Conflict of Interest in Research – CRADAs

BRIEF

Policy Summary

Each Berkeley Lab employee participating in the conception, preparation, negotiation, approval, or execution of a Cooperative Research and Development Agreement (CRADA) must disclose a financial interest in any entity, other than the University of California, that has an interest in the CRADA.

Who Should Read This Policy

This policy primarily affects employees who have any involvement in CRADAs.

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

Research and Institutional Integrity Office
RIIO@lbl.gov

POLICY

A. Purpose

Lawrence Berkeley National Laboratory (Berkeley Lab) must ensure that the financial interests of its employees do not present a conflict of interest in the preparation, negotiation, or approval of a CRADA.

B. Persons Affected

This policy applies to employees involved in the preparation, negotiation, or approval of a CRADA.

C. Exceptions

The DOE contracting officer may approve exceptions.

D. Policy Statement

1. Each employee who has a substantial role in the preparation, negotiation, or approval of a CRADA (typically the principal investigator, division director or designee, OSPIP Manager, OSPIP Contracts Officer, Licensing Manager, Patent Department reviewer, and Laboratory Director) must disclose financial interests in any entity that has a substantial role in the CRADA. If an employee holds any...
financial interest in an entity related to the CRADA. Berkeley Lab must ensure that the employee does not have a substantial role (including an advisory role) in the preparation, negotiation, or approval of the CRADA.

2. Disclosures are required for all new and amendment CRADA proposals.

3. The Research and Institutional Integrity Office will review all disclosures of financial interest in a CRADA.

4. For CRADAs in which the partner is providing funds to Berkeley Lab, the Political Reform Act of 1974 also applies. In such cases, the principal investigator must also complete the Statement of Economic Interests for Principal Investigators (California Form 700-U). Additional financial disclosure rules may apply, depending on the origin of the partner’s funding.

E. Roles and Responsibilities

Each employee who has a substantial role in the preparation, negotiation, or approval of a CRADA is required to disclose financial interests in any entity that has a substantial role in the CRADA by completing an LBNL Cooperative Research and Development Agreement Statement of Economic Interest form.

The Research and Institutional Integrity Office manages the review process for disclosures of financial interest related to CRADAs, and coordinates review by the DOE contracting officer of any such disclosures.

F. Definitions/Acronyms

None

G. Recordkeeping Requirements

None

H. Implementing Documents

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<td>LBNL Cooperative Research and Development Agreement Statement of Economic Interest</td>
<td>Form</td>
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<tr>
<td>California Form 700-U</td>
<td>Statement of Economic Interests for Principal Investigators</td>
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I. Contact Information

Research and Institutional Integrity Office
RIIO@lbl.gov

Revision History

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<th>By Whom</th>
<th>Revision Description</th>
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Document Information

DOCUMENT INFORMATION

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Source Requirements Documents

Contract 31, Clause I.92 – DEAR 970.5227-3, Technology Transfer Mission

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