	Data quality check and finalization of data sets
DECEMBER, JANUARY	Process Improvement and Preparation for Survey Launch

Appendix I: Definitions

Administrator A dean, assistant, or associate dean; assistant or associate vice-chancellor; department chair; administrative director; department head or any individual who has supervisory authority at the division or department level for faculty and/or staff.

Business Any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business trust, real estate trust or any other legal entity organized for profit or charitable purposes. This excludes the university - related entities.

Business Dealings with the University means the provision of goods, services or anything else of value to, or receipt of such items from, the University other than on a non-compensated basis; provided, however, that an enrolled student shall not be deemed to have "Business Dealings with the University" solely by virtue of his or her matriculation.

Compensation Income or monetary value given in return for services, including but not limited to wages, salaries, commissions paid salesmen, compensation for services on the basis of a percentage of profits, commissions on insurance premiums, tips, bonuses (including Christmas bonuses), termination or severance pay, rewards, jury fees, marriage fees and other contributions received by a clergyman for services, pay for persons in the military or naval forces of the United States, retirement pay of employees, pensions and retirement allowances are income to the recipients unless excluded by law.

Conducting Research With respect to a research protocol, designing research; directing research; serving as the Principal Investigator, co-investigator, and/or research coordinator enrolling research subjects (including obtaining subjects' informed consent); making decisions related to eligibility to participate in research; analyzing research data; reporting research data or submitting manuscripts concerning the research for publication.

Confidential or Privileged Information Information contained in documents so designated; educational, personnel, medical, or security records of individuals; anticipated material requirements or price action knowledge of possible new sites for university -sponsored operations; knowledge of forthcoming program selections of contractors or subcontractors in advance of official announcements; or any other information that is private or sensitive in nature.

Conflict of Commitment A Conflict of Commitment arises when a faculty or staff member's involvement in outside professional or other activities substantially interferes with their commitments to the University. Such interference can include, but is not limited to, performance of outside activities (i) during a faculty or staff member's work hours for the University, or (ii) to a degree that renders the faculty or staff member incapable of satisfactorily performing their responsibilities to the University.

Conflicts of Interest Conflicts of Interest exist when a faculty or staff member:

1. is in a position to influence the University's business, administrative, academic, or other decisions in ways that could result in personal or family benefits or gains (e.g., financial gains, gifts, gratuities, favors, notoriety, or participation in nepotism or bribery);
2. acts in opposition to the interests of the University, including by competing directly with the University, or diverting opportunities the person knows or should know the University is or may be pursuing; and/or
3. uses their University position for personal or family gain at the expense of the University or otherwise in violation of this or other University policies.

Consulting A relationship with an individual or a business (as defined above) or with an agent or other representative of such individual or business, service on advisory boards, and any other relationship whereby the individual receives or has the right or expectation to receive, remuneration from such individual or business in exchange for services. Examples of consulting include service on a business' board of directors; professional services rendered for a business, industry, private individuals, government, other academic institutions, or foundations; and, in limited circumstances, services for a colleague holding a sponsored research contract or grant at the same institution.

Disclosure A release of relevant information about significant financial interests to parties outside the institution's COI review and management processes (e.g., to research subjects or journal editors).

Family Family or family member includes (i) a spouse, domestic partner or fiancé(e); (ii) a child, grandchild, parent, grandparent, sibling, uncle, nephew or niece, or the spouse, domestic partner or fiancé(e) of any such person; (iii) a person having a step-relationship described in (ii) above; (iv) a parent-in-law or a brother- or sister-in-law; (v) any other person who resides in the same household as the employee; or (vi) any other person as to whom it would reasonably appear that the employee has a relationship involving an interest in such person comparable to the preceding.

FCOI Report The university's report of a financial interest to a PHS Awarding Component, to a lead institution if required under the terms of the sub-recipient agreement or to a sponsor if required under the contract.

Financial Conflict of Interest (FCOI) A significant financial interest that could directly and significantly affect the design, conduct or reporting of research. Also, a significant financial interest that could directly and significantly affect an individual's institutional responsibilities as determined by COI Compliance Office.

Financial Interest Anything of monetary value, whether or not the value is readily ascertainable, that reasonably appears to be related to a person's institutional responsibilities, including their research.

Financially Interested Company A commercial entity with financial interests that would reasonably appear to be affected by the conduct or outcome of the research. This term includes but is not limited to companies that compete with the sponsor of the research or the manufacturer of the investigational product, if the covered individual actually knows that the financial interests of such a company would reasonably appear to be affected by the research.

The term also includes any entity acting as the agent of a financially interested company (e.g., a CRO).

Financially Interested Individual A covered individual who holds a significant financial interest that would reasonably appear to be affected by the individual's research or other activity.

Financial Investment Firm An entity that provides investment services to the public, including brokerage firms and hedge funds. Consulting for financial investment firms or the investing public can involve inadvertent violation of insider trading laws or obligations of tax-exempt organizations. Faculty members are prohibited from serving as consultants for financial investment firms or the investing public – regardless of the amount of compensation – without both prior approval by the COIC Committee and a contract review by the university's University Counsel. (Private equity or venture capital firms that evaluate new technologies for their own benefit are not considered financial investment firms. Consulting for such firms involves the university's pre- approval process that is required when consulting for entities other than financial investment firms)

Gifts means goods, services or anything else of value (for example, tickets, meals or product samples) furnished without charge or at a cost less than fair market value, other than items not exceeding \$100 in value in any one instance or \$250 in value in the aggregate during any 12 month period from a single source (or group of related sources).

Honoraria For schools that do not follow a specific definition, honoraria includes one-time payment for presentations, lectures, articles, visiting professorships, article reviews, editing services, and/or expert witness testimony by accomplished faculty who have achieved a level of expertise sought by others outside of the university. If there is a contract or other formal agreement, or if there is an established reward, those payments are not considered honoraria.

Insider Trading Securities law broadly prohibiting fraudulent activities of any kind in connection with the offer, purchase, or sale of securities. These provisions are the basis for certain types of government enforcement activities, including actions against illegal insider trading. Insider trading is illegal when a person trades a security while in possession of material, non-public information, including information from clinical research trials, in violation of a duty to withhold the information or refrain from trading in the security. Providing non-public information, or a "tip," to other traders who trade a security affected by the tip is illegal as is considered an illegal tip.

Institutional Conflicts of Interest The term institutional conflicts of interest refers to situations in which the teaching, research, outreach, administrative, financial, operational, or other activities of the university could be compromised because of external financial interests and/or business relationships held by the university as a body corporate or by the university or a university campus official acting within his/her authority on behalf of the university or a university campus, that could bring financial gain to the university, a university campus, any of the university's units and the individuals covered by this policy. Institutional financial conflicts of interest include:

- Licensing, technology transfer, and patents
- Legal or consulting fees
- Investments
- Gifts
- Other financial interests

Institutional Responsibilities An investigator's professional responsibilities conducted on behalf of the university, which can include the following: research, research consultation, teaching, professional practice, purchasing, the university committee memberships and service on panels such as IRBs.

Intellectual Property and Publication Rights Any discovery for which legal protection is sought. For example, a patent, copyright, know-how, mask work, tangible research

property, trademark, trade secret, and other forms of intellectual property legally recognized now or in the future.

Investigator The project director or Principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research.

Key/Senior Research Personnel Project director or Principal Investigator and any other person who is responsible for the design, conduct and reporting of basic, animal, or clinical research. This includes PRAs as well as those who obtain informed consent, those who determine eligibility, those who review data and those who conduct data analysis.

Manage Taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflict of interest, to ensure, to the extent possible, that the design, conduct and reporting of research will be free from bias.

Mutual Funds Equity interest which is diversified and independently managed by an outside entity. Includes funds that are in a sponsored 401k, 403a, 403b, etc., that are not self-directed.

Officers University officials or senior management who fall under external regulations to which the University is subject.

Officers of the Administration Individuals who hold the title or interim/acting title of vice president, chancellor, associate vice president, assistant vice president, vice chancellor, associate vice chancellor, associate general counsel, and deans of the schools, colleges, and libraries.

For purposes of this policy, "Officers" and "Officers of the Administration" may be used interchangeably and refer to university officials. All Officers must annually disclose the following:

- Outside employment;
- Outside professional association, nonprofit or business board service;
- Outside financial interests; however, this excludes the value of managed investment accounts (i.e., mutual funds);
- Immediate family members' professional services to the university;
- Other interests related to the university; and
- Conflicts of interest

Additionally, officers are also required to disclose, in good faith, any other outside interests or activity which may give rise to a perceived conflict of interest, regardless of dollar amount.

Note: Disclosures that do not involve doing business or competing with the university are considered to be confidential personnel matters. Disclosures that involved doing business or competing with the university are considered to be matters of public record. The disclosure of outside financial interests and activities is deemed to be included in the personnel file of the individual who submitted it.

Outside Professional Activities Outside Professional Activities are defined as external work or business opportunities, paid or unpaid, that are for personal gain and not essential to an employee's fulfillment of their University job duties. Outside Professional Activities do *not* include activities that further an individual's professional knowledge or expertise or otherwise directly contribute to their role at the University, such as attending conferences, lectures, or continuing education sessions. Outside Professional Activities also do *not* include volunteering for community or charitable organizations or political campaigns or parties.

Outside Income Consulting; speaking or other fees; honoraria; gifts; licensing revenues (royalty income); equity interests (including stocks, stock options, warrants, partnership and other equitable ownership interests).

Outside Income DOES NOT include:

- Salary, compensation and royalties from the university or its affiliates;
- Income from seminars, lectures, or teaching engagements sponsored by public entities (e.g., income from review boards and NIH peer review boards);
- Income from service on advisory committees or review panels for public entities (e.g., income from review boards and NIH peer review boards);
- Interest in mutual funds where the individual has no control over the selection of holdings.

Participate Taking part in a described activity in any capacity including but not limited to designing or directing research and/or serving as the Principal Investigator, research collaborator, expert witness, or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support, who are purely advisory with no direct access to the data (e.g., control over its collection or analysis) or in the case of research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome (e.g. in community participatory research).

PHS Public Health Service of the U.S. Department of Health and Human Services and any components of the PHS to which the authority involved may be delegated, including the National Institutes of Health (NIH).

PHS Awarding Component The organizational unit of the PHS that funds the research subject to 42 CFR 50 Subpart F, *Promoting Objectivity in Research*.

Research A systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social- sciences research. The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug). For the purposes of this process the term includes any such activity for which research funding is available from a PHS Awarding Component through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project or research resources award.

Reporting The provision of information about significant financial interests by a covered individual to responsible university officials and to the university COIC Committee, the transmission of such information within university channels (, or the reporting of a significant financial interest to an awarding component as required (e.g., ERA Commons for NIH granting mechanisms).

Reporting-Line Conflicts Conflicts of Interest also include "Reporting-Line Conflicts," which occur when a faculty or staff member is in a position to influence the terms or conditions of employment for a family member. Faculty and staff must avoid Reporting-Line Conflicts by working with the University to develop appropriate management plans so they are not solely responsible for directly supervising or making employment decisions for family members or others with whom they have an intimate relationship.

Reasonable Circumstances The circumstances that a reasonable, prudent layperson would expect a covered individual to maintain given the need to accomplish a specific task related to

university activities which also has a significant financial interest. Reasonable Circumstances might include the extent of the conflict to the university and the potential effect of the conflict upon the research or activity itself, the university, the sponsor or external party.

Reasonable Research Costs Payments to the university to the staff member or employee that are directly related to reasonable costs incurred in the conduct of research as specified in the research agreement(s) between the sponsor and the university are not considered significant financial interests.

Royalties Royalty income or the written contractual right to receive future royalties, either directly or indirectly under a patent, license or copyright, where research is directly related to the licensed technology or work.

Sponsored Research or Sponsored Projects Awards that are exchange transactions between an external sponsor and the University under a grant, contract, cooperative agreement, purchase order, or any other mutually binding award that restricts the use of

funds or property and stipulates conditions with which the University must comply. Typical sources of sponsored projects include organizations at all levels of government (local, state, federal, or international) as well as private corporations and foundations.

Stock Equity interest, security or capital investment that represents ownership in a publicly traded or privately held corporation.

Stock Options The right to purchase stock in the future at a price set at the time the option is granted (by sale or as compensation by the corporation). In order to obtain the shares of stock, the owner of the option must "exercise" the option by paying the agreed upon price and requesting issuance of the shares.

Subrecipient relationship A relationship that exists when another entity performs substantive programmatic work or undertakes an important or significant portion of the research program or project. The other entity participates in a creative way in designing and/or conducting the research, retains some element of programmatic control and discretion over how the work is conducted.

Subcontractor relationship A relationship that exists when another entity provides specific services in support of the research program but does not significantly participate in the design of the research and has little independent decision-making in the how the research program or project is to be completed. The subcontractor relationship is characteristic of a vendor relationship.

Technology Any process; method; product; compound; drug; device; or any diagnostic, medical or surgical procedure developed using university facilities, equipment or funds, whether intended for commercial use or not.

University includes Syracuse University and any organization affiliated with Syracuse University, including without limitation Drumlins, Inc., Syracuse University Hotel & Conference Center, LLC, Syracuse University Press, Inc., Syracuse University Alumni Association, Inc., and S.U. Theatre Corp.

Appendix II: Conflict of Interest Examples

The following activities represent actual conflicts of interest and are inconsistent with the university policy and may not be undertaken.

1. A researcher uses their laboratory at SU to do product-testing research, which is paid for by the company in which they are a 20% owner and founder. The research seeks to validate advertising claims made about a product sold by the company.
3. An employee directs the purchase of supplies for the university or its Affiliated Entities toward a business in which he or his family member has a significant financial interest.
4. An employee managing an architectural firm, law firm, or consulting firm manages and or supervises employees who make hiring decision or the procurement of services to such entities
5. A faculty member acts as the thesis or dissertation advisor to a graduate student for a research project, which was suggested by a faculty member. The faculty member expects the project to substantially enhance the value of a company in which the faculty member has a significant financial interest.
6. A researcher conducts clinical research on a product that she developed. She has licensed the product to an external organization in which she owns equity or has other direct relations including consulting.

The following examples represent conflicts of interest, but in most cases would be permitted to move forward after disclosure and an approved appropriate conflict of interest management plan.

1. A researcher conducts federally or foundation-sponsored non-clinical research on a product developed by a company for which he is a consultant.
2. A researcher who is a member of a company's scientific advisory board conducts non-clinical research sponsored by that company.
3. An employee manages a design and construction project involving an architectural firm in which his spouse is a partner, when the university employee did not participate in the selection of the firm for the project.
4. A researcher conducts federally or foundation-sponsored basic research on a the university invention that has been licensed to a company for which he consults and on which he receives a share of the university royalties.

5. A researcher who holds a director, officer, or other position that has significant decision-making authority in a research sponsor or third party receiving the funding or company whose interests are related to the sponsored research activities.

Appendix III: Best Practices Guidelines

Participation in Business Negotiations. No university employee having a significant financial interest in a commercial or non-profit organization outside of the university may participate in negotiating the terms and conditions of any agreement between the university and that organization.

Participation in Administration of Agreements. No university employee having a significant financial interest or a management position in a commercial or non-profit organization outside the university may have primary responsibility for administering an agreement between the university and that organization.

Availability of Research Data. All data and results arising from research in which an investigator has a significant financial interest are required to be disclosed under this policy and must be available for disinterested scientific review.

Clinical Trial Investigators. No one may participate as a principal investigator in a clinical trial sponsored by a start-up commercial or non-profit organization in which he or she has an equity interest, has an intellectual property interest, holds a management position or serves on the organization's Board of Directors.

Outside Consulting Work. Investigators receiving compensation from a commercial or non-profit organization outside the university must ensure that no services performed as part of outside consulting work duplicate any work they perform while participating in research. Prior approval of all outside consulting is required.

Performance of university Obligations. Investigators receiving compensation from a commercial or nonprofit organization outside the university must ensure that no services performed as part of outside consulting are inconsistent with their university obligations.

Informed Consent. No investigator having a significant financial interest may solely obtain informed consent in research involving human subjects.

Disclosure of Interests. All investigators having a significant financial interest must disclose the nature of the interest in connection with scholarly publication or presentation of the results of the research. Transparency is the key to managing conflicts of interest.

Financial Interests in Competitors and Competitive Products. For the purposes of this policy, investigators shall be considered as having a significant financial interest if they have any interest of economic or monetary value in a business that produces a competing product that could reasonably appear to affect or to be affected by the

particular research or technology transfer transaction under consideration by the university.

Clinical Trials of University Technology. No person shall participate in a clinical trial involving technologies licensed to the university if that person has a substantial equity interest in the licensee or intellectual property interest in the technology. When the university has either a substantial equity interest in the licensee or an intellectual property interest in the technology, funding for the clinical trials will not be accepted without a full conflict of interest review and management plan being implemented.

Data Production and Analysis. Investigators having a significant financial interest shall not perform primary data analysis or production of data involving subjective scoring or similar methods of obtain data unless there is a clear and convincing indication that the design of the research and its analysis would provide no opportunity for bias.

Protection of Students. Particular attention shall be given to protecting students who could be adversely affected by the significant financial interest of an investigator or other the university employee who has academic responsibility for the student.

Oversight Arrangements. In general, oversight committees or other oversight arrangements will be established in cases involving intellectual property interests, equity interests in start-up companies, student researchers and the potential for inappropriate use of University resources. Management plans should be written in lay terms, using language understandable to non- expert readers. Distancing oneself or creating a “firewall” from the interest in order to conduct the research or participate in an activity is a mechanism that may be accomplished through divestiture, constructing a divesture plan, prohibiting buying or selling of the equity while the research is ongoing. In some instances the only realistic option may be to sever the relationship that created the potential conflict.

Appendix IV: University Conflict of Interest Policy Statements

Conflict of Interest and Commitment for Faculty and Staff

Conflict of Interest and Commitment for Principal Investigators and Senior Personnel on Sponsored Programs

- Faculty Manual
 - Outside Activities – Conflict of Interest and Commitment
 - Conflicts of Commitment (Faculty Manual 3.41)
 - Consulting During the Academic Year (Faculty Manual 3.42)

- Consulting During the Summer (Faculty Manual 3.43)
- Conflict of Interest for Principal Investigators
- Outside Professional Consulting by Non-Faculty Employees

Appendix V: Professional Association Policy and Guidelines (i.e. “Best Practices”)

Association of American Universities Report on Individual and Institutional Conflict of Interest <https://www.aau.edu/node/9191>

Council on Governmental Relations Publications
<http://www.cogr.edu/ConflictofInterest>