

# Conflict of Interest and/or Commitment Management Plan

<b>Researcher Name</b>			
<b>School or College</b>			
<b>Business, corporation, or institution with potential conflict (hereafter “Entity”)</b>			
<b>Brief Description of Entity’s Product or Service</b>			
<b>Brief Description of Interest or Commitment</b>			
<b>Areas of Concern</b>	<b>N</b>	<b>Y</b>	<b>If yes, area of guidance</b>
Other staff			Section I, Appendix A
Students			Section I, Appendix A
Potential for publication or presentation			Section II, Appendix B
Contracts between Entity and UW-Milwaukee			Section III
Purchase of items from Entity			Section IV
Use of UW-Milwaukee space or facilities			Section V
Human Subjects Research			Section VI
Guidance and Requirements for ALL MANAGEMENT PLANS		<b>Y</b>	Sections VII, VIII, IX, X
<b>Approval of Conflict of Interest and/or Commitment Management Plan</b>			
<b>Role</b>	<b>Name</b>	<b>Signature</b>	
<b>Researcher</b>		[WILL BE SENT VIA DOCUSIGN]	
<b>Dean or designee</b>		[WILL BE SENT VIA DOCUSIGN]	
<b>Vice Provost of Research</b>	Mark Harris	[WILL BE SENT VIA DOCUSIGN]	

**I. Interactions with Students and Staff.** UW–Milwaukee has a duty to ensure that the entrepreneurial activities of its faculty and staff do not have a negative impact on students or research staff, especially on the academic progress of students. To fulfill this obligation, the Research Conflict of Interest (RCOI) Committee requires that individuals with potential conflicts of interest inform others who may be impacted by the potential conflicts.

You must provide information on potential conflicts of interest to all students, fellows, trainees, and other research workers whom you supervise in the course of your research (hereafter students and staff). The information should include explanations of: a) your relationship with the entity, and b) the right of students and staff to bring concerns about the effect of your relationship with the entity on their work, studies, or progress towards degree

to your dean, director, his or her designee, or the RCOI Committee. The process for providing information should meet the following criteria:

- Includes a written summary of the information for each student or staff member
- Provides to the COI Program documentation that this process has occurred within 90 days of receipt of this management plan
- Provides any individuals who subsequently join the group comparable information in a timely manner
- Updates documentation to the RCOI Committee at least once a year

See "Appendix A: Informing students and staff of potential conflicts of interest" for additional guidance.

You must also notify all your co-Investigators on federal grants of potential conflicts of interest.

Your relationship with the entity may not place restrictions on the ability of your students and staff to receive, analyze, or interpret data. In addition, students may not participate in research sponsored by the entity without permission from your dean's office.

The RCOI Committee recommends that all involvement of students and staff with the entity be conducted under formal University agreements, such as sponsored research agreements or appointments approved by your dean or director's office.

You must direct any of your students and staff with financial interests in the entity to make an [annual report of outside activities using the online process](#), if they have not already done so and regardless of whether they would normally be required to make such a report. Any of your students and staff who independently have a significant financial interest in the entity will be reviewed by the RCOI Committee and may be issued their own management plans.

You must notify your Dean or Director's office if you wish for the university to hire an individual who you know has a financial interest in the entity into a position over which you have a supervisory role, or if a current employee or graduate student under your supervision obtains a financial interest in the entity. You may not be directly involved in any final institutional decision-making regarding UW-Milwaukee employment of any individual who you know has a significant financial interest in the entity. Any such decisions must be made by an impartial party who is not under your supervision or control.

**II. Publications and Presentations.** Your relationship with the entity may not restrict publication or presentation, although publication may be delayed for the purpose of pre-publication review for a period consistent with UW–Milwaukee policies.

You, your students, fellows, trainees, and other research workers whom you supervise in the course of your research must disclose the relationship with the entity in publications and academic presentations, if a) the entity supports research reported in the publication; or b) the

publication or presentation is related to the entity's commercial interests or intellectual property. For researchers in the biomedical sciences, disclosure in publications should conform to recent uniform disclosure guidelines published by a group of editors of major medical journals (Davidoff et al. JAMA 286: 1232-1234, 2001). (See Appendix B: Disclosing in publications.)

### **III. Contracts between University and Entity**

#### **A. Research Support from Entity**

Before accepting any research support (e.g., grants, contracts, unrestricted gifts, or materials) from the entity, you must specifically disclose details of the award to your dean or director's office for approval, including the scope of the work and any award conditions. The written disclosure details must accompany a WISPER record and be routed from the department chair to the dean or director's office for approval. You must update your outside activities report and indicate that you have sponsored research.

#### **B. Subagreements with Entity**

If you anticipate engaging in a project for which the entity will be a subawardee or subcontractor, you must contact your dean or director's office for approval prior to submitting a proposal.

#### **C. Contract Negotiation, Approval, and Signature**

You may not negotiate or sign any contract with the entity on behalf of UW-Milwaukee. In addition, any such contract's terms and budget must be approved by your Dean, Director, Division Head or their designee.

#### **D. Invoicing, Billing, and Issue Resolution**

If UW-Milwaukee has a contractual relationship with the entity, you may not be responsible for invoicing or billing the entity, or for institutional decision-making should any issue regarding the entity's performance under the contract arise. Any such decisions must be made by an impartial party who is not under your supervision or control.

### **IV. Purchasing**

You may not be directly involved in making decisions involving the purchase of items from the entity. Any such decisions must be made by an impartial party who is not under your supervision or control, such as your department chair or someone designated by your chair. If you are a department chair, your dean should be asked to designate someone on your behalf.

## **V. Use of University Facilities and Services**

Any activity involving the use of University facilities or services for the benefit of the entity must be conducted in accordance with all relevant University and system policies and state and federal laws pertaining to the use of University facilities and services. Except with respect to use of facilities and services made available for general public use in accordance with established rates and conditions applicable to all users, any such activity must be approved by your Dean, Director, Division Head or their designee, and a written and approved contract is required before the activity begins.

## **VI. Human Subjects Research**

For any human subjects protocol in which the entity a) sponsors the study, or b) owns or licenses a technology used in the study, the following rules apply.

### **A. All studies**

- You must report the conflict of interest and provide this management plan to the Institutional Review Board (IRB) reviewing the study within 30 days of this management plan's assignment.

### **B. Minimal Risk Studies**

- If a reviewing IRB determines that a study in which you are engaged is minimal risk, you may participate in the study, however, the following limitations apply:
  - i. You must disclose the conflict to participants in the study, unless the IRB determines that such disclosure would not be appropriate;
  - ii. You may not participate in the recruitment, enrollment or consent of participants in the study;
  - iii. If your study meets the definition of a clinical trial,<sup>1</sup> you must designate a non-conflicted co-Investigator or other key personnel on the study with responsibility for acting as an independent reviewer of the data analysis.

### **C. More than Minimal Risk Studies**

- You may not serve as principal Investigator (PI) on the human subjects protocol.

### **D. Exceptions**

- The reviewing IRB may impose additional requirements with respect to your participation in the study. If you wish to request an exception to any of the above stated limitations, you must follow the exception request process outlined below.
- If you wish to apply for an exception to the restriction on participation in human

subjects research, you must work with your Dean's office to apply for the exception.

- This exception must be addressed to the RCOI Committee in writing and must include a statement of the Dean's Office to participate in additional management actions. The RCOI Committee only grants exceptions for specific protocols.
- Additional management actions include:
  - Disclosure of financial interests to participants
  - Disclosure of financial interests to research collaborators
  - Additional protocol monitoring
  - Restriction of roles in the study
  - Other management as determined by the committee
- If the RCOI Committee approves an exception, the RCOI Committee may require modifications to the human subjects protocol.

## **VII. Reporting of Outside Activities**

You are required to submit an annual report of outside activities each spring using the online process. In addition, if you have relevant changes in your outside activities between annual reports, you must update your report within 30 days of the change. You may access your [Outside Activities Report](#) at any time during the year.

## **VIII. Outside Activities Agreement**

A departmental agreement on the appropriate balance between your outside activities and your faculty appointment needs to be established.

## **IX. Annual Review**

You must meet annually with your department chair, center director, or, if you are the department chair or center director, with your dean or director, or his or her designee, to review information related to your relationship with the entity or entities, its influence on your University activities and compliance with the terms of this management plan.

Meeting Confirmation Form is included as Appendix C.

## **X. Amendments.**

UW–Milwaukee reserves the right to modify this management plan and to impose new or additional conditions. Such modifications, conditions, and additional terms will be effective immediately and incorporated into this management plan. UW–Milwaukee will notify you of these changes in advance by sending an email message to the email account used for your annual Outside Activities Report notifications. You will be deemed to have accepted these terms and conditions unless you appeal your management plan, which must be done in writing and sent to UW–Milwaukee's Conflict of Interest Committee via [or-fcoi@uwm.edu](mailto:or-fcoi@uwm.edu).