

# CONFLICT OF INTEREST AT UTSA

## FILING THE DISCLOSURE OF FINANCIAL INTERESTS AFTER AUGUST 2012

**DISCLOSURE FORM:** <https://oric.utsa.edu>  
**DEADLINE: March 1, 2013, within 30 days of any change in financial interest, and within 30 days of joining UTSA.**

### *Who must file a Disclosure?*

- All “Researchers”, or all individuals, regardless of title, who have direct responsibility for the design, conduct or reporting of funded or unfunded research or sponsored activities.

### *Examples of “Researchers”*

- All tenured and tenure-track faculty
- All principal investigators, project directors, and all other individuals identified as senior/key personnel in grant proposals, progress reports, or any other report submitted to the funding agency by UTSA
- Some students, research staff, technicians, and volunteers depending on their level of responsibility as determined by the PI or PD
- All individuals listed on a UTSA IRB or IACUC protocol
- All named inventors, including students, on UTSA inventions

### *What must be disclosed?*

“Significant Financial Interests” listed in the categories below that meet the following criteria:

- could reasonably appear to the general public as related to your institutional responsibilities (professional duties on behalf of UTSA, such as teaching, research, and service for UTSA faculty);
  - were held or received by the discloser or their spouse/domestic partner, dependent children/step-children and other persons in his or her household with whom the discloser is financially interdependent (e.g., a joint bank account, mortgage, or investments); and
  - were held or received in the past 12 months.
1. **Remuneration** (including payments, income, consulting fees, honoraria, paid authorship, etc.) only if:
    - a. The total of payments and equity held exceeds \$5,000 if the source is a publicly traded entity OR
    - b. Payments exceed \$5,000 if the source is a non-publicly traded entity (such as a start-up company).
  2. **Equity** (including stock, stock options, shares, and other ownership interests) only if:
    - a. The total of remuneration and equity held exceeds \$5,000 if the source is a publicly traded entity OR
    - b. The equity is held in a non-publicly traded entity.
  3. **Travel reimbursements and sponsored travel** (including reimbursements and sponsored travel paid on your behalf) as follows:
    - a. If you have requested or received any funding from NIH/PHS in the past 12 months, disclose all travel payments.
    - b. For all other researchers, disclose travel if the total from a single source exceeds \$5,000.
  4. **Fiduciary positions** (including for-profit and nonprofit entities, board memberships, officer, executive management) only if you received any remuneration, including travel reimbursement, for the position.
  5. **Intellectual property rights** (e.g., patents, copyrights) and an royalties and other payments
  6. **Gifts** from non-family members that exceed \$250 from a single source

**SEE THE COI WEBSITE FOR MORE INFORMATION:**  
<http://research.utsa.edu/oric/coi>

### *What is excluded from my Disclosure?*

- Salary, royalties, and other payments paid by UTSA;
- Income from seminars, lectures, teaching engagements, service on an advisory committee or review panel, and travel reimbursements or sponsored travel from U.S. federal, state, or local governments, a U.S. institution of higher education (e.g., UTSA, UTHSCSA, and community colleges), academic teaching hospital, medical center, or research institute affiliated with a U.S. institution of higher education (e.g., SwRI); and
- Income from certain investment vehicles (e.g., mutual funds, retirement accounts) as long as the discloser does not directly control the investment decisions made in those vehicles.

### *When do I have a Financial Interest? Significant Financial Interest? Financial Conflict of Interest?*

- A **Significant Financial Interest** (SFI) is anything of monetary value (e.g. salary, honoraria, fees for service, royalties, stocks, equity, travel reimbursements, gifts, , etc.) that you received, (or received by your spouse/domestic partner, dependent child, or others living in your household), that reasonably appears to be related to your institutional responsibilities.
- A **Financial Conflict of Interest** (FCOI) is a *significant financial interest* which could directly and significantly affect the design, conduct or reporting of Research or of Sponsored Activities.

### *Why must I file?*

The University of Texas at San Antonio is committed to ensuring that research and scholarly activities are carried out under the highest standards of ethical conduct and to preserving the public's trust in the integrity of the activities the University undertakes. This commitment conforms to federal, state, and system regulations and policies as described at <http://research.utsa.edu/oric/coi>.

### *What happens if I do not complete the annual disclosure?*

- Grant proposals and contracts will not be submitted if you are listed as personnel,
- Funds from grant or other sponsored program awards cannot be spent,
- IRB and IACUC cannot approve a research protocol,
- Other disciplinary action as deemed appropriate by the Institutional Official (Provost Frederick), and
- The granting or sponsoring agency will be notified, if applicable.

### *What happens to my Disclosure when I submit?*

- The Director of the Ethical Conduct of Research reviews each Disclosure to determine if a potential conflict of interest exists and if a full review is necessary by the Committee on the Conflict of Interest in Research and Intellectual Property (CCOI).
- If the Disclosure is submitted to the CCOI for review, Committee members review information related to all financial arrangements in light of related institutional responsibilities (e.g., research/sponsored activities, administrative duties) and makes recommendations to the Institutional Official for managing the conflict of interest.
- **If the CCOI declares that you have a conflict of interest, it does not indicate wrongdoing.** If a conflict of interest exists, it must be reduced, managed, or eliminated to protect the researcher, his or her research, and the university. Most conflicts of interest can be managed with appropriate oversight or other controls in place.

#### Applicable Policies and Regulations

UTSA policies: [HOP 10.04](#), [HOP 4.31](#), [HOP 4.05](#), [Standards of Conduct](#)

Federal regulations: [42 CFR 50 Subpart F](#) and [45 CFR 94.4](#)

State law: [Texas Government Code Chapter 572](#)

University of Texas Regents' Rules: [Rule 30104 Conflict of Interest](#) , [UTS 175 Financial Conflicts of Interest in Research](#), and [Model Policy for Financial Conflicts of Interest in Research](#)