

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

Operating Policy and Procedure

HSC OP: 10.05, Conflict of Interest and Commitment Policy

PURPOSE: The purpose of this Conflict of Interest and Commitment Policy is to provide guidelines on Texas Tech University System's (TTUS) and the Institution's conflict of interest policies and to protect the ethical and civic responsibilities of the Institution and its mission.

REVIEW: This HSC OP will be reviewed on December 1 every fiscal year (EY) by the Chief Human Resources Officer (CHRO), the Chief Compliance Officer (CCO), the TTUS Office of Equal Opportunity (OEO), and the Office of General Counsel (OGC), with recommendation for revisions forwarded to the President by January 1.

POLICY/PROCEDURE:

Policy Statement:

Employees of Texas Tech University Health Sciences Center ("Institution") are entrusted with protecting the safety and welfare of the public's trust. It is state law that the Institution's Employees may not have direct or indirect interests, including fsTexas Government

[Code Chapter 572](#) and [Regents' Rule 03.01 and 03.02](#).

All Employees are expected to (i) abide by the Institution's conflict of interest and commitment policies and standards, (ii) fully and continually disclose professional and relevant personal activities and relationships that create a conflict of interest or commitment or have the appearance of creating a conflict of interest or commitment, (iii) remedy conflicts of interest or commitment and/or comply with any management or monitoring plan prescribed by the Institution, (iv) remain aware of the potential for conflicts of interest and commitment, (v) take initiative to manage, disclose, or resolve conflicts of interest or commitment as appropriate

C. Use of Private Consultants

Any Employee who has actual knowledge that a Family Member is seeking a consulting relationship with the Institution shall disclose the relationship to the Department seeking the consultant's services, and the Institution's Procurement and/or Contracting Department.

Likewise, entities or individuals who seek to provide consulting services to the Institution shall be required to disclose any Family Member relationship to the Institution and the Department receiving the services.

Approval of consulting agreements must be in accordance with [Regents' Rule 07.12](#).

D. Benefits, Gifts and Honorarium

1. General Concept. No benefits, gifts or accommodations of any nature, including unrestricted grants, may ~~be~~

Employees who file annual disclosure statements with the Texas Ethics Commission pursuant to Texas Government Code 572.021 or Institutional policy are required to report any such benefits valued at over \$250 received in a year, in the aggregate. Employees who do not file an annual disclosure statement must report such benefits to their immediate supervisor.

Employees may never accept gifts or entertainment from Health Care Vendors and may only accept food, lodging and transportation from Health Care Vendors under limited circumstances. See [HSC OP i3 \(ad\)-7.9 \(3 \(om\)-8.3 \(1](#)

appropriate Research Conflict of Interest Committee or other appropriate review authority. No research with human subjects that involves a conflict of interest may receive final approval from the Institutional Review Board until the conflict of interest is addressed under applicable policy. See [HSC OP 73.09, Financial Conflicts of Interest in Research](#).

For research regulated by Federal or State agencies, there may be conflict of interest requirements that apply to the sponsor of the study and/or the investigators. Employees of the Institution shall comply with all applicable regulatory requirements pertaining to conflict of interest whether the Employee is the investigator or the sponsor or both.

Every Employee participating or involved in research on behalf of the Institution is responsible for learning and complying with all applicable policies and procedures.

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disclosures to determine whether a conflict of interest or commitment exists and what conditions or restrictions, if any, should be imposed in order to manage, reduce or eliminate the conflict of interest or commitment. The supervisor or the appropriate Institutional official shall document any such disclosure and/or related decisions and forward to the Conflict of Interest and Commitment Charter (COICC) for review.

Such disclosures shall be sufficiently detailed and timely as to allow accurate and objective evaluation prior to making commitments or initiating activities that create conflicts of interest or commitment. Each Employee has an obligation to cooperate fully in the review of the pertinent facts and circumstances. Individual schools and departments may implement more specific procedures and require additional information in furtherance of this policy.

Certain activities on behalf of the Institution may involve more specific procedures with respect to disclosure of conflicts of interest or commitment because of governmental or legal requirements. Anyone involved with sponsored research or the development and licensing of intellectual property under the auspices of the Institution is responsible for complying with all applicable procedures.

C. Duty to Disclose Externally

Employees shall comply with financial disclosure requirements of any governmental, accreditation, or other self-regulatory agency.

Additionally, disclosures of actual or perceived conflicts of interest or commitment shall be made to publications and journal editors when research manuscripts are submitted and to the audience during any oral presentation of research.

The Office of the President is available as a resource for questions involving the Institution's policies and procedures and for guidance on any issues related to the disclosure process.

D. Annual Disclosure Process

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REFERENCES:

STATUTES

- Texas Government Code 572

REGENTS' RULES

- [Regents' Rule 03](#)
- [Regents' Rule 10](#)

TTUHSC OPERATING POLICIES

- [HSC OP 10.01, Operating Policies and Procedures for TTUHSC](#)
- [HSC OP 52.06, Standards of Conduct and Ethics Guide](#)
- [HSC OP 52.16, Health Care Vendor Interactions](#)
- [HSC OP 70.08, Nepotism](#)
- [HSC OP 70.18, Dual Reporting and Multiple](#)