

950809PURPOSE

1.01 This policy outlines the procedures and responsibilities necessary to avoid and/or resolve Conflicts of Interests (COIs) whether Financial Conflicts of Interest (FCOIs) or Conflicts of Commitment (COCs) in research in accordance with federal laws to address significant conflicts when they appear to affect or bias the design, conduct, or reporting of research.

1.02 The University is responsible for identifying, managing, and eliminating COIs in research that may develop because of financial interests or time commitments of Investigators (whether Principal Investigators (PIs), CO-Principal Investigators (CO-PIs), or any other individual who participates in the design, conduct, or reporting of sponsored research. Therefore, the University requires Investigators to disclose COIs relateeTQto eTQto s) 8(c)4(h.)-ET@00000

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Institution who is responsible for the design, conduct, or reporting of research for a funded project, or one proposed for funding, by commercial sponsors, federal and/or state agencies, or subcontracts by the University. Investigator also refers to an individual who is not at the Institution but who is responsible for the design, conduct, or reporting of sponsored research such as a collaborator or consultant.

- 3.11 Manage means taking action to address a FCOI or a COC, which can include reducing or eliminating the financial conflict of interest or time commitment to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.
- 3.12 Research means a systematic investigation, study, or experiment designed to develop or contribute general knowledge. The term encompasses basic and applied research and results in a wide range of professional work products, intellectual property, and product development (i.e., published articles, a book or book chapter, a diagnostic test, a new procedure or unique drug, newly created material, or combination of materials). As used in this policy, the term includes any such activity for which research funding is available from a sponsoring agency through a variety of arrangements such as grants, contracts, cooperative agreements, awards, or fellowships.
- 3.13 Significant financial interest means:
- a. A financial interest consisting of one or more of the following interests of the Investigator (and/or those of the Investigator's immediate family members):
 - (1) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For the purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest including any stock, stock options, or other ownership interests, as determined through reference to public prices or other reasonable measures of fair market value.
 - (2) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the

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for a federal, state, or local government agencies, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;

- (4) Financial interests in business enterprises or entities if the value of such interests does not exceed \$5,000 or represent more than five percent (5%) ownership interest for any one enterprise or entity when aggregated for the investigator and the investig ;
- (5) Salary, royalties, or other payments from sponsored projects that, when aggregated for the investigator and the twelve months, are not expected to exceed \$5,000.
- (6) Regardless of the above minimum requirements, an Investigator in their own best interest may choose to disclose any other financial or related interest that could present an actual or perceived COI.

4. CONFLICT OF INTEREST OFFICIAL

The University President shall appoint a COI Official who will be responsible for oversight and compliance with this policy. The COI is the Chief Research Officer at Sam Houston State University.

5. DISCLOSURE OF SIGNIFICANT FINA TJ4 0 1 9A4 0 40576 9A4

6.01 The COI Official shall ensure adherence to relevant university policies such as the Faculty Handbook, the Academic Policy Manual, The Texas State and Employees of The Texas State University System, Texas Government Code Chapter 572, and other university documents the COI Official may deem appropriate.

6.02 An COI O Financial Disclosure Statement or Conflict of Commitment Statement to determine if a conflict exists.

6.03 A FCOI exists when the COI Official reasonably determines that a significant financial interest held by an Investigator or an immediate family member could directly and significantly affect the design, conduct, or reporting of the

6.04 A COC exists when the COI Official reasonably determines that one's commitment of time and effort are inconsistent with one's commitment to the Institution and its interests.

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In cases involving sponsored research, there will be no expenditure of research funds by an Investigator, or the University unless the COI O

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14. POLICY VIOLATIONS

In the event an Investigator fails to comply with this Policy, the COI Official may recommend suspension of all relevant activities of the Investigator and recommend disciplinary or other administrative action pursuant to this policy to the Provost and Senior Vice President for Academic Affairs. Disciplinary actions may include, but are not limited to, a reprimand, oral or written, private or public; a period of suspension with or without pay; a reduction in salary; removal of privileges; or dismissal in accordance with University Policies and Procedures.