Managing the Research Enterprise

Juan M. Sanchez
Vice President for Research
Managing the University Research Enterprise

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Topics

▪ Overview of Research at UT Austin

▪ Selected Policies Overview:
  ▪ Objectivity in Research Policy (Conflict of Interest)
  ▪ Research Misconduct
  ▪ Intellectual Property

*Will not cover Policy on “Conflicts of Interest, Conflicts of Commitment and Outside Activities”*

(under discussions with UTS; stayed tuned)
Trends in R&D Expenditures
(Source: NSF Academic R&D Expenditures)
### R&D Expenditures of Top Universities without a Medical School, ranked by Federal and Business Funding: FY 2010

<table>
<thead>
<tr>
<th>Rank by Federal Funding</th>
<th>Institution</th>
<th>Federal</th>
<th>Rank by Business Funding</th>
<th>Institution</th>
<th>Business</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>MA Institute of Technology</td>
<td>457,575</td>
<td>1</td>
<td>MA Institute of Technology</td>
<td>102,882</td>
</tr>
<tr>
<td>2</td>
<td>GA Institute of Technology</td>
<td>372,122</td>
<td>2</td>
<td>U. CA, Berkeley</td>
<td>85,538</td>
</tr>
<tr>
<td>3</td>
<td>U. TX Austin</td>
<td>300,308</td>
<td>3</td>
<td>U. TX Austin</td>
<td>56,448</td>
</tr>
<tr>
<td>4</td>
<td>U. CA, Berkeley</td>
<td>312,789</td>
<td>4</td>
<td>U. TX M. D. Anderson Cancer Ctr.</td>
<td>50,712</td>
</tr>
<tr>
<td>5</td>
<td>U. IL Urbana-Champaign</td>
<td>303,852</td>
<td>5</td>
<td>TX A&amp;M U.</td>
<td>46,754</td>
</tr>
<tr>
<td>6</td>
<td>U. MD College-Park</td>
<td>297,996</td>
<td>6</td>
<td>GA Institute of Technology</td>
<td>45,672</td>
</tr>
<tr>
<td>7</td>
<td>TX A&amp;M U.</td>
<td>288,173</td>
<td>7</td>
<td>Purdue U. main campus</td>
<td>29,993</td>
</tr>
<tr>
<td>8</td>
<td>Purdue U. main campus</td>
<td>232,564</td>
<td>8</td>
<td>U. IL Urbana-Champaign</td>
<td>13,661</td>
</tr>
<tr>
<td>9</td>
<td>Rutgers, the State U. NJ-New</td>
<td>224,894</td>
<td>9</td>
<td>Rutgers, the State U. NJ-New</td>
<td>10,988</td>
</tr>
<tr>
<td>10</td>
<td>U. TX M. D. Anderson Cancer Ctr.</td>
<td>206,664</td>
<td>10</td>
<td>U. MD College Park</td>
<td>9,118</td>
</tr>
</tbody>
</table>
Selected Policies Overview

- **Objectivity in Research/Conflict of Interest:**
  “Promoting Objectivity in Research by Managing, Reducing or Eliminating Financial Conflicts of Interest”

- **Research Misconduct**
  “Misconduct in Science and Other Scholarly Activities”

- **Intellectual Property**
  “Regent’s Rules and Regulations: Series 90000”

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**Objectivity in Research or UTS-175 (Conflict of Interest)**

**Policy at** [http://www.policies.utexas.edu/policies](http://www.policies.utexas.edu/policies)  
Search for “Objectivity in Research”

**Elements of the Policy:**

- Policy applies broadly to ALL research, whether externally funded or not.

- Requires training every 4 years

- **Individual must identify ALL research in which in the individual is engaged**
  - Sponsored project: Easy (preloaded on electronic system from OSP).
  - Research Gifts
  - Institutionally Funded
Objectivity in Research or UTS-175
(continued)

- **Financial Interest Disclosure (FI)**
  - Includes spouse, dependent children, and adults who reside in the same household … and “financially interdependent…”

- **Determination of Financial Conflict of Interest (FCOI) by “COI Official”**

- If FCOI, must develop “management plan”
  - Meet Chair/Director as appropriate to discuss FCOI
  - In some cases disclose to students
  - Disclose FCOI in publications

- All kept in electronic database

- Policy calls for periodic audits

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Objectivity in Research or UTS-175
(continued)

**What to Disclose:**

- **PUBLICLY TRADED ENTITY:**
  - Payments and/or equity interest of more than $5,000 (aggregated over 12 months)

- **NON-PUBLICLY TRADED ENTITY:**
  - Payments of more than $5,000 (salary, consulting fees, paid authorship)
  - Any equity interest

- **INTELLECTUAL PROPERTY AND ROYALTIES** (not paid by the University)

- **TRAVEL** (with some exceptions)

- **GIFTS** (that aggregate to more than $250 from a single organization)

- **FIDUCIARY POSITIONS** (in a for-profit or nonprofit entity in the preceding twelve months; such as a member of the board of directors, an officer, or other executive or management position, for which the individual received any form of remuneration or reimbursement for expenses)
Objectivity in Research or UTS-175
(continued)

Exclusions:
• Salary, royalties, or other remuneration paid by the University
• Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government or a U.S. institution of higher education
• Income from service on an advisory committee or review panel for a federal, state, or local government or a US institution of higher education
• Income from investment vehicles, such as mutual funds or retirement accounts
• Travel reimbursed or sponsored by a federal, state, or local government agency, or a US institution of higher education

Scientific Misconduct or Misconduct in Other Scholarly Research

Policy:
http://www.policies.utexas.edu/policies/misconduct-science-and-other-scholarly-activities

• **YES** — Fabrication, falsification, or plagiarism (plus other serious deviations from ethical standards for proposing, conducting, or reporting research)

• **NO** — Ordinary errors, good faith differences in interpretations or judgments of data, scholarly or political disagreements, good faith personal or professional opinions, or private moral or ethical behavior or views
Scientific Misconduct or Misconduct in Other Scholarly Research

- Report ALL allegations (oral or written) to VPR or to the Research Integrity Officer (RIO).
- RIO conducts “inquiry” to determine if an “investigation” is needed. If research is Federally funded the Office of Research Integrity (ORI) is notified.
- Investigation Report submitted to the Provost for final decision/adjudication.
- If Federally funded research, decision, report, etc. sent to ORI
- Critical Issue: Confidentiality.

Scientific Misconduct or Misconduct in Other Scholarly Research

As a Department Chair, What Should YOU Do?

- Take time to read the policy.
- Notify your faculty of policy and reporting requirements.
- Notify the Office of VPR (RIO) immediately of any allegation.
- Respect strict confidentiality.
Intellectual Property

Full Policy: http://www.utsystem.edu/bor/rules/#A10

Plain English: http://www.utsystem.edu/ogc/IntellectualProperty/IPpolicy_english.htm

- Encourages “development of inventions…” for “the best interest of the public, the creator, and the sponsor, if any…”
- Applies to all employees: faculty, postdocs, and students (graduates and undergraduates).
- Board of Regents owns IP in some cases.
- Provides exemptions for “scholarly works.”
- Establishes royalty sharing with inventor.

Board Owns IP if:
(typically inventions, discoveries, trade secrets, trade & service marks, software)

- Created by an employee within the scope of employment.
- Created using University facilities or state financial support.
- Commissioned by University (work for hire).
- Results from research supported by Federal funds or third party sponsorship.
Intellectual Property

Author/Researcher Owns IP if:

- IP is unrelated to the employee's job responsibilities and the employee made no more than incidental use of University resources.

- The invention has been released to the inventor.

- If the intellectual property is embodied in a scholarly, educational, artistic, musical, literary or architectural work in the author's field of expertise, even though such a work may be within the scope of employment and even if System resources were used.

Contacts for High Level Assistance

Robert Peterson, Office of the Vice President for Research
  - Scientific Misconduct

Wayne Patterson, Office of Research Support
  - Human Subjects, Bio-Safety, Research with Animals
  - Conflict of Interest

Dan Sharp, Office of Technology Commercialization
  - IP, Technology licensing and commercialization issues

Bill Catlett, Office of Industry Engagement
  - Research Contracts with Industry

Susan Sedwick, Office of Sponsored Projects
  - Proposals, Contracts & Grants, Material Transfer Agreements, Restricted Data Use Agreements, Export Controls

Or Me on all of the above…
Questions?

Thank you.