



CONFLICT OF INTEREST AND COMMITMENT POLICY FOR FACULTY AND RESEARCHERS

Office of Research Compliance

What is the intent of conflict of interest and commitment policies at UT Dallas?

UT Dallas has instituted conflict of interest and commitment policies to comply with federal regulations regarding the conduct of research, and UT System Regents Rules and Regulations. The policies provide a framework for faculty and researchers to identify situations that create the possibility for a conflict of interest or commitment, and to work with UT Dallas to manage or avoid those situations.

These policies intend to protect the integrity of the research and scholarship conducted at UT Dallas from the negative impact of a situation involving an actual conflict of interest or commitment. It is not the intent of the policies to eliminate or prohibit faculty and researchers from participating in situations involving potential conflicts.

Who is expected to comply with the policy?

The policies apply to all faculty and to any staff member or student who is responsible for the design, conduct or reporting of research at UT Dallas. If you are unsure you need to comply, please contact the Office of Research Compliance (ORC) by phone (972-883-4718) or email (conor.wakeman@utdallas.edu).

How am I expected to comply with the policy?

You must disclose outside interests and activities that reasonably appear to be related to your institutional responsibilities. You are entrusted to determine whether an interest or activity is “related”. The ORC will administer annual compliance training to help you determine whether you have interests and activities that require disclosure. If you conduct research that is supported by external funding (e.g., grant, contract or gift), or have an interest or activity you need to disclose, the ORC administers an online disclosure tool that you can use to satisfy federal and UT System requirements.

How do I know if an outside activity or financial interest is related to my responsibilities at UT Dallas?

An outside interest or activity reasonably appears to be “related” to your institutional responsibilities, e.g., research, teaching, administration, if your performance of those responsibilities at UT Dallas appears to directly or significantly affect either your interest in an outside entity, or the financial interest of such an entity. The following examples will help explain this statement:

- **No Disclosure:** A UTD economics professor collects stamps as a personal hobby. Even though the collection has a value in the tens of thousands, the professor does not disclose the financial interest because it is outside his area of expertise at UT Dallas. He does not request approval for the time commitment the activity requires because it is personal in nature. The professor also serves as a committee member for the American Economic Association, and does not receive compensation except for reimbursement of travel expenses. Because AEA is a non-profit professional society and the professor volunteers for the position, he does not disclose the travel reimbursement and does not request approval for the commitment.
- **Disclosure:** A UTD materials science professor co-owns and serves as Chief Technology Officer for a company she founded to commercialize technology she invented. The company sponsors research at UT Dallas to further develop the technology. The professor discloses her ownership stake in and consulting fees from the company because the company could directly benefit from the results of her research at UT Dallas. Because she is compensated for her time at the company, she also requests prior approval for her commitment as CTO.

Where can I find more information?

If you have any questions, please contact Conor Wakeman in the Office of Research Compliance by phone (972-883-4718) or email (conor.wakeman@utdallas.edu). You can also visit the research Conflict of Interest program online, at http://www.utdallas.edu/research/orc/conflict_of_interest/.