

TRANSPARENCIES FOR UNIT 14

CONFLICT ISSUES

**“IT IS IMPORTANT TO KNOW THE DIFFERENCE
BETWEEN AMBITION AND GREED,
THE DIFFERENCE BETWEEN
LOYALTY AND SERVITUDE,
AND THE DIFFERENCE BETWEEN
LIBERTY AND LICENSE.”**

— MONTAIGNE

OBJECTIVES

- **NATIONAL NEED TO MAKE THE TOTAL INNOVATION PROCESS MORE EFFICIENT AND TO DECREASE THE TIME FROM CONCEPT / INVENTION / DISCOVERY THROUGH TO UTILIZATION IN SOCIETY.**
- **UNIVERSITY NEED TO OBTAIN RESOURCES TO SUSTAIN ITS DUAL EFFORT OF EDUCATION AND RESEARCH IN THE FACE OF DECREASED GOVERNMENT SUPPORT**
- **INDUSTRY NEED TO RECOGNIZE AND SUPPORT THE UNIVERSITY AND INDEED ALL RESEARCH INTERNAL AND EXTERNAL INDEPENDENT OF ITS INDIRECT SUPPORT THROUGH TAXES**

BENEFITS - INDUSTRY

- **EARLY EXPOSURE TO NEW TECHNOLOGY**
- **RECRUITING TALENT**
- **CONSULTANTS STIMULATE AND STRENGTHEN
INTERNAL RESEARCH CAPABILITIES**
- **ACCESS TO SCIENTIFIC EQUIPMENT**
- **INTANGIBLE BENEFITS - PRESTIGE**

BENEFITS - UNIVERSITY

- **UNIVERSITY FINANCIAL NEEDS**
- **BROADENS THE FINANCIAL BASE**
- **UNIVERSITY SUSCEPTIBLE TO SHIFTS IN PRIORITIES**
- **EXPOSING SCIENTISTS TO NEW, CHALLENGING PROBLEMS RARELY ENCOUNTERED IN ACADEMIA**
- **EDUCATION OF STUDENTS ENHANCED THROUGH PRACTICAL APPLICATIONS OF KNOWLEDGE**

SOCIETAL VALUES

ACADEMIC

- PURSUIT OF KNOWLEDGE
- OPEN DISSEMINATION OF KNOWLEDGE
- FREEDOM OF INQUIRY
- FREEDOM OF MODE OF INQUIRY
- INTELLECTUAL REWARDS

INDUSTRY

- APPLICATION OF KNOWLEDGE TO PRODUCTS AND SERVICES
- CONTROLLED
- DIRECTED-RESTRICTED
- DIRECTED
- MATERIAL REWARDS

CONTINUED

SOCIETAL VALUES

ACADEMIC

- FREEDOM OF SCHEDULE
- FULFILLMENT / COMMITMENT
OF SELF
- NON PROFIT
- BASIC / FUNDAMENTAL
EDUCATION

INDUSTRY

- CONTROLLED
- FULFILLMENT OF TASK
- PROFIT
- APPLIED / COMMER-
CIAL EDUCATION

CONFLICT RESOLUTION

- 1. FACULTY MEMBERS SHOULD BE REQUIRED TO DISCLOSE THEIR RELEVANT COMMERCIAL CONNECTIONS.**

- 2. NEITHER EXACT DOLLAR AMOUNTS NOR OWNERSHIP OF STOCK IN A PUBLIC COMPANY UNRELATED TO AN INDIVIDUAL'S DISCIPLINE NEED BE A MATTER OF PUBLIC RECORD.**

- 3. PROFESSORS MUST FULLY DISCLOSE OUTSIDE SPONSORSHIP TO STUDENTS, GRADUATES AND UNDERGRADUATES, DIRECTLY INVOLVED IN RESEARCH PROJECTS WITH THOSE STUDENTS.**

- 4. PROFESSORS MUST DEFINE FOR THEIR STUDENTS PROCEDURES THAT WILL BE USED TO DETERMINE WHO WILL BE NAMED INVENTORS ON PATENTS THAT MAY RESULT FROM THE RESEARCH.**

- 5. AN EQUITY POSITION MUST BE PROHIBITED IN ANY COMPANY THAT IS OPERATED BY OR FOR FACULTY.**

CONTINUED

CONFLICT RESOLUTION

- 6. TITLE TO ANY PATENTS THAT RESULT FROM JOINT PROJECTS BE HELD BY THE UNIVERSITY.**

- 7. UNIVERSITIES MUST NOT GRANT EXCLUSIVE LICENSES TO A COMPANY IN WHICH THEIR OWN FACULTY EITHER HOLD A RESPONSIBLE ADMINISTRATIVE OFFICE OR ARE SUBSTANTIAL STOCKHOLDERS.**

- 8. UNIVERSITIES DETERMINE AND MAKE KNOWN IN ADVANCE THEIR POLICIES FOR DISTRIBUTION OF ROYALTY INCOME.**

- 9. AGREEMENTS THAT PROHIBIT PUBLICATION POSE GREAT DANGER.**

- 10. IT IS ILL ADVISED FOR A COMPANY TO CAPTURE A WHOLE FIELD WITHIN A UNIVERSITY OR, FOR THAT MATTER, A DEPARTMENT.**

Source: The Science Business—Priority Press, 1984

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SUPPLEMENTAL READING FOR UNIT 14

Association of American Universities

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**UNIVERSITY POLICIES ON CONFLICT OF INTEREST
AND DELAY OF PUBLICATION**

REPORT OF THE CLEARINGHOUSE ON UNIVERSITY-INDUSTRY RELATIONS

ASSOCIATION OF AMERICAN UNIVERSITIES

FEBRUARY, 1985

AAU Association of American Universities

February 19, 1985

President

FROM: Robert M. Rosenzweig

This report, "University Policies on Conflict of Interest and Delay of Publication", is the first written report of the Association of American Universities' Clearinghouse on University-Industry Relations.

The Clearinghouse was established in 1983 with the help of a grant from the Pew Memorial Trust, to provide all interested parties with information about the policies and practices governing the growing connections between universities and industry. The simple assumption underlying the project is that the availability of knowledge about how others have handled problems will help those who are confronting those same problems to avoid mistakes. The large number of requests to the Clearinghouse for information about the experience of others supports that assumption.

The present report answers the two most commonly expressed concerns about the growth of these new relationships: Are universities alert to the potential for conflict of interest and diversion of faculty effort that is inherent in working with business; and have universities addressed the potential threat to the openness of scientific communication that attaches to proprietary interests?

Without attempting to assess the adequacy or effectiveness of institutional policies in these areas, it is clear that neither has lacked for attention. The existence of policy is virtually universal, and most of it is recent enough to have been formulated in the light of experience with industry. Those two facts, alone, are reassuring.

Reports on other topics will be forthcoming in the months ahead. In the meantime, the Clearinghouse exists as a resource for all who may be interested in the subject.

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