Conflict of Interest and Commitment Policies for Faculty and Researchers
Office of Research Compliance

Who is expected to comply with the policies?

The requirements of the policy on Research Conflict of Interest (PP1029) apply to faculty, staff, and students responsible for the design, conduct, or reporting of research at UT Dallas that is funded by a private or public agency, or research that may appear to present a likelihood of bias. The requirements of the policy on Conflict of Interest, Conflict of Commitment, and Outside Activities (PP1102) apply to all UT Dallas employees.

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, state, and UT System regulations regarding conflict of interest and the conduct of research. 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.

How am I expected to comply with the policy?

UT Dallas faculty and staff members must disclose outside employment, board service, and other compensated activities to comply with PP1102. Approval by the employee’s school dean is required prior to engaging in such activities.

UTD researchers must disclose financial and fiduciary interests that reasonably appear to be related to their institutional responsibilities. Researchers are entrusted to determine whether an interest or activity is “related”. Researchers must complete the Conflict of Interest and Commitment (COIC) Form on an annual basis, and have a current COIC Form on file no later than the time of application for research funding, or at the time of research protocol submission (e.g., submission to the Institutional Review Board). The COIC Form is available online (https://research.utdallas.edu/orc/conflict-of-interest/disclosure-portal).

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

A financial or fiduciary interests 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 owns and leases several rental properties. Despite their significant value, the professor does not disclose the financial interest or request approval for the time spent on the properties because it is personal in nature and outside his area of expertise at UT Dallas.

- **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 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@utdallas.edu). You can also visit the research Conflict of Interest program online, at http://research.utdallas.edu/orc/conflict-of-interest.