

REPORT OF THE CONFLICT OF INTEREST WORKING GROUP

PURPOSE

Conflict of interest is an important and timely issue for institutions of Higher Education. Many institutions have recently or are currently reviewing and revising their conflict of interest policies and procedures in light of changes in Federal and State laws and regulations. It is an appropriate time for the University of Missouri to review its existing conflict of interest policies and procedures.

PARTICIPANTS

A broad-based Conflict of Interest Working Group was formed to undertake this endeavor. This working group included representatives from the many areas of our institution impacted by conflict of interest policies including academic, research, business, and development. The UM System, each Campus, and Outreach & Extension were represented on this group by Gordon Anderson, Chairman Department of Chemistry, UMSL; John Baumann, Director Grants and Contract, UMKC; Michael Devaney, Professor of Electrical Engineering, UMC; Connie Eggert, Vice Chancellor for Advancement, UMR; David Eick, Curators Professor of Dentistry, UMKC; John Gardner, Assoc. Dean & Director of Research and Outreach CAFNR, UMC; Rob Hall, Associate Vice Provost for Research, UMC; Bill Harris, Chief Procurement Officer, UM; Wayne Huebner, Vice Provost for Research, UMR; Ken Hutchinson, Vice President for Human Resources, UM; Michele Kennett, Compliance Officer, UMC; Nikki Krawitz, Vice President for Finance and Administration, UM; Stephen Lehmkuhle, Vice President for Academic Affairs, UM; Kate Markie, Counsel, UM; Robert Mitchell, Dean Of Engineering, UMR; Vicki Sauter, Professor of Management Science & Information Systems, UMSL; Tom Sharpe, Executive Director of Technology Transfer & Special Projects, UM; Max Summers, Director Missouri Small Business Development, UMC; Peter Wilden, Chair COI Working Group & Office of Vice President for Academic Affairs, UM; and Lisa Wimmenauer, Associate Director Business Services, UMC.

CHARGE

The working group was charged with reviewing all existing UM Policies related to conflict of interest. In addition, this group was to review all existing procedures used by the Campuses and Outreach & Extension to address conflict of interest. The working group was also charged with recommending changes to existing policies and procedures, if necessary, in the areas of conflict of interest, conflict of commitment, and institutional conflict of interest. In addition, the working group was to identify best practices that can be used throughout the institution.

WORKING GROUP PLAN

The Conflict of Interest Working Group met monthly beginning in August 2003. The August meeting focused on educating the Working Group about UM Conflict of Interest Policies, and pertinent Federal and State Laws and Regulations and perspectives give by two outside experts; Mary Ellen Sheridan, Associate Vice President for Research at the University of Chicago and Peter Dunn, Associate Vice Provost for Research at Purdue University. An analysis of recently revised conflict of interest policies from other institution was provided following this meeting. The September meeting focused on educating the working group on current conflict of interest procedures on each Campus and in Outreach and Extension. In October the Working Group focused on a review and analysis of our policies and procedures to identify areas where improvement may be necessary. A Conflict of Interest Guidance document was drafted for review. The November meeting focused on the guidance document which described the interactions between the UM System and its campuses and that can be used by the campuses in creating their own conflict of interest procedures and practices. In December the Working Group was used to review the next draft of the guidance document and complete recommendations for improvement of policy and procedures.

RECOMMENDATION

The Conflict of Interest Working Group recommends that University of Missouri System and Campus administration:

- 1) Develop an Institutional Conflict of Interest Policy
- 2) Use the University of Missouri System's Guide to Managing Converging Interests (see appendix 1) as a framework for developing procedures and practices at the UM System and on each Campus to deal with converging interests.
- 3) Each Campus should develop a conflict of interest education plan for all employees which insure proper identification, disclosure, and management of conflicts and an educational plan for academic administrators which insures appropriate processing of disclosures as well as development of and oversight of management plans where needed.
- 4) Develop an annual Conflict of Interest Disclosure Form to assure deliberate reporting of not only potential conflict of interests, but also ensures that employees declare that they have no conflicts. The form should also provide brief education about conflict of interest with references to policies and procedures.
- 5) Provide and facilitate opportunities for campus Conflict of Interest Officers and Committee Members to meet and share ideas, process, practices and forms.

January 7, 2004

Peter A. Wilden, Ph.D.
Chairman
Conflict of Interest Working Group

Faculty Fellow
Office of the Vice President for Academic Affairs
University of Missouri System