



**Agenda Item # 9
3/15-16 ICOC Meeting**

[PROPOSED AMENDMENT: CLARIFY APPLICATION OF POLICY TO SPECIALIST MEMBERS OF THE WORKING GROUP: IN BOLD AND UNDERLINE TEXT ON PAGE 3.]

**CIRM CONFLICT OF INTEREST POLICY FOR
GRANTS REVIEW WORKING GROUP MEMBERS**

To be successful, the CIRM research program, which is funded by the taxpayers of California, must make awards in a way that is open, fair and free from bias. Consistent with this aim, the evaluation of grants by the Grants Review Working Group must be free both from real and apparent conflicts of interest. The CIRM is committed to strong and effective conflict of interest policies. The conflict of interest policy for members of the Grants Review Working Group is closely modeled on the policies of NIH and the California Special Research Program.

A conflict of interest exists when a Working Group member has a real or apparent interest in the outcome of an application such that the member is in a position to gain financially, professionally or personally from either a positive or negative evaluation of the grant proposal.

Financial:

A member has a financial conflict of interest if:

- (1) The member, his or her spouse or any other person with whom the member has a common financial interest, is an employee of either the institution or the Principal Investigator on an application.
- (2) The member, his or her spouse or any other person with whom the member has a common financial interest, is under active consideration for a faculty or administrative position at an applicant institution.
- (3) A member, his or her spouse or any other person with whom the member has a common financial interest, stands to receive a financial benefit of any amount from an application under review.
- (4) A member, his or her spouse or any other person with whom the member has a common financial interest, has received or could receive a financial benefit of any type from an applicant institution or organization unrelated to the proposal, of over \$5,000 per year. This total includes honoraria, fees, stock and other benefits. It also includes current stock holdings, equity interest, intellectual property or real property interest, but does not include diversified mutual funds.

Professional:



**Agenda Item # 9
3/15-16 ICOC Meeting**

A member has a professional conflict of interest if:

- (1) A person listed on the grant application as Principal Investigator or someone who receives salary from the grant is a professional associate, such as a former student or post-doctoral fellow, or someone with whom the member has co-authored a publication within the last three years.
- (2) The member and a primary member of the research team of an application are engaged in, or are planning to be engaged in, collaboration.
- (3) An applicant is someone with whom the member has had long-standing scientific differences or disagreements that are known to the professional community and could be perceived as affecting the member's objectivity.

Personal:

A member has a personal conflict of interest if:

- (1) A close family member or close personal friend is an applicant.
- (2) An applicant is someone with whom the member has had long-standing personal differences.

A member is required to report to the CIRM staff any conflict of interest of which he or she is aware, including, but not limited to, those described above. Except under unusual circumstances, any member of the Grants Review Working Group who has a real or apparent conflict of interest with respect to an application may not review or vote on the application and must leave the room when that application is discussed. In exceptional cases, the President of the CIRM may decide that the need for special expertise of the reviewer outweighs any possible bias posed by a real or apparent conflict of interest. Under these circumstances, the CIRM staff shall publicly disclose the working group member's interest before the meeting and the working group member shall be permitted to participate in the discussion but will not be permitted to vote on the application or participate in the scientific scoring.

All reviewers must sign a pre-review statement indicating any possible conflicts of interest that they have, and must also sign a post-review statement that they did not participate in the discussion or review of any application for which they might have a conflict of interest.

Definitions

1. *Applicant* includes both the investigators and the applicant institutions. (Following the NIH policy and based on the definition of grantee in the California Stem Cell Research and Cures Act, multiple campuses of a statewide university are considered to be separate institutions.)



Agenda Item # 9
3/15-16 ICOC Meeting

2. *CIRM* is the California Institute for Regenerative Medicine
3. *Grant* means a grant, loan or guarantee.
4. *Grants Review Working Group* refers to the Scientific and Medical Research Funding Working Group
5. *Principal Investigator* is an individual designated by the grantee to direct the project or activity being supported by the grant. He or she is responsible and accountable to the grantee and the CIRM for the proper conduct of the project or activity.
6. *Working Group* means any of three advisory bodies to the Independent Citizens' Oversight Committee (ICOC), the governing body of the CIRM. Working groups shall forward their recommendations to the ICOC for it to consider in making its decisions on applications for research and facility grants and loan awards and adopting regulatory standards.
7. **Member is defined to include alternate members, ad hoc members and specialists serving the working group.**

I understand the conflict of interest policies of the CIRM and will report any and all conflicts of interest that I have with respect to applications submitted to the Grants Review Working Group.

Signature: _____ Date: _____