

Scott Y H Kim, MD, PhD

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## Education and Training

- 8/81 – 5/85 BA, Wheaton College, Wheaton, Illinois, *With Highest Honors*  
(Philosophy)
- 9/85 – 8/87, MD, Harvard Medical School  
9/92 – 6/94
- 9/87 – 8/93 PhD, *With Honors*, University of Chicago, (Philosophy; Dissertation--  
*Morality, Identity, and Happiness: An Essay on the Kantian Moral Life*;  
Christine Korsgaard, dissertation supervisor)

## Postdoctoral:

- 7/94 – 6/95 Intern in Medicine, Massachusetts General Hospital
- 7/95 – 6/98 Resident in Psychiatry, Massachusetts General Hospital
- 7/97 – 6/98 Chief Resident, Blake Inpatient Unit, Massachusetts General Hospital
- 7/98 – 6/01 National Research Service Award in Geriatric and Neuropsychiatric  
Psychopathology Research, University of Rochester, Department of  
Psychiatry

## Certification and Licensure

- 1999-2019 American Board of Psychiatry and Neurology (Psychiatry), May 1999
- 1996-1998 Massachusetts Board of Registration in Medicine, April 2, 1996
- 1998-2006 New York State Medical License, March 12, 1998
- 1996-present DEA License
- 2004-2017 Michigan Board of Medicine Physician License

2004-2017 Michigan Board of Pharmacy Controlled Substance License

2016-present Maryland Board of Physicians License (February 9, 2016)

### **Academic, Administrative, and Clinical Appointments**

7/1994 – 6/1995	Clinical Fellow in Medicine, Harvard Medical School
7/1995 – 6/1998	Clinical Fellow in Psychiatry, Harvard Medical School
7/1998 – 6/2001	Senior Instructor of Psychiatry, University of Rochester School of Medicine
7/1998 – 6/2001	Senior Instructor of Medical Humanities, University of Rochester School of Medicine
7/2001 – 1/2004	Assistant Professor of Psychiatry, University of Rochester School of Medicine
7/2001 – 1/2004	Assistant Professor of Medical Humanities, University of Rochester School of Medicine
7/2002 – 1/2004	Director, Program in Clinical Ethics, University of Rochester Medical Center
7/2002 – 1/2004	Director, Ethics Consultation Service, University of Rochester Medical Center
2/2004 – 8/2008	Assistant Professor of Psychiatry, University of Michigan Medical School
2/2004 – 2010	Core Faculty, Bioethics Program, University of Michigan Medical School
2/2004 - 2010	Investigator, Center for Behavioral and Decision Sciences in Medicine (formerly Program for Improving Health Care Decisions), University of Michigan Medical School
9/2008 – 8/2013	Associate Professor of Psychiatry, University of Michigan Medical School (tenured)
9/2013 – 6/2014	Professor of Psychiatry, University of Michigan (on leave)

7/2010 – 7/2013 Co-Director, Center for Bioethics and Social Sciences in  
Medicine, University of Michigan

7/2013 – Senior Investigator, Department of Bioethics, Clinical  
Center, National Institutes of Health (tenured)

7/2014 – Adjunct Professor of Psychiatry, University of Michigan

12/2015 – Adjunct Professor of Neurology, University of Rochester

## **Current Research Interests**

1. Assessment of decision-making capacity in persons with neuropsychiatric disorders.
2. Ethics of research involving significant risks, including sham surgery trials and gene transfer, with focus on measurement of quality of informed consent.
3. Ethics of comparative effectiveness randomized trials.
4. Informed consent for open ended use of research materials.
5. Physician-assisted death and psychiatric illness.

## **Grants**

PI: Gareth Owen  
Mental Health and Justice  
Collaboration Award in Humanities & Social Science  
Sponsor: Wellcome Trust, UK  
Dates: 1/1/2017-12/31/2011  
£2,500,000  
Role: **Key Collaborator**

PI: Neal Dickert, Emory University  
Reframing Research Informed Consent: A Function-Based Approach.  
Sponsor: Greenwall Foundation Presidential Grant  
\$16,700  
2/24/2015  
**Co-Investigator**

**PI: Scott Kim (R01-HG007172)** (submitted as PI, became Co-Investigator due to move to NIH)  
Multi-PI, with Tom Tomlinson  
Public Preferences for Addressing Donors' Moral Concerns about Biobank Research  
Sponsor: NIH

Dates: 12/1/13 - 12/30/16  
Proposed direct costs: \$1,210,000

PI: Arul Chinnayian (1UM1HG006508-01A1)  
Exploring Precision Cancer Medicine for Sarcoma and Rare Cancers  
Sponsor: NIH / NHGRI  
Proposed dates: 3/1/13-2/28/17  
\$9,708,949

**Co-Investigator**

PI: Arul Chinnaiyan, University of Michigan  
Title: Stand up to Cancer and Prostate Cancer Foundation Dream Team: Precision  
Therapy of Advanced Prostate Cancer  
Sponsor: American Association for Cancer Research  
9/1/12 – 8/31/15

**Co-Investigator**

PI: Scott Roberts, University of Michigan  
Funding source: University of Michigan Comprehensive Cancer Center (Discovery Fund)  
Preparing Research on Ethical and Psychosocial Issues in Cancer Genome Sequencing  
11/1/11-10/31/12, **Co-Investigator**

**PI: Scott Kim (R01-NS062770)**  
(Co-Investigator as of July 12, 2013, upon move to NIH)  
Therapeutic Misconception and the Ethics of Sham Surgery Controls in PD Research,  
Sponsor: NINDS  
3/1/09-2/28/13  
\$1,143,000 (approximate direct).

**PI: Scott Kim**  
Faculty Scholars Award in Bioethics  
Sponsor: Greenwall Foundation  
9/1/06-7/12/13  
\$293,000 (approximate direct).

**PI: Scott Kim (R01-AG029550)**  
Ethics of Surrogate Consent for Dementia Research  
Sponsor: NIA  
9/15/07-6/30/11  
\$1,092,000 (approximate direct)

PI: Charles Lidz (1RC1NR011612-01) University of Massachusetts  
The Blurring of Treatment and Research in Clinical Trials: two problems,  
Sponsor: NINR

9/28/2009-07/31/2011

**Co-Investigator**

PI: Barton Palmer, UCSD (R01 AG028827-01)

Enhancing Consent for Alzheimer Research

Sponsor: NIA

09/01/06 - 06/30/11

**Co-Investigator**

**PI: Scott Kim (R01-MH075023)**

Capacity to Appoint a Proxy for Dementia Research

Sponsor: NIMH

9/1/05-8/31/10

\$984,000 (approximate direct).

PI: Julia Abelson, McMaster University

Public Deliberation, Ethics and Health Policy Symposium: Advancing a New Research Field

Sponsor: Canadian Institutes of Health Research Public Deliberation, Ethics and Health Policy Symposium, 9/2009-8/2010, **Co-Investigator**.

PI: Susan Goold, University of Michigan

Public Deliberation, Ethics and Health Policy Symposium: Advancing a New Research Field.

Sponsor: University of Michigan Center for Ethics in Public Life Program Grant

9/2009-8/2010

**Co-Investigator**.

PI: Israel Liberzon (R25MH063742)

Mental Health Education Grant

Sponsor: NIMH

9/1/06-8/30/11

\$1,060,000 (approximate direct)

**Co-Investigator**

**PI: Scott Kim (K23-MH64172)**

Assessing Competence to Consent in Schizophrenia Research,

Sponsor: NIMH

9/1/2001- 12/31/2007

\$799,990 (approximate direct).

PI: Susan Goold (T15-HL72514-01A1)

Valid Consent and Refusal: Core Competency for Research

NHLBI

8/1/04-9/30/07

\$863,226 (approximate direct).

## Co-investigator

### **PI (ethics pipeline project): Scott Kim**

Measuring and Explaining PD Patients' Participation Preferences Regarding Phase I Studies in Gene Transfer Therapy, Pipeline Project VIII of Parkinson's Disease Gene Therapy Study Group, U54-NS45309, (PI: Howard Federoff)

**Sponsor:** NINDS

9/1/02-8/31/07

\$405,461 (approximate direct for the ethics project).

### **PI: Scott Kim**

Competence of Persons with Alzheimer's Disease to Consent to Research and Treatment  
Sponsor: American Association for Geriatric Psychiatry Pfizer-Eisai Alzheimer's Disease Research Fellowship

1999-2001

\$100,000 (direct)

### **PI: Scott Kim**

Competence and Dementia

Stuber Fellowship

Sponsor: University of Rochester School of Medicine and Dentistry

1999-2000

\$21,000 (direct)

## Honors and Awards

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|---------|--|
| 1987-93 | Fellow in the Pew Program in Medicine, Arts, and the Social Sciences<br>University of Chicago, for doctoral studies in philosophy.   |
| 1991-92 | Spencer Foundation Dissertation Fellowship, Spencer Foundation, for<br>dissertation research support.  |
| 1991    | Mellon Foundation Summer Research Fellowship, University of Chicago  |
| 1991    | University of Chicago Humanities Division Fellowship   |
| 1997    | NIMH Program for Minority Research Training in Psychiatry, Mini-<br>fellowship, for mentoring and attendance of APA meetings and research<br>training activities.                        |
| 1997    | Fellow, NIMH-AAGP (National Institute of Mental Health-American<br>Association for Geriatric Psychiatry) Summer Research Institute in<br>Geriatric Psychiatry, University of Washington. |

- 2003 Keynote Speaker (selected by medical students), Class of 2005 Student Clinician Ceremony, University of Rochester School of Medicine and Dentistry, September 24, 2003.
- 2006 Academy of Psychosomatic Medicine Dorfman Award for Best Article for Original Research.
- 2012 Academy of Psychosomatic Medicine, Annual Research Award.

### **Memberships and Offices in Professional Societies**

- 1995-2010 American Psychiatric Association
- 1995-1998 Massachusetts Psychiatric Society
- 1995-1998 Massachusetts Medical Society
- 1998-present American Society for Bioethics and Humanities
- 1999-present American Association for Geriatric Psychiatry  
Member, Annual Meeting Programs Committee 1999-2002  
Chair, Annual Meeting Roundtables Subcommittee, 2000-2001
- 2010-present Academy of Psychosomatic Medicine
- 2000-2008 Society for Medical Decision Making  
Ethics Research Interest Group Coordinator (with Peter Ubel) 2003-2008
- 2002-2004 American Philosophical Association
- 2002-2004 International College of Geriatric Psychoneuropharmacology

### **Editorial Boards and Peer-Review Service**

#### Editorial Boards and Editorial Duties

- Journal of Empirical Research on Human Research Ethics, Editorial Board  
Member, 2006-present
- American Journal of Bioethics, Editorial Board Member, 2007-2009
- BMC Psychiatry Editorial Board, Associate Editor, 2008-2010
- BMC Medical Research Methodology, Associate Editor, 2011-2012

#### Reviewer of Manuscripts

- Aging Clinical and Experimental Research, Alzheimer Disease and Associated Disorders, American Journal of Bioethics, American Journal of Geriatric

Psychiatry, American Journal of Psychiatry, Annals of Internal Medicine (cited top 10% reviewer, 2009), Annals of Oncology, Archives of Internal Medicine, Bioethics, Biological Psychiatry, BMC Medical Ethics, Cambridge University Press, Circulation, Clinical Neurology and Neurosurgery, Clinical Trials: Journal of the Society for Clinical Trials, Drugs & Aging, European Neuropsychopharmacology, Families Systems and Health, International Journal of Alzheimer's Disease, International Journal of Geriatric Psychiatry, International Psychogeriatrics, IRB: Ethics and Human Research, Journal of Alzheimer's Disease, Journal of Aging & Social Policy, Journal of Behavioral Decision Making, Journal of Clinical Ethics, Journal of Clinical Oncology, Journal of Empirical Research in Human Research Ethics, Journal of General Internal Medicine, Journal of Geriatric Psychiatry and Neurology, Journal of Medical Ethics, Journal of Pain and Symptom Management, Journal of Psychosomatic Research, Lancet, Movement Disorders, Neurology, New England Journal of Medicine, Philosophy Ethics and Humanities in Medicine, Psychiatric Services, PLoS ONE, Psychopharmacology, Psycho-Oncology, Psychosomatics, Schizophrenia Bulletin, Schizophrenia Research, Science

### Grants Reviewer

#### NIH Study Sections

- NIH Special Emphasis Panel on Research Ethics, 2001-2002, and 3/5/04, 6/29/04, 6/24/05, 6/19/08, 1/22/09
- NIMH Special Emphasis Panel ZMH1 ERB-Q, 4/26/06
- NIMH Special Emphasis Panel ZMH-ERB1 and ERB3, 3/12/07 and 3/29/07
- NIH Special Emphasis Panel/Scientific Review Group ZRG1 HDM-P (58), July 2009
- NIH Special Emphasis Panel ZRG1 CRE, 10/15/2010
- NIH Special Emphasis Panel ZRG 1 HDM B 55, 10/15/2010
- NIH ZRG SEIR, 6/9/2011 Ad hoc
- NIH ZRG SEIR, 2013-2016, regular member.

#### International Organizations

- ZonMw – the Netherlands Organisation for Health Research and Development, 2007
- Wellcome Trust – United Kingdom, 2009-present
- Catalan Agency for Health Technology Assessment and Research (CAHTA) – Spain, 2009
- Genome Canada, Reviewer for Large Scale Applied Research Project competition, 2010
- German Research Foundation (Deutsche Forschungsgemeinschaft, DFG), 2015
- The Research Foundation – Flanders (Fonds Wetenschappelijk Onderzoek - Vlaanderen, FWO) Belgium, 2016



### Other

- Alzheimer's and Related Disorders Research Award Fund, Commonwealth of Virginia, 2004.
- Alzheimer's Disease Center Pilot Grants, University of Arkansas, 2004.
- Michigan Institute for Clinical and Health Research (MICHR) Pilot and Collaborative Grant, 2007
- Faculty Grants and Awards reviewer, University of Michigan, 2012

### Other

- Workshop Co-Chair, "Proxy and Surrogate Consent in Geriatric Neuropsychiatric Research: Informing the Debate," NIMH Workshop, July 1, 2002, Bethesda, Maryland.

## **Teaching**

### Medical Students and Undergraduates

- 1992 Teaching Fellow, "Freud and Lewis: Two Contrasting World Views" (undergraduates), Harvard College.
- 1997-1998 Supervision of medical students as Chief resident, Massachusetts General Hospital
- 1998 Fall, Medical Humanities Seminar: "Old Age: Successful and otherwise" (2 hours/week, 6 weeks), University of Rochester
- 1998-1999 Associate Director, Psychiatry Clerkship, University of Rochester
- 1998-1999 Faculty small group leader, Introduction to Clinical Medicine—Psychopathology Interview Seminar (2 hours/week, 12 weeks), University of Rochester
- 1999-2000 Ambulatory Care Clerkship—Specialties Curriculum Design Team, University of Rochester School of Medicine
- 1998-2001 Preceptor, Psychiatry Clerkship (10 contact hours/week), University of Rochester
- 1998-2001 Case Conference for Psychiatry Clerks (6 hours/year), University of Rochester

- 1998-2002 Ethics, Law, Medicine Integration Conferences for Medical Students (3 hours/session, 2-3 sessions per year), University of Rochester
- 1998 Integration Conference Small Group Leader, “Dementia Evaluation and Care: A Team Approach” (3 hours, 10/9/00), University of Rochester
- 2000 Fall Semester, Medical Humanities Seminar: “The Social Role of the Physician: Contemporary Challenges” (2 hours/week, 8 weeks), University of Rochester
- 2000 Spring, Medical Humanities Seminar: “The Family: Ethical and Clinical Perspectives” (2 hours/week, 8 weeks), University of Rochester
- 2000-2001 Ethics, Law, Medicine Theme Curriculum Design Team (2hrs/every three weeks), University of Rochester
- 2001 Fall Semester, Medical Humanities Seminar: “Changing Times: Professionalism and Conflicts of Interest” (2 hours/week, 8 weeks), University of Rochester
- 2001-2003 “Conflicts of Interest: Ethics and Social Psychology,” with Steven Posavac, Ph.D. Lecture for Mind, Brain, Behavior II, Basic Science Block, 3 hours, 4 times/year, University of Rochester
- 2002 Medical Humanities Seminar: “Autonomy at the Bedside: The Limits and Strengths of the Central Concept in American Bioethics,” taught with Amy Campbell, JD, MA, Fall Semester (2 hours/week, 8 weeks), University of Rochester
- 2002 Comprehensive Assessment, Video Vignette Examination evaluator, 4 hours, University of Rochester
- 2002 Ambulatory Care Clerkship, Small group session on cultural diversity, 2 hours, University of Rochester
- 2002 Comprehensive Assessment, Videotape Review Session, 2hours, University of Rochester
- 2002-2003 Selection Committee, Fellowship in Medical Humanities, University of Rochester School of Medicine
- 2004 “What is Research Ethics?” Lecture for Undergraduate Research Opportunity Program, University of Michigan, November 17 (undergraduates)

- 2004 Comprehensive Clinical Assessment, Psychiatry Component, for 3<sup>rd</sup> year UM Medical Students (4 hours)
- 2004 “How Concerned Should We Be About ‘Vulnerable’ Patients Entering High Risk Research Studies?” Decision Consortium Seminar (Psychology 808, University of Michigan), April 8.
- 2004-present Mental Status Examination Interview and Teaching Session, for 2<sup>nd</sup> year UM Medical Students (2.0 hours)
- 2005 Medical Student Psychiatry Forum, University of Michigan Medical School (1 hour, 4/19/05)
- 2005 Comprehensive Clinical Assessment, Psychiatry Component, for 3<sup>rd</sup> year UM Medical Students (4 hours)
- 2007 “What is Bioethics?” Lecture for Undergraduate Research Opportunity Program, University of Michigan, January 25 (undergraduates).
- 2007 “Do Research Participants Make Decisions According to Bioethicists’ Normative Categories?” Decision Consortium Seminar (Psychology 808, University of Michigan), April 12.
- 2007-present “Overview of Research Ethics,” Sociology of Bioethics (Sociology 486, 495) (1.5 hours), University of Michigan, Department of Sociology
- 2008-2009 “What makes clinical research ethical?” Issues in Public Health Ethics (HBEHED610), UM School of Public Health (1.5 hours)
- 2009 “Research Ethics and Integrity,” MedSOAR Program for undergraduates, UM Medical School, June 10 (1.0 h).
- 2009 “Ethical and Clinical Issues at the End of Life,” (with Maria Silveira), M2 Elective Seminar, University of Michigan Medical School (6 hours contact time)
- 2010 “Privileges and Obligations of Doctors and Medical Schools: Conflicts of Interest” (with Ray De Vries), M2 Elective Seminar, University of Michigan Medical School (6 hours contact time)
- 2010 “Overview of Clinical Research Ethics,” Guest Lecturer, Behavioral Research Methods in Public Health (HBEHED 620), UM School of Public Health (1.5 hrs)

- 2010 “Research Involving Adults with Impaired Decision-Making Capacity,” HMP 540 Legal Rules and Ethical Issues for Clinical Research, University of Michigan School of Public Health, Dec 16, 2.0 hours
- 2012- Medical Scientist Training Program Career Advisory Panel, University of Michigan Medical School
- 2013 “Research Involving Adults with Impaired Decision-Making Capacity,” HMP 540, University of Michigan School of Public Health, January 11, 4.0 hours
- 2013 “Decision-making capacity” video module for Advanced Medical Therapeutics, M4 Online course, University of Michigan Medical School.

Residents/Fellows

- 1998-2004 Preceptor, one resident/year (1 hour/week), University of Rochester
- 1998-2001 Consultation Service preceptor/attending psychiatrist (5-10 contact hours/week), University of Rochester Medical Center
- 1998 Resident Luncheon Seminar lecture: “Catatonia” (1 hour), University of Rochester
- 1998-2004 Faculty Mock Boards Examiner (4 hours/year), University of Rochester
- 1998-2003 Residency Applicant Interviewer (1-2 interviews/week during interview season), University of Rochester
- 1998-2002 Faculty Discussant, Residents’ Morning Report (2.5 hours/week, one month per year), University of Rochester
- 1999-2000 Psychiatric Issues in Dental Practice Lectures, Eastman Dental Center
- 2001 Biweekly Residents’ Case Conference (June-August), University of Rochester
- 2001-2003 Residents’ Case Conference, Rochester Psychiatric Center (3 afternoons/year)
- 2001 Resident Luncheon Seminar Lecture: “Conflicts of Interest and Science” (1 hour), University of Rochester

- 2002 Individualized Ethics Curriculum (L. Profenno, 4 hours contact time), Department of Psychiatry Residency Program, University of Rochester
- 2003 Neurology Resident Seminar Series Lecture: “Social Psychology of Pharmaceutical Marketing” (1 hour contact time), University of Rochester
- 2003 Psychiatry Resident Luncheon Seminar Lecture: “Ethics of Pharmaceutical Company Influence on Creation, Interpretation, Dissemination, and Utilization of Clinical Knowledge” (1 hour contact time), University of Rochester
- 2003 Ethics of Clinical Research, Research Seminar Series, University of Rochester Clinical Research Program (1 hour contact time)
- 2003 GI Fellows Seminar, Strong Memorial Hospital, on Informed Consent
- 2004 Faculty Consultation Clinic, Department of Psychiatry, University of Michigan Medical School (Supervision of residents, 4 hours/week).
- 2004 “Early Career Issues in Academic Psychiatry,” a talk for Research Track and Clinical Scholar Track Residents, Department of Psychiatry, University of Michigan Medical School (4/12/04, one hour)
- 2004 Mock Board examiner. Department of Psychiatry, University of Michigan Medical School (5/20/04).
- 2004 “Financial conflict of interest and the debate over safety and efficacy of antidepressants for childhood and adolescent depression.” Session with residents, Department of Psychiatry, University of Michigan Medical School (6/10/04, 2 hours)
- 2004 “Career in Bioethics Research,” Research Track/Clinical Scholar Track Resident Seminar, Department of Psychiatry, University of Michigan Medical School (12/6/04, one hour)
- 2005- Resident Supervision, Psychiatry Ambulatory Clinic, University of Michigan (1-2 hours/week)
- 2005- Psychiatric Ambulatory Clinic, Team Leader (with M. Valenstein, MD, Kevin Kerber, MD), 4hours/week, University of Michigan
- 2005-2006 Mock Board examiner. Department of Psychiatry, University of Michigan Medical School (2 hours, annual)

- 2005 “Academics’ Relationships with the Industry,” Research Track/Clinical Scholar Track Resident Seminar, Department of Psychiatry, University of Michigan Medical School (5/16/05, one hour)
- 2005 Faculty, Clinical Scholars and Residency Research Tracks Annual Retreat, Department of Psychiatry, University of Michigan, September 23-24
- 2006-2010 Assistant Director, Research Track Residency Program, University of Michigan Department of Psychiatry
- 2006 Adult Inpatient Unit Case Conference, December 8, 1.5 hours.
- 2006 “Research Involving Persons with Impaired Decisional Capacity,” Internal Medicine 608 Research with Special Populations, 1.5 hours.
- 2007 “Assessment of Decision-Making Capacity in the Elderly,” Geriatric Psychiatry Fellowship Program, University of Michigan (2/7/07, one hour)
- 2007 “Decision-Making Capacity,” CL Service Didactic Session, one hour.
- 2007- Faculty Advisor to PGY-IV Residents’ Senior Presentations (Five 1.5 hour sessions per year)
- 2008 “Assessment of Decision-Making Capacity,” PGYII Core Lecture, 3/4/2008, one hour.
- 2008 “Capacity Assessment in Geriatric Psychiatry,” Geriatric Fellows Core Lecture, 4/16/08, one hour
- 2009 “Assessment of Decision-Making Capacity,” PGYII Core, 9/29/09, 1.5h.
- 2009 “Research Involving Persons with Impaired Decisional Capacity,” Internal Medicine 608 Clinical Research Involving Special Populations, 1.5 hours.
- 2010 Adult Inpatient Unit Case Conference (Hospital Huddle), February 12.
- 2010 “Assessment of Decision-Making Capacity,” PGYII Core, 8/24/10, 1.5h.
- 2010 “How to Review a Journal Manuscript,” Psychology Post-Doctoral Fellows, University of Michigan Department of Psychiatry, October 20, 2010
- 2012 “Review of Core Ethical Principles in Research Ethics,” Research Literacy Series, Department of Psychiatry, University of Michigan, June 4.

2014- "Assessment of Decision-Making Capacity," First Year Seminar, Department of Bioethics Fellowship. Annual.

Other Teaching, Intramural (grand rounds, CME, etc)

1998 "Method and Madness in Capacity Evaluations: An Empirical Review," Ethics Grand Rounds, Strong Memorial Hospital.

1998 "Remembering the Clinical in Clinical Ethics Consultations," Ethics Grand Rounds, Rochester General Hospital, Rochester, NY, Fall

1999 "Does bioethics have adverse side effects?" Biopsychosocial Medicine Study Group, University of Rochester, December 3.

1999 "Dementia and Competence," Grand Rounds, Department of Neurology, University of Rochester, November 12.

2000 "Competency Evaluations," Interdisciplinary Ethics Rounds, Strong Memorial Hospital, October 11.

2000 "Self-determination theory and Clinical Ethics: Possibilities for Collaboration," Biopsychosocial Medicine Study Group, University of Rochester, November 3.

2001 "Retrospective Decisional Incapacity: A Case Study of an Apparently Capable Patient," Interdisciplinary Ethics Rounds, University of Rochester Medical Center, September 12.

2001 "Inseparability of Science and Ethics," Grand Rounds, Department of Psychiatry, University of Rochester Medical Center, October 10.

2002 "Assessing Decisional Capacity in a General Hospital," Grand Rounds, Department of Medicine, Rochester General Hospital, January 10.

2002 "Assessing Decisional Capacity: Practical Aspects," Ethics Grand Rounds, Rochester General Hospital, January 29.

2002 "Ethics and Science," Grand Rounds, Rochester Psychiatric Center, March 4.

2002 "Medical decision-making capacity in persons with severe psychiatric illnesses." Grand Rounds. Elmira Psychiatric Center, Elmira, New York, August 1.

2002 Guest Lecturer for NUR 353 "Health Policies and Decision Making in Health Care Systems," University of Rochester School of Nursing

- 2002-2003 “Physician and Patient as Consumers of Pharmaceutical Marketing,” guest lecturer at William Simon School of Business, University of Rochester, Marketing 433-31 and 433-90, “Advertising and Sales Promotion.” 4 contact hours per year.
- 2003 “Ethics of Early Phase Clinical Trials,” Rochester Clinical Research Curriculum, University of Rochester Medical Center, February 18, 2003.
- 2003 “Ethics of Conducting Research with Decisionally Impaired Persons,” Bioethics Seminar, Program in Bioethics, University of Michigan, March 25.
- 2003 “The Social Psychology of Pharmaceutical Marketing to Physicians: Are Psychiatrists Susceptible to Influence and Why Should They Care?” Department of Psychiatry Grand Rounds, University of Rochester Medical Center, April 16.
- 2003 “Pharmaceutical Marketing in Psychiatry” Seminar, Strong Ties Program, University of Rochester, August 4.
- 2003 “What is an ethics consultation and how can it help patient care?” Surgical Grand Rounds, University of Rochester Medical Center, October 31.
- 2003 “Psychiatrically Informed Conception of Autonomy.” Clinical Case Review Discussant Presentation, Department of Psychiatry, University of Rochester Medical Center, December 18.
- 2004 “Social Psychology of Pharmaceutical Marketing: Are Psychiatrists Susceptible?” Department of Psychiatry Grand Rounds, Ann Arbor-VA Hospital, Ann Arbor, MI, October 26.
- 2004-2007 “Public Health Ethics, Varieties of Ethical Discourse, and Ethical Theories.” Lecture for Mini-Course in Public Health Ethics, School of Public Health, University of Michigan (Annual, 2 hour lecture)
- 2005 “Assessment of Decision-Making Capacity in the General Hospital: Myths, Theory, and Practice.” Bioethics Grand Rounds, University of Michigan Hospitals and Health Centers, January 26, 2005.
- 2007 “Does Bioethics Have Any Adverse Side Effects?” Bioethics Grand Rounds, University of Michigan Hospitals and Health Centers, January 31, 2007.



- 2007 “Research Involving Adults Lacking Decision-Making Capacity,” Neurology Grand Rounds, University of Michigan, March 7, 2007.
- 2008 “Are Patient Subjects of Early Phase Clinical Trials Altruistic? Should They Be?” Invited Ethics Lecture, 28<sup>th</sup> Annual Graduate Student Symposium in the Pharmacological Sciences and Biorelated Chemistry, University of Michigan, March 14.
- 2008 “Why Minimal Risk Research Should Not Be Regulated.” Invited talk to IRBMED, University of Michigan, 3/20/08.
- 2009 “Physician Assisted Death and the Psychiatrist: An Update,” Psychiatry Grand Rounds, University of Michigan, October 21.
- 2010 “When Theory Meets Reality: Competence, Informed Consent, and Dementia Research.” University of Michigan Bioethics Research Colloquium, May 21.
- 2010 “Is the ‘Therapeutic Misconception’ a Misconception?” Center for Bioethics and Social Sciences in Medicine Seminar Series, December 1.
- 2011 “Decision-Making Capacity Assessment in the General Hospital,” University of Michigan Health System Ethics Committee, March 15.
- 2013 “Do Patients and Research Subjects Think Like Bioethicists?” Center for Bioethics and Social Sciences in Medicine Seminar Series, January 17.
- 2013- “Research Involving Persons at Risk for Impaired Decision-Making.” Lecture for Course: Ethical and Regulatory Aspects of Clinical Research,” Clinical Center, NIH. Annual.
- 2014 Problems of Therapeutic Misconception. Bioethics Interest Group, NIH
- 2015 “Equipose and Ethics of Clinical Trial Design,” NIH Clinical Center Grand Rounds, August 26, 2015.
- 2015- “Ethics of Pragmatic Comparativeness Effectiveness Trials,” Lecture for Course: Ethical and Regulatory Aspects of Clinical Research,” Clinical Center, NIH. November 18, 2015.
- 2015 “Current and Future Ethical Issues in Mental Health Research,” NIMH Executive Committee. November, 19, 2015.
- 2016 Physician Assisted Death: Lessons from the Netherlands (and Belgium), Bioethics Interest Group, NIH. March 7.

2016 Ethics of Pragmatic RCTs. Special Review Branch, Extramural Division, National Cancer Institute. March 18.

Other Teaching, Extramural (including national settings)

1997 “Ethical Decision-Making in Caring for the Terminally Ill,” World AIDS Day Conference, Tewksbury Hospital, Tewksbury, MA.

2001 “Ethics of Advance Care Planning,” 3rd Annual Symposium of the Finger Lakes Geriatric Education Center and the Community Coalition for Long Term Care, Monroe Community Hospital, Rochester, NY, March 22.

2001 “Researcher and Institutional Financial Conflicts of Interest in Clinical Research,” Seventeenth Annual Western Institutional Review Board Training Seminar, Seattle, Washington, August 24.

2002 “Decision-making capacity and dementia,” Chronic Care Networks for Alzheimer's Disease Initiative, Upstate New York, Canandaigua VA Hospital, Canandaigua, New York, July 18.

2004 Faculty Member, Summer Research Institute in Suicide Prevention, University of Rochester Medical Center, (June 8). Taught session on “Ethical Issues in Suicide Prevention Research.” (NIMH R25 grant, PI Eric Caine)

2004 Faculty Member, Summer Research Institute in Geriatric Psychiatry, July 26. Taught session on “Research Ethics and Conflicts of Interest.” (NIMH R25, Dilip Jeste, PI), Durham, North Carolina

2004 Decisional Capacity in the Elderly: Current State of Knowledge and Challenges in Assessment. Keynote Presentation for Decisional Capacity in the Elderly Conference, Sponsored by VA Greater Los Angeles Healthcare System, August 27.

2004 “Decisional Capacities in Schizophrenia.” Forensic Lecture Series, Center for Forensic Psychiatry, Department of Community Health, State of Michigan, Ann Arbor, MI, October 15.

2004 “Decision-making capacity.” Ethics Committee, St. Joseph’s-Mercy Hospital, Ypsilanti, MI, December 10.

2006 Faculty Mentor, Junior Investigators’ Colloquium, American Psychiatric Association Annual Meeting, May 21.

- 2006 Faculty, Early Research Career Breakfast, 159<sup>th</sup> Annual Meeting, APA, Toronto, May 23.
- 2007 Faculty, Early Research Career Breakfast, 159<sup>th</sup> Annual Meeting, APA, San Diego, May 22.
- 2007 “Ethical Issues in Research Involving Persons with Impaired Decision-Making Capacity.” Grand Rounds, Department of Psychiatry, University of Alabama, September 18.
- 2008-2011 “Ethical Issues in Phase I-II Clinical Trials,” Faculty Member, NINDS Clinical Trial Methods Course in Neurology, Vail, CO.
- 2008-present Ethical Controversies in PD Research. Clinical Research Learning Institute, Parkinson Disease Foundation. July 11, 2008, October 16, 2009, October 21, 2010, October 21, 2011, March 8, 2012, March 7, 2014, March 12, 2015.
- 2009 “Ethical Issues in Clinical Neurotherapeutics Research,” Faculty Member, Fundamentals of Clinical Trials Course at American Society for Experimental NeuroTherapeutics, Washington, DC, March 17.
- 2010 “Capacity to Appoint a Research Proxy,” Ethics Grand Rounds, National Institutes of Health, Bethesda, May 19.
- 2012 “Improving Your Skills in Empirical Ethics: From Apprentice to Artisan,” Preconference Workshop Course, Annual Meeting of the American Society for Bioethics and Humanities, Washington, DC, October 18 (with Kevin Weinfurt, Raymond De Vries, Melissa Constantine, Renee Anspach, Jennifer Walter, and Jill Fisher)
- 2013 “Writing Winning Aims for Bioethics Research: A Hands-On Experience,” Preconference Workshop Course, Annual Meeting of the American Society for Bioethics and Humanities, Washington, DC, October 24 (with Jon Tilburt, Douglas White, Amy McGuire)
- 2015 “Physician Assisted Death for Psychiatric Disorders,” Contemporary Freudian Society, Washington, DC, September 20, 2015.

*Post-Doctoral Fellow and Other Mentoring*

- 2003-2004 Samuel Frank, MD (University of Rochester, Neurology; now on faculty at Boston University)

- 2004-2006 Jordana Muroff, PhD (University of Michigan, Center for Behavioral and Decision Sciences in Medicine; now on faculty at Boston University)
- 2005-2006 Cheryl Mccullumsmith, MD, PhD (University of Michigan, Department of Psychiatry, now on faculty at University of Alabama)
- 2008-2010 Stephanie Solomon, PhD (University of Michigan Institute for Clinical and Health Research, now on faculty at St. Louis University)
- 2009-2012 Naomi Lavalentha, MD (Lecturer, Department of Pediatrics, University of Michigan)
- 2010-2013 Darin Zahuranec, MD (Assistant Professor, Department of Neurology, University of Michigan)
- 2011-2012 Melissa Constanine, PhD (Postdoctoral Fellow, Center for Bioethics and Social Sciences in Medicine, University of Michigan)
- 2011-2013 Lisa Seyfried, MD (assistant professor of psychiatry, University of Michigan)
- 2012-2013 Michele Gornick, PhD (Postdoctoral Fellow, Center for Bioethics and Social Sciences in Medicine, University of Michigan)
- 2013-2015 Rahul Nayak (Predoctoral Fellow, Department of Bioethics, NIH)
- 2014- Stephanie Chen (Predoctoral Fellow, Department of Bioethics, NIH)
- 2015- Samuel Doernberg (Predoctoral Fellow, Department of Bioethics, NIH)

## **Committee and Organizational Service**

### Department

- 2001-2003 Residency Selection and Promotions Committee, Department of Psychiatry, University of Rochester School of Medicine and Dentistry
- 2002 Chair, Task Force on Pharmaceutical Industry and Residency Education, Department of Psychiatry, University of Rochester School of Medicine and Dentistry
- 2004-2010 Adverse Events Committee, Department of Psychiatry, University of Michigan Medical School

- 2004- Interviewer, Adult Psychiatry Residency Program, University of Michigan Medical School
- 2004-2005 Careweb Firewall Task Force, Department of Psychiatry, University of Michigan
- 2004- Waggoner Lectureship Committee, Department of Psychiatry, University of Michigan
- 2008-2011 Appointments and Promotions Committee, Department of Psychiatry, University of Michigan

*Medical School and Hospitals and University*

- 1997-1998 Executive Committee on Teaching and Education, Massachusetts General Hospital
- 1998 Ad hoc Internal Review Committee of the Psychiatric Residency, Medicine and Psychiatry Residency, Forensic Psychiatry Fellowship, Geriatric Psychiatry Fellowship programs, University of Rochester Medical Center
- 1995 – 1998 Optimum Care Committee, Massachusetts General Hospital (Ethics Committee)
- 1998 – 2004 Member, Ethics Consultation Service, Strong Memorial Hospital
- 1998 – 2004 Member, Patient Care Ethics Committee, Strong Memorial Hospital
- 1999-2003 Medical Student Promotions and Review Board (MSPRB), University of Rochester School of Medicine and Dentistry
- 2000 Task Force on Double Helix Curriculum Policies on Grading, AOA, and Dean’s Letter Groupings, University of Rochester
- 2001 Dean’s Task Force for Clinical Strand Review of the Double Helix Curriculum, University of Rochester School of Medicine
- 2002 Task Force on Program in Clinical Ethics, University of Rochester
- 2002 – 2004 Co-Chair, Patient Care Ethics Committee, University of Rochester Medical Center

- 2002-2003 Chair, Research Subjects Review Board #02 (Institutional Review Board), University of Rochester
- 2002-2003 Member, Research Subjects Review Board, University of Rochester
- 2003 Conflict of Interest Advisory Group, University of Rochester Medical Center
- 2003-2004 University of Rochester Medical Center Strategic Planning Committee on Clinical Research
- 2003-2004 Chair, Dean's Task Force on Program in Ethics and Health Policy for the Rochester Institute for Clinical and Community Health Sciences (RICCHS)
- 2007-2013 Human Pluripotent Stem Cell Research Oversight Committee (formerly Embryonic Stem Cell Research Oversight Committee or ESCRO), University of Michigan.
- 2013- Member, Clinical Center Ethics Committee, National Institutes of Health
- 2014- Member, National Institutes of Health CNS Institutional Review Board.

Regional

- 1997 1998 Bioethics Consultant, Tewksbury Hospital, Tewksbury, Massachusetts
- 1999-2004 Bioethics Consultant, Rochester Psychiatric Center
- 2006-2010 Member, Michigan Psychiatric Society Ethics Committee

National

- 1999-2004 Member, Scientific Advisory Board for Systematic Treatment Enhancement Program for Bipolar Disorder (STEP-BD), National Institute of Mental Health
- 2000 Ethics Committee, Clinical Antipsychotic Trials of Intervention Effectiveness (CATIE), National Institute of Mental Health.

- 2001 Consultant to Institute of Medicine's Committee on Pathophysiology and Prevention of Adolescent and Adult Suicide. Invited presentation, "Ethical Issues in Suicide Prevention Clinical Trials." September 5.
- 2001-2002 Consultant, Task Force to Update the Annotations of the Code of Ethics, American Psychiatric Association.
- 2001-2003 Consultant, Research Ethics Task Force, American Psychiatric Association
- 2002-2005 Member, Task Force to Update the Annotations of the Code of Ethics, American Psychiatric Association
- 2002-present External promotions reviewer for University of California San Diego, Duke University, University of Rochester, University of Virginia, King's College London, Cornell Weill Medical College.
- 2002, 2004 Member, Examination Editorial Board, FOCUS: The Journal of Lifelong Learning in Psychiatry, Self-Assessment Examination 2003, 2005
- 2003-2008 Steering Committee, Study of Anti-Depressants in Parkinson's Disease (SAD-PD), NIH grant NS046487, Irene Richard, Principal Investigator
- 2003 Vice Chair, Task Force to Update the Annotations of the Code of Ethics, American Psychiatric Association
- 2004 Consultant to Institute of Medicine's Committee on Adapting the *Crossing the Quality Chasm* Report to Mental Health and Addictive Disorders
- 2004-2006 Consultant to American Psychiatric Association Ethics Committee
- 2007-2009 Member, Academic Advisory Group and Academic Advisory Board, Scattergood Program for the Applied Ethics of Behavioral Health, University of Pennsylvania
- 2009-present Member, Huntington Study Group, Bioethics Review Committee
- 2009, 2010 Research Ethics Subcommittee Chair, American Society for Bioethics and Humanities Annual Meeting
- 2009-12 Advisory Committee, Ethics of Control and Consent in Brain Stimulation for Parkinson Disease, (NIH Challenge Grant 1RC1NS06086-01), Paul Ford, Principal Investigator
- 2016 American Psychological Association Commission on Ethics Processes

## Consulting and Advisory Boards

- 2003-13 National Institute of Mental Health, Data Safety and Monitoring Board
- 2010 Food and Drug Administration, Neurological Devices Panel of the Medical Devices Advisory Committee. General Issues Panel, October 8, 2010, Washington, DC.
- 2011 Reviewer, NIH Board of Scientific Counselors' Review of the NIH Clinical Center Department of Bioethics, January 25, Bethesda, MD.
- 2011 Food and Drug Administration, Neurological Devices Panel of the Medical Devices Advisory Committee. ECT 515(i) Classification General Issues Panel, January 27 & 28, Washington, DC.
- 2011 Member, Technical Expert Panel, Community Forum for Comparative Effectiveness Research (CER) Project, Agency for Healthcare Research and Quality (AHRQ), February 15.
- 2011 Invited Panel Member, Seminar on Religion, Health, and Happiness, Religious Freedom Project, The Berkley Center for Religion, Peace, and World Affairs, Georgetown University, December 6.
- 2011-13 Hoffman-LaRoche, Data Safety Monitoring Board
- 2012-13 Project Advisory Board, Mental capacity and processes of informed consent on end-of-life care: development of best practice guidance (MORECare Capacity), Cicely Saunders Institute, King's College London, United Kingdom. (Catherine Evans and Irene Higginson)
- 2012-13 Data Safety Monitoring Board, "Improving Transition Outcomes through Accessible Health IT and Caregiver Support"(AG039474-01) and "Trial of the CarePartner Program for Improving the Quality of Transition Support" (HS-019625-01-A1), PI: John D. Piette, Ph.D.
- 2012- Ethical and Cultural Sensitivities Committee. Alzheimer's Prevention Initiative. Banner Alzheimer's Institute.
- 2013- APOE4 Genetic Disclosure Committee. Alzheimer's Prevention Initiative. Banner Alzheimer's Institute
- 2013- Data Safety Monitoring Board, "Dominantly Inherited Alzheimer Network Trial" (U01AG042791), Washington University.



- 2013- Data Safety and Monitoring Board, Protocol 12-N-0137, A Phase 1 Open-Label Dose Escalation Safety Study of Convection-enhanced Delivery (CED) of Adeno-Associated Virus Encoding Glial Cell Line-Derived Neurotrophic Factor (AAV2-GDNF) in Subjects with Advanced Parkinson's Disease. NINDS.
- 2014 Food and Drug Administration, Neurological Devices Panel of the Medical Devices Advisory Committee. Electrical Stimulation Devices for Aversive Conditioning, April 24, 2014.
- 2015- Data Safety Monitoring Board, "Impact of Disclosing Amyloid Imaging Results to Cognitively Normal Individuals Trial," NIA (AG047866; PI Green).

## **Extramural Presentations**

### National and International Invited Presentations

1. "Moral and Non-Moral Motivation in Kant's Ethics," given at the philosophy departments of University of California-Berkley, University of Chicago, University of Colorado-Boulder, and Barnard/Columbia University, 1991-1992.
2. "Dementia and Competence: Theoretical and Empirical Perspectives," Intervention Research Center for Depression and Comorbidity in Late Life Colloquium Series, University of Pennsylvania, October 1999
3. Invited Participant, "Ethics of Psychosocial Control Groups." NIMH Workshop, November 30-December 1, 1999, McLean, VA.
4. Invited Participant, "Treatment Research with Suicidal Patients." NIMH Workshop, March 17-18, 1999 Washington, DC.
5. Invited Participant, "Ethical Issues in Including Suicidal Individuals in Clinical Research." NIMH Workshop, June 7-8, 2001, Washington, D.C.
6. "Ethics of Suicide Research," Division of Geriatric Psychiatry, Department of Psychiatry, University of California San Diego, September 6, 2001.
7. Researcher and Institutional Financial Conflicts of Interest: A Survey of Potential Research Participants. Invited speaker, Symposium on Financial Conflicts of Interest in Research at the Annual Meeting of the American Society of Clinical Oncology, Orlando, Florida, May 18, 2002. Symposium co-panelists: Ezekiel Emanuel, MD, PhD, Greg Koski, MD, PhD, Peggy Means.

8. Informed Consent in Alzheimer's Disease Research: Continuing Issues and Need for Research. Invited presentation to the Alzheimer's Disease Cooperative Study Steering Committee, New York City, October 13, 2002.
9. Decisional Capacity and Dementia. Invited speaker, expert panel on "Inclusion of vulnerable populations with questionable capacity to consent in clinical research: ethical issues and approaches." Science Meets Reality: Recruitment and Retention of Women in Clinical Studies, and the Critical Role of Relevance. Sponsored by Office of Research on Women's Health, National Institutes of Health, Washington, D.C., January 9, 2003.
10. Surrogate Consent for Research: Need for Better Policy. Invited speaker, American College of Neuropsychopharmacology Congressional Briefing, Washington, D.C., March 11, 2003.
11. Decision-Making Capacity in Schizophrenia: Structured Assessments and Clinician Judgments. Invited Speaker, Presidential Symposium: Foundation of Medical Ethics/Informed Consent. Annual Meeting of the American Psychiatric Association, San Francisco, California, May 20, 2003.
12. Carnegie Bosch Institute/National Science Foundation Conference on Conflicts of Interest. Invited commentator. Carnegie Mellon University, Pittsburgh, PA, September 12-14, 2003.
13. Capacity to Appoint a Proxy for Health Care Decisions: Implications and Questions. Invited presentation at conference on Capacity to Consent to Treatment and Research: Legal and Psychiatric Dimensions. University of Southern California Law School, Los Angeles, CA, April 17, 2004.
14. Gene Therapy Research in Parkinson's Disease: Ethical Issues. Invited presentation at the Annual Meeting of the Parkinson's Disease Study Group, Denver, Colorado, May 15, 2004.
15. Bioethics as Policy: Research with Adults Lacking Decision-Making Capacity. Invited presentation at HSR&D, Seattle VA Puget Sound Health System, March 1, 2005.
16. Ethics of Conducting Research with Adults Lacking Decision-Making Capacity. Invited presentation, Geriatric Research, Education, and Clinical Center, Seattle VA Puget Sound, March 1, 2005.
17. Defining and Assessing Decision-Making Capacity in Dementia Research. Invited presentation, National Medical Directors Association Research Network Annual Meeting, Dallas, Texas, March 15, 2006.

18. Ethical Issues in Geriatric Psychiatry Research. Invited Speaker, APA Presidential Symposium: Current Issues in Geriatric Psychiatry. Annual Meeting of the American Psychiatric Association, San Diego, California, May 22, 2007.
19. Research Involving Decisionally Impaired Adults. FOCUS (The Forum for IRBs/REBs in Canada & the United States) 5<sup>th</sup> Annual Conference, Ottawa, Ontario, Canada, June 1, 2007.
20. Risks and Benefits of Invasive Neurotherapeutic Interventions: Perspectives of Patient-Subjects. Implanting Change: The Ethics of Neural Prosthetics Conference Penn State University, State College, PA, August 27, 2007.
21. Defining Capacity and Competence. Consensus Conference on Ethics and Capacity in Old Age Psychiatry, Section on Old Age Psychiatry, World Psychiatric Association, Prague, Czech Republic, September 18-19, 2008.
22. Layperson attitudes toward surrogate consent for dementia research. PRIM&R Conference, Orlando, Florida, November 18, 2008.
23. Defining Capacity and Competence. Towards a Consensus on Ethics and Capacity in Old Age Psychiatry, Symposium Presentation, World Psychiatric Association Scientific Meeting, Florence, Italy, April 2, 2009.
24. Why do patients volunteer for risky research studies? Rethinking informed consent, again. University of Pennsylvania Center for Bioethics Colloquium, April 13, 2009.
25. IRB Oversight of Minimal Risk Research: Are We Seeing the Big Picture? Office of Human Research Protections Community Forum, "Reducing Regulatory Burden: Real Strategies for Real Change," Ann Arbor, Michigan, May 14, 2009.
26. Do "Desperate" Patients Volunteer for Research with False Hopes? Dean's Special Seminar Series, University of Massachusetts Center for Clinical and Translational Science, Worcester, MA, June 9, 2009.
27. Depression, medical illness, and the desire to die: clinical and ethical issues. Invited presentation, 37<sup>th</sup> Congress of the European Association of Geriatric Psychiatry/25<sup>ème</sup> Congrès de la Société de Psychogériatrie de Langue Française, Tours, France, September 18, 2009.
28. Why minimal risk research should be exempt. PRIM&R Conference, Plenary Session: The Great Debate. Nashville, TN, November 15, 2009.

29. Regulation of Minimal Risk Research. Federal Demonstration Project Meeting, Washington, D.C., May 13, 2010.
30. Patient-Subject Perspectives on Sham Surgery Controls in Neurological Clinical Trials. Invited Speaker and Panelist at “Sham Neurosurgical Procedures in Clinical Trials for Neurodegenerative Diseases: Scientific and Ethical Considerations.” Conference sponsored by NIH Office of Biotechnology Affairs and the NINDS. June 30-July 1, 2010, Bethesda, MD.
31. Public Deliberation, Ethics, and Health Policy Symposium. An international symposium sponsored by Canadian Institutes of Health Research and the Center for Ethics in Public Life, University of Michigan. Two invited presentations: Discussant to “Framing the Deliberation” and co-presenter (with Raymond De Vries) “Measuring the Quality of Deliberation,” September 10-11, 2010, Ann Arbor, MI.
32. What Should We Do About Therapeutic Orientation in Research Subjects? McGill University, November 5, 2010, Montreal, Canada.
33. Working With Patients Who May Have Impaired Decision-Making Capacity. VA Western New York Healthcare System, May 11, 2011, Buffalo, NY.
34. Challenges in the Care of Decisionally Impaired Patients. SUNY Buffalo School of Medicine. May 11, 2011. Buffalo, NY.
35. Assessment of Appreciation and Reasoning: Theory and Practice. University of Essex, April 20-21, 2012.
36. Capacity to Consent to Research in the Mentally Ill. Institute of Psychiatry, King’s College London, April 23, 2012.
37. Decision-Making Capacity Assessment in the Elderly. EMGO<sup>+</sup> Institute for Health and Care Research, VU University Medical Center Amsterdam, June 26, 2012. (Co-sponsored by University of Leiden).
38. Clinical approach to psychosis. Ruhengeri District Hospital, Musanze, Rwanda, July 3, 2012.
39. Cases in medical ethics. Ruhengeri District Hospital, Musanze, Rwanda, July 3, 2012.
40. Decision-Making Capacity Assessment: Theory and Reality. Research Award Plenary Lecture, Academy of Psychosomatic Medicine Annual Meeting, Atlanta, November 17, 2012.

41. Empirical Research in Bioethics: Themes and Challenges. NIH Clinical Center, January 9, 2013.
42. Ethics of Placebo Surgery in Parkinson's Disease Clinical Trials, Neurology and Neurosurgery Grand Rounds, Vancouver General Hospital, March 13, 2013.
43. Working with Decisionally Impaired Patients: Beyond the Standard Framework? Department of Psychiatry Grand Rounds, Memorial Sloan-Kettering Cancer Center, April 19, 2013.
44. What are the ethical implications of administering disease modifying drugs with potential adverse side effects to asymptomatic subjects? Conference on Ethical Challenges Of Future Alzheimer's Disease Clinical Research, Pasqual Maragall Foundation, Barcelona, Spain, October 3, 2014.
45. How early is it acceptable to perform clinical trials in the preclinical phase of Alzheimer's disease? Conference on Ethical Challenges Of Future Alzheimer's Disease Clinical Research, Pasqual Maragall Foundation, Barcelona, Spain, October 3, 2014.
46. What are the abilities needed to decide for oneself? Wellcome Trust, London, UK, March 23, 2015.
47. Is the Therapeutic Misconception a Misconception? Ethics Grand Rounds, Dana Farber Cancer Institute, June 8, 2015.
48. A Case Study of Democratic Deliberation in Bioethics: Surrogate Consent for Dementia Research. Presidential Commission on Study of Bioethical Issues, Philadelphia, May 27, 2015.
49. Communicating Risks and Potential Benefits of Clinical Research: Salience, 'Truth', and Truthfulness. Advancing Ethical Research (AER) Conference, Public Responsibility in Medicine and Research (PRIM&R). Plenary Panel VI: Presenting Risks and Potential Benefits to Prospective Human Subjects, November 14, 2015. Boston, MA.
50. Consent to Research When Participants Have Diminished or Fluctuating Decisional Capacity. Plenary Lecture at the University of Minnesota Consortium on Law and Values Conference: Research with Human Participants: The National Debates. December 2, 2015.
51. Rethinking the Therapeutic Misconception. Breast Oncology Research Seminar. Dana Farber Cancer Institute, Boston, MA. January 20, 2016.

52. Regulating Medically Induced Death: Euthanasia and Assisted Suicide of Persons with Psychiatric Disorders in the Netherlands and Belgium (Plenary Lecture). Legalizing Physician Assisted Dying: An Open Conversation. University of Toronto, Global Institute for Psychosocial, Palliative and End-of-Life Care, Department of Health Policy, Management and Evaluation; and the Faculty of Law Scholl Chair in Health Law and Policy. February 20, 2016.
53. Amyotrophic Lateral Sclerosis and Therapeutic Misconception. Harvard Center for Bioethics. Boston, MA. March 3, 2016.

*Other National and International Presentations*

1. Kim S. Assisted Suicide and the Psychiatrist. Annual Meeting of the Korean-American Psychiatric Association at the 1997 American Psychiatric Association Meetings, San Diego, CA.
2. Kim S. Measuring Capacity to Give Consent in Persons with Dementia. Junior Investigators' Colloquium, American Psychiatric Association 1999 Meetings, Washington, DC.
3. Kim S. Capacity Assessments in Research and Clinical Settings: Recent Empirical Studies (symposium chair). American Association for Geriatric Psychiatry Annual Meeting, Miami, Florida, March 2000. Presented paper "Capacity to Give Informed Consent for Alzheimer's Disease Research." Other panelists: Paul S. Appelbaum, Daniel Marson, Gavin Hougham, and David Greenspan.
4. Moderator for Teaching Day: Maximizing Benefits, Minimizing Harm: Bioethics in Geriatric Psychiatry. American Association for Geriatric Psychiatry Annual Meeting, San Francisco, CA, February 23, 2001. Speakers on the panel were: David Shore, M.D., Robert Michels, M.D., and Elyn R. Saks, M. Litt., J.D.
5. Kim S and Chadwick G. Assessing Capacity in Psychiatric Research. Workshop presented at the 16<sup>th</sup> Annual Meeting of the Applied Research Ethics National Association, Boston, MA, December 2, 2001.
6. Kim SY. Decisional Impairment and Research Participation Preferences of Persons with Alzheimer's Disease. Symposium speaker and chair, Annual Meeting of the American Association for Geriatric Psychiatry, Orlando, Florida, February 26, 2002. Co-presenters were Jason Karlawish, MD, Laura Dunn, MD, Barton Palmer, Ph.D., and Elyn Saks, J.D.
7. Kim S. Emerging Ethical Issues in the CATIE AD Study. Symposium speaker, Annual Meeting of the American Association for Geriatric Psychiatry, Orlando, Florida, February 27, 2002.

8. Kim S. Therapeutic Misconception, Decisional Capacity, and Complexity of Human Motivation. Symposium on the Therapeutic Misconception at the Annual Meeting of the American Psychiatric Association, Philadelphia, PA, May 21, 2002. Other symposium panelists: Philip Candilis, MD, Donna Chen, MD, MPH, Charles Lidz, PhD, and Gary Belkin, MD, PhD.
9. Kim SYH, Holloway R. Burdens and Benefits of Placebos in Antidepressant Clinical Trials: A Cost-Effectiveness Analysis from the Potential Subject's Perspective. Annual Meeting of the Society for Medical Decision Making, Baltimore, MD, October 22, 2002.
10. Kim SY, Cox C, and Caine ED. Impaired Decisional Abilities and Research Participation Preferences of Persons with Alzheimer's Disease. Annual Meeting of the American Society of Bioethics and Humanities, Baltimore, MD, October 27, 2002.
11. Kim SYH. Legally Authorized Representatives (LARs): Crossroads of State Law and Federal Regulations. Workshop presented at the 17<sup>th</sup> Annual Meeting of the Applied Research Ethics National Association, San Diego, CA, November 17, 2002.
12. Revision of the APA Ethics Annotations: Fostering Dialogue. (Co-panelists: Laura Roberts, Chair; S. Nassir Ghaemi, Richard Milone, Michael Arambula, Jennifer Radden.) Issues Workshop, Annual Meeting of the American Psychiatric Association, San Francisco, California, May 21, 2003.
13. Kim SYH, Stroup S, Appelbaum PS. Decision-making capacity for informed consent: How impaired is too impaired? Poster presentation at the 25<sup>th</sup> Annual Meeting of the Society for Medical Decision Making, Chicago, IL, October 19, 2003.
14. Kim SYH, Stroup S, Appelbaum PS. Informed consent in neuropsychiatric research: when does impairment become incapacity? Panel Symposium Speaker, 42<sup>nd</sup> Annual Meeting of the American College of Neuropsychopharmacology, San Juan, Puerto Rico, December 8, 2003.
15. Frank S, Kieburtz K, Holloway R, Wilson R, Zimmerman C, Kim S. European and American Perspectives on the Use of Sham Surgery in Parkinson's Disease Research. American Society for Experimental NeuroTherapeutics (ASENT) 6th annual meeting, March 11-13, 2004, Bethesda, MD.
16. Kim SYH. Decisional capacity in schizophrenia: qualitative and quantitative perspectives. Department of Psychiatry, University of Massachusetts Medical School, Worcester, MA, August 9, 2004.

17. Kim SYH. Why would Parkinson's disease patients volunteer for risky research? Department of Psychiatry, University of Massachusetts Medical School, Worcester, MA, August 9, 2004.
18. Kim SYH. Decisional Capacity in the Consultation/Liaison Setting: Controversies and Difficulties: Issue Workshop. Annual Meeting of the American Psychiatric Association, Atlanta, GA, May 24, 2005 (other panel members: Ramaswamy Viswanathan, Paul Appelbaum, Barbara Schindler, Laura Dunn)
19. Kim SYH and Appelbaum PS. Error behaviors in capacity interviews. Annual Meeting of the APA, Atlanta, GA, May 24, 2005.
20. Kim SYH. Deliberative Democratic Methods for Bioethics Policy: The Michigan Experience, Presentation for a panel on "Bioethics and the Social Sciences: A Coming Together." Annual Meeting of the American Society for Bioethics and Humanities, Washington, DC, October 20, 2005.
21. Kim SYH. Financial Conflicts of Interest and Clinical Research in the US. Annual Meeting of the International College of Geriatric Neuropsychopharmacology, Pittsburgh, PA, November 5, 2005.
22. Kim SYH. Invited Discussant. Conducting Treatment Research in Decisionally Impaired Subjects: Problems and Possible Solutions. Annual Meeting of the American College of Neuropsychopharmacology, Ft. Lauderdale, FL, December 5, 2006.
23. Kim SYH. Ethics of Surrogate Based Dementia Research. Annual Meeting of the American Society for Experimental Therapeutics, Washington, DC, March 9, 2007.
24. Kim SYH. Informed consent: assessing and enhancing decision-making capacity expert panel. NIMH sponsored meeting on "Best Practices in Mental Health Research Ethics," R13 (James Dubois, PI). Saint Louis University, June 12-13, 2008.
25. Kim SYH. Assessment of Decision-Making Capacity. Invited speaker. Annual Meeting of the American Society for Clinical Oncology, Chicago, IL, June 7, 2010.
26. Kim SYH. Deliberative Democratic Methods in Empirical Ethics: A Study of Surrogate Consent for Dementia Research. European Association of Centres of Medical Ethics Annual Conference, September 17, 2010, Oslo, Norway.



27. Kim SYH. How important is 'accuracy' of surrogate consent for treatment? Academy of Psychosomatic Medicine Annual Meeting, Atlanta, GA, Nov 19, 2012.
28. Kim SYH. Research Risks and Equipoise. NIDDK Type I Diabetes TrialNet Meeting, Reston, VA, March 26, 2014.
29. Kim SYH. Informed Consent for HIV Vaccine Clinical Trials: Theory and Data. Advanced Research Ethics Workshop: Ethical Issues in HIV Vaccine Research. NIH Clinical Center Department of Bioethics, Division of AIDS, & University of Zimbabwe (UZ)-University of California San Francisco (UCSF) Collaborative Research Programme, Harare, Zimbabwe. April 29-30, 2015
30. How to Be an Informed Consumer of Data on Research Subjects' Understanding. (with Rebecca Pentz and Kevin Weinfurt) Workshop at Advancing Ethical Research (AER) Conference, Public Responsibility in Medicine and Research (PRIM&R), November 14, 2015. Boston, MA.

*Invited Lectureship/Visiting Professorships*

George Collier Memorial Lecturer, University of Rochester Medical Center, Department of Psychiatry, Rochester, NY, March 30-31, 2010.

UBC Distinguished Neuroethics Lecturer for Brain Awareness Week, University of British Columbia, Vancouver, March 13, 2013

31st Annual Emanuel & Nathalie Goldberg Family Lecturer, Department of Neurology, University of Rochester School of Medicine, October 1-2, 2015.

**Bibliography**

*Peer-Reviewed Publications in Journals*

1. King D, Kim SYH, and Conwell Y: Family Matters: A Social Systems Perspective on Physician-Assisted Suicide and the Older Adult. Psychology, Public Policy, and Law 2000; 6: 434-451.
2. Kim SYH, Caine ED, Currier GW, Leibovici A, Ryan JM. Assessing the competence of persons with Alzheimer's disease in providing informed consent for participation in research. Am J Psychiatry 2001; 158: 712-717
3. Kim SYH, Caine ED, Cox C. Impaired decision-making ability in subjects with Alzheimer's disease and willingness to participate in research. Am J Psychiatry 2002; 159: 797-802

Reprinted in Research and Practice in Alzheimer's Disease 2003; 7: 256-260.

4. Kim SYH, Karlawish JHT, Caine ED. Current State of Research on Decision-Making Competence of Cognitively Impaired Elderly. Am J Geriatr Psychiatry 2002; 10: 151-165

Editorial: Reynolds CF, III. Advancing Research in Decision-Making Capacity: An Opportunity for Leadership—and an Obligation of Geriatric Psychiatry  
Am. J. Geriatr. Psychiatry 2002 10: 117-119

5. Kim SYH, Caine ED. Utility and Limits of the Mini-Mental State Examination when Evaluating Consent Capacity in Alzheimer's Disease. Psychiatric Services 2002; 53: 1322-1324

6. Fisher CB, Pearson JL, Kim S, and Reynolds CF. Ethical Issues in Including Suicidal Individuals in Clinical Research. IRB: Ethics & Human Research 2002; 24: 9-14

7. Kim SYH. Benefits and burdens of placebos in psychiatric research.  
Psychopharmacology 2003; 171: 13-18

8. Kim SYH, Millard RW, Nisbet P, Cox C, Caine ED. Potential Research Participants' Views Regarding Researcher and Institutional Financial Conflicts of Interest. Journal of Medical Ethics 2004; 30(1): 73-79

9. Kim SYH, Holloway RG. Burdens and Benefits of Placebos in Antidepressant Clinical Trials: A Decision and Cost-Effectiveness Analysis. Am J Psychiatry 2003; 160: 1272-1276

Editorial: Frank E, Kupfer DJ. Progress in the Therapy of Mood Disorders: Scientific Support. Am J Psychiatry 2003 160: 1207-1208.

10. Kim SYH, Appelbaum PS, Jeste DV, Olin J. Proxy and Surrogate Consent in Geriatric Neuropsychiatric Research: Update and Recommendations. Am J Psychiatry 2004; 161(5):797-806

Editorial: Michels R. Research on Persons with Impaired Decision Making and the Public Trust. Am J Psychiatry 2004 161: 777-779.

11. Seaburn D, McDaniel S, Kim S, Bassen D. The Role of the Family in Resolving Ethical Dilemmas in Medicine: Clinical Insights From a Family Systems Perspective. Journal of Clinical Ethics 2004; 15(2):123-34

12. Karlawish JHT, Casarett DJ, James BD, Xie S, Kim SYH. The ability of persons with Alzheimer's Disease to make a decision about taking an Alzheimer's Disease treatment. Neurology. 2005; 64:1514-19.

Editorial: McQuillen MP, Tariot P. Who can say yes (or no) to a physician – and how does the physician know they can? Neurology. 2005;64:1494-95

13. Kim SYH, Frank S, Holloway R, Zimmerman C, Wilson R, Kieburtz K. Science and Ethics of Sham Surgery: A Survey of Parkinson Disease Clinical Researchers. Archives of Neurology 2005; 62(9):1357-1360.

Editorial: Olanow CW. Double-Blind, Placebo-Controlled Trials for Surgical Interventions in Parkinson Disease. Arch Neurol 2005; 62(9):1343-1344

14. Frank S, Kieburtz K, Holloway R, Kim SYH. What is the Risk of Sham Surgery in Parkinson's Disease Clinical Trials? A Review of Published Reports. Neurology 2005; 65: 1101-1103.

Editorial: Rascol O. Assessing the risk of a necessary harm: placebo surgery in Parkinson disease. Neurology 2005; 65: 982-983.

15. Kim SYH, Kim HM, McCallum C, Tariot PN. What do people at risk for Alzheimer's disease think about surrogate consent for research? Neurology 2005; 65:1395-1401.

16. Stroup S, Appelbaum P, Swartz M, Patel M, Davis S, Jeste D, Kim S, Keefe R, Manschreck T, McEvoy J, Lieberman J. Decision-making capacity for research participation among individuals in the CATIE schizophrenia trial. Schizophrenia Research 2005; 80(1): 1-8.

17. Kim SYH. When does decisional impairment become decisional incompetence? Ethical and methodological issues in capacity research in schizophrenia. Schizophrenia Bulletin 2006; 32(1): 92-97.

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