



Statement Regarding Research Sponsored by Industry

Approved by Katie Smith Sloan

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Title: President & CEO
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Date _____

LeadingAge

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LeadingAge welcomes industry-supported research agreements that advance its strategic interest in fostering innovation and adoption of effective programs and practices, while also providing valuable support for research studies. At the same time, LeadingAge recognizes the need to avoid arrangements that might compromise, or appear to compromise, its intellectual principles and the freedom of inquiry that LeadingAge investigators expect.

LeadingAge benefits from public research funds and the public's trust. Therefore, it has an obligation to develop its research discoveries with concern for the public's interest.

This document outlines some general principles concerning how and why LeadingAge conducts research. All research agreements funded by for-profit external sponsors (referred to, hereafter, as “industry-sponsored research agreements”) should conform to these principles.

1. **Free Exchange:** The exchange of information and the discussion and interchange of ideas are basic elements of all research.
2. **Role of LeadingAge Leadership:** LeadingAge’s senior leadership (e.g., President & CEO, COO, SVP, Research, etc.) should be consulted about the prospect of industry-sponsored research agreements. Potential concerns or special provisions in sponsorship agreements should be discussed prior to contract execution.
3. **Single Sponsor:** The support of a major research initiative by a single corporate sponsor is generally undesirable.
4. **Conflict of Interest:** LeadingAge investigators are expected to follow the general principles outlined by the LeadingAge conflict of interest form.
5. **Confidentiality:** The proscriptions on confidentiality in industry-sponsored research agreements must conform with proscriptions that apply to federally sponsored research. LeadingAge will not accept any involvement in a research project that inhibits free and open interactions among investigators.

LeadingAge recognizes that it may be appropriate to accept confidential background information from industry sponsors. Such disclosures should be minimized. Confidential background information should be made available only to those members of the research team who require that access.

Content compiled from “Safeguarding good scientific principles” of the Director General of the Research Councils and the Chief Executives of the UK Research Councils, 1998, the UK Biotechnology and Biological Sciences Research Council statement on “Safeguarding Good Scientific Practices” and the “Faculty of Medicine Statement on Research Sponsored by Industry” Harvard University.

LeadingAge and the principal investigator should assure the industry sponsor that the confidential nature of the information is understood by those who receive it.

LeadingAge should also undertake reasonable efforts to maintain the confidentiality of such information.

Acceptance of confidential background information must not be permitted to affect the ability of investigators to openly publish all the results of industry-sponsored research. Investigators may agree to omit confidential background information from publications so long as these omissions do not affect the reporting of research results and/or the ability of other scholars to replicate the published results.

6. **Scope of Work:** The scope of work of each industry-sponsored research project should include an appropriate level of support for statistical analysis, report writing and results distribution. Support for these activities, as described in the research agreement, must not be conditioned on the direction or magnitude of observed results.
7. **Information Availability:** General information on the subject, duration, scope of work, funding sources and budget of each industry-sponsored research agreement should be openly available, along with information on whether these agreements are associated with exclusive or nonexclusive patent agreements or any restrictions on open communication.
8. **Research Design:** Principal investigators at LeadingAge retain full responsibility for the design and conduct of industry-sponsored research programs. Investigators also retain the right to exercise flexibility in directing these research programs. Industry sponsors may consult with principal investigators on matters of mutual concern. However, industry sponsors may not dictate how research will proceed.
9. **Protocol Review:** Protocols for research to be funded by industry sponsors must be reviewed by the LeadingAge senior vice president of research in consultation with the principal investigator.
10. **Fieldwork:** As the research is conducted, LeadingAge will periodically provide the sponsor with the study's interim findings so that the sponsor can review it for potential commercial significance, such as the possibility of new patents. At no time, however, can this process interfere with progress of the study or other aspects vital to the study's integrity.
11. **Review of Manuscripts:** Industry-sponsored research agreements may permit industry sponsors to examine manuscripts for potential inventions or discoveries that warrant the filing of patent applications. With the principal investigator's approval, sponsors may be given sixty (60) days to review such manuscripts before they are

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submitted for publication. In this way, we strive for an optimal balance between intellectual property protection and timely reporting of results. LeadingAge recognizes that patent applications may need to be prepared and filed before publication of research findings. In these cases, the principal investigator may agree to delay, for an additional period of up to thirty (30) days, the submission of a manuscript for publication.

Industry-sponsored research agreements may not otherwise restrict the rights of investigators to publish their findings or communicate their research results freely and consistent with ethical and professional standards. Agreements will be considered unacceptable if they treat LeadingAge-based research as confidential, withhold publication, or permit industry sponsors to modify materials submitted for publication.