

## **15.01.03.R1.01 Conflict of Interest in the Design, Conduct, and Reporting of Sponsored Research and Educational Activities**

Approved August 30, 2010



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### **Procedure Statement**

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Texas A&M University-Commerce (A&M-Commerce) requires the disclosure of individual financial conflict of interest as provided in System Regulation *15.01.03 Conflict of Interest in the Design, Conduct, and Reporting of Sponsored Research and Educational Activities*, and by A&M-Commerce Rule *15.01.03.R1* (pending).

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### **Reason for Procedure**

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This procedure is to address potential conflicts of interest should an individual's private interests compete with that person's professional obligations to the university.

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### **Procedures and Responsibilities**

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#### **1. GENERAL**

1.1 System Regulation *15.01.03 Conflict of Interest in the Design, Conduct, and Reporting of Sponsored Research and Educational Activities* sets forth guidelines defining the general regulations and procedures concerning conflicts of interest in relation to sponsored research. The disclosure and reporting requirements set out in System Regulation *15.01.03* apply to all sponsored research through Texas A&M University-Commerce.

1.2 Investigators, as defined by System Regulation *15.01.03, Section 2.2*, have a responsibility to disclose financial interests that might reasonably appear to be directly and significantly affected by the research or educational activities funded under a grant, contract, agreement, or subaward.

#### **2. REQUIRED DOCUMENTATION**

2.1 Each investigator must disclose all potential conflict of interests at the earliest possible time and no later than at the time the investigator submits a proposal, agreement, contract, or subaward. If a potential conflict of interest exists, the investigator must

prepare and submit disclosure documentation, including the A&M-Commerce Significant Financial Interest Disclosure Form, containing information as prescribed by System Regulation *15.01.03, Section 3.1*. The Significant Financial Interest Disclosure Form and all disclosure documentation must be submitted to the Dean of Graduate Studies and Research through the investigator's department head and dean and will include a proposed Resolution Plan as required by System Regulation *15.01.03, Section 3.2.4*. Each investigator will submit separate forms for him/herself, his/her spouse, and his/her dependent children.

- 2.2 Supplemental disclosures are required to be filed by all investigators annually by August 31 of each year on the Significant Financial Interest Disclosure Form through the investigator's department head and dean to the Dean of Graduate Studies and Research.
- 2.3 Funds may not be expended until a formal decision has been made by the Office of Sponsored Programs indicating that the conflict of interest has been managed, reduced, or eliminated. If a conflict of interest has been identified and a management plan approved, if required, it will be reported to the funding agency, and if requested, the plans to manage, reduce, or eliminate the conflict of interest may also be provided to the funding agency.
- 2.4 Prior to proposal submission, the Office of Sponsored Programs will obtain appropriate certification from subawardees, contractors, or collaborators as required by System Regulation *15.01.03, Section. 3.1.5*.

### 3. REVIEW PROCEDURES

The disclosure documentation will be reviewed and administrated as set forth in the System Regulation *15.01.03*.

- 3.1 Completed disclosure documentation must be provided to the Dean of Graduate Studies and Research, who will conduct an initial review to determine if an existing or potential conflict of interest exists.
- 3.2 If, upon review, it is determined that a potential conflict of interest may exist, the handling, review, management, record keeping, and enforcement actions used by A&M-Commerce will be guided by System Regulation *15.01.03* and are the responsibility of the Dean of Graduate Studies and Research.
- 3.3 The Dean of Graduate Studies and Research will appoint an A&M-Commerce Conflict of Interest Review Committee (CIRC), properly composed, to review submitted disclosures and proposed management plans.
  - 3.3.1 The CIRC will rule on the request by either, approving the Resolution Plan, amending the plan, or creating additional conditions to manage, reduce, or eliminate any actual or potential conflict of interest. The CIRC will rule on the request within 30 business days of receipt of the complete Disclosure Documentation. An

extension of time for this ruling must be approved by the Dean of Graduate Studies and Research.

3.3.2 Within 10 business days of the date of the CIRC's decision, the chair of the CIRC is responsible for incorporating the approved Resolution Plan into a Memorandum of Understanding to be signed by the investigator, the department head, and chair of the CIRC.

3.3.3 Appeals of decisions by the CIRC must be made within 10 business days of the date of the decision. Appeals will be made directly to the Dean of Graduate Studies and Research, whose decisions on appeals are final.

#### 4. QUESTIONS

Questions regarding specific conflict of interest situations may be clarified by consulting with the Office of Sponsored Programs.

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### Related Statutes, Policies, or Requirements

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System Policy [\*15.01 Research Agreements\*](#)

System Regulation [\*15.01.03 Conflict of Interest in the Design, Conduct, and Reporting of Sponsored Research and Educational Activities\*](#)

University Rule [\*15.01.03.R1 Conflict of Interest in Design, Conduct, and Reporting of Sponsored Research and Educational Activities\*](#)

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### Contact Office

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Office of Graduate Studies and Research  
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