Reporting and management of conflicts of interest and commitment is growing in complexity and oversight from the state and federal levels; therefore, it is essential that the University of Illinois have a sound policy and procedures in this area. The current policy has served the University well for over two decades. However, given the central importance of the policy and increasing national attention to conflict issues, it is appropriate for the University to take a fresh look at our existing policy.

The current University “Policy on Conflicts of Interest and Commitment” was adopted in 1988, amended in March 1996, and further reviewed without any amendments in 1998. This document was then extensively revised and updated in 2007, but the changes were not formally adopted at that time. In Fall 2008, the Office of the Vice President for Academic Affairs convened an inter-campus and UA group to review the current policies and the recommendations were presented to the Board of Trustees in November 2008. Over a similar time period the internal auditors conducted an independent review of our current policies, and issued their report in June 2009. While many of the recommendations of the two reviews were similar, some were distinct. Vice President Mrinalini Rao and Chief Financial Officer Walter Knorr agreed that the Office of the VPAA would convene the necessary committees to develop a comprehensive revised policy and response to both sets of recommendations. A target date of July 1, 2011, was set for final implementation and the internal auditors approved of this plan of response.

Vice President Rao convened a Committee in 2009 to assess the management of the University’s Policy on COIC. The group included individuals from across the University with knowledge of conflicts of interest and commitment, the management, and procedures of our Policy on COIC. Two subcommittees were formed, one to examine the Policy on COIC per se and a Technology group to work on implementation of an electronic data collection system.

The COIC Policy Review Subcommittee began meeting biweekly beginning in late December 2009. Using the 2007 12-Point COIC Policy (which was heavily reviewed but never adopted) as a starting point, the committee completed their review and editing of the Conflict of Interest and Commitment Policy in August 2010. Significant effort focused on ultimately creating a consistent, organized, clearly defined document that would be flexible enough to meet the needs of academic staff across all campuses and university administration while clearly defining what does and does not constitute a conflict. Committee membership involved faculty, academic professionals, legal counsel, procurement, and administrators whose portfolios include COIC from the three campuses and UA. The faculty names were obtained from the Senates Conference leadership and it is our hope that the respective Senates and the Senate Conference will use this resource and the VPAA’s office as this important policy passages through the Senates. It is our hope that we can have final Senate Conference approval by May, 2011 so we can meet the target of July 1, 2011.

**COIC Policy Review Subcommittee Members:**
- Melanie Loots, Chair (Office of the Vice Chancellor for Research, Urbana)
- Dimitri Azar (Department of Ophthalmology and Visual Science, Professor and Head, Chicago)
- Michael Bragg (College of Engineering, Executive Associate Dean and Professor, Urbana)
- Kristine Campbell (Office of the Vice President for Academic Affairs, University Administration)
- Matt Finkin (College of Law, Professor, Urbana)
- Heather Haberaecker (Office of Business and Financial Services, Chicago)
- Deb Koua (Office of the Provost, AP, Springfield)
- Rebecca Lind (Office of the Vice Chancellor for Research, Chicago)
- Keith Miller (Department of computer Science, Professor, Springfield)
- Michael Moss (Office of Business and Financial Services, AP, Chicago)
- Lynn Pardie (Office of the Vice Chancellor for Academic Affairs, Springfield)
- Maxine Sandretto (Office of Business and Financial Services, University Administration)
- Alex Scheeline (School of Chemical Sciences, Professor, Urbana)
- Wayne Stahl (University Office of Human Resources, University Administration, AP)
- David Ucker (Department of Microbiology and Immunology, Professor, Chicago)
- Steve Veazie (University Counsel, University Administration)
COIC Technology Subcommittee
Summary Report

An important component of the COIC policy review is the possible implementation of an electronic data collection and conflict management system. The current paper process has served the University well for over two decades. However, given the central importance of the policy and increasing national attention to management of conflict issues in research, it is appropriate for the University to take a fresh look at available technologies to enhance the management, storage, and processing of conflicts of interest and commitment information.

The Technology Subcommittee worked in parallel with the COIC Policy Review Committee to examine current University procedures as well as software options. The decision to implement an electronic system was based on the recommendations of the Policy Review Subcommittee as well as recommendations from the Administrative Review and Restructuring Committee on Regulatory Burden and the Urbana Stewarding Excellence review of the Office of the Vice Chancellor for Research.

The goal of the subcommittee was to review the technology needs for data collection and management of the University’s “Policy on Conflicts of Interest and Commitment.” The committee began meeting in January 2010 and since then has performed the following steps:

1. Held initial meetings to discuss and mutually understand the diverse University business processes that involve data collection and management of COIC information.
2. Conducted stakeholder interviews and documented current processes for collecting and managing COIC information.
3. Analyzed the current processes to identify common attributes. This was used to create a framework of technical requirements in order to research the marketplace for candidate vended solutions.
4. The technical requirements framework was used to create a Request for Information (RFI) that was issued on March 23. The goal of the RFI was to solicit responses from vendors of COIC software and determine whether or not we could expect to find viable vended products in terms of meeting our diverse requirements.
5. Five responses were received; three vendors (Click Commerce, COI: Pilgrim Software, and Smart) were the most promising and demonstrated their products between April 12 & May 4.
6. An analysis of the products from the three vendors who presented was prepared and discussed at the May 27th committee meeting.
7. Based upon the results of the RFI, it appears that we can find a vended product that will meet the University’s diverse needs and funding has been identified through the Office of the Vice President for Academic Affairs.
8. A formal Request for Proposal (RFP) is in the final stages of distribution.
9. New electronic services can be in place by June 2011.

COIC Technology Subcommittee Members:
Michael Hites, Chair (Office of Administrative Information Technology Services, University Administration)
Kristine Campbell (Office of the Vice President for Academic Affairs, University Administration)
Roy Campbell (Department of Computer Science, Professor, Urbana)
Farokh Eslahi (Department of Information Technology Services, Office of the Provost, Springfield)
John Evans (Office of Planning and Budget, University Administration)
Dick Harris (Office of Administrative Information Technology Services, University Administration)
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Rebecca Lind (Office of the Vice Chancellor for Research, Chicago)
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