

## **Summary of principles, reporting features and prohibited activities included in UA Rule 3359-11-17**

### Conflict of interest, conflict of commitment, scholarly misconduct, and ethical conduct - policies and procedures.

**Who must comply:** Each university employee will review and comply with these policies by promptly taking whatever steps are required to avoid, eliminate, remediate or manage an actual conflict of interest and/or commitment. This also includes graduate students, identified as investigators on externally funded grants. Section (B)(1)

**Who must report:** All university employees are to complete the yearly conflict of interest and commitment report questionnaire on or before the thirtieth of April. Completed reports are to be sent for certification to the employees' immediate supervisor. University student assistants employed solely on an hourly pay basis, part-time teaching faculty, and employees working less than half-time are exempt from submitting the annual disclosure form but nonetheless are to comply with the university's conflict of interest and related policies. See Section (B)(8) for details.

**What must be reported - Outside activities:** (A)ll university employees who engage in outside activities are to disclose those activities as they are encountered in accordance with the following guidelines:

(a) Some outside activities, which might be considered conflicts in a technical sense, are routinely allowable without permission but with timely notice to the immediate supervisor because they are (i) accepted practices and (ii) generally minimal in their personal financial impact and impact on the university. Examples of such activities: public service in community service agencies, royalties for published scholarly works or institutional royalty sharing, honoraria, prizes and awards for professional recognition, or routine activities for professional organizations and associations.

(b),(c) All forms of outside activities which do not fit the above category are to be reported to the employee's immediate supervisor. If there is no significant conflict of interest or commitment...the supervisor shall so certify... Certification is required prior to an employee engaging in any such activity. See Section (B)(7) for details.

**What must be reported - Invention disclosure examples:** Inventions and patent rights of university employees developed or obtained during the course of the individual's employment contract with the university belong to the university... Computer software developed by university employees during the course of the individual's employment contract with the university or using university resources is the property of the university. Inventions or discoveries made using any university facilities or other university resources belong to the university even if the inventors are not university employees...See (B)(15) for details.

**What must be reported - Financial interest disclosure examples:** University employees with knowledge of an impending arrangement between the university and an outside entity with which they or their family members have financial interests, employment, or other involvements are to disclose those facts to their administrative superior before the university approves the proposed arrangement. See (B)(9) for details.

No university employee is to use or attempt to use his/her public position or state property, including property leased by the state, to secure or attempt to secure anything or the promise or offer of a thing of value that is of such a degree to manifest an improper substantial influence upon him/her with respect to his/her duties. No university employee is to solicit or accept from any person or organization anything of value pursuant to an expressed or implied understanding that his/her conduct of university business would be influenced thereby. No university employee is to receive private financial gain arising from the sale of textbooks or other materials used in a course in which the employee is an instructor. See (B)(11, 12, 14, 22) for details.

**Research contract disclosures and other contract requirements:** University employees who wish to propose or are involved in university sponsored research or other sponsored programs are expected to review and adhere to all university policies, procedures, and obligations related to proposing, managing, reporting of results, and other aspects of such projects.... Each investigator must disclose all significant financial interests including those of family members if legally required, as well as any other potential conflicts of interest as defined in paragraphs (h)(6) and (h)(21) of this rule. See (B)(16, 17 & 18) for details.

University employees are prohibited from negotiating or entering into contracts or other agreements which claim, imply, or appear to involve the university, unless such actions are part of their official university duties and within the scope of their employment.... No university employee, in their official capacity, in a position to approve or influence a contract or lease may enter into such a contract or lease which involves the university employees' family members, business associates, or any organization with which the university employee is associated whether or not the contract or lease derived in whole or in part from university funds. See (B)(19) for details.

**Management of employees:** University employees with outside business interests or outside consulting activities must ensure that the activities of university students, staff, post doctoral fellows, visiting scholars, and other employees are not exploited by those outside interests and activities. Nepotism is an impermissible conflict of interest as defined in paragraph (h)(5) of this rule. See (B)(20, 26) for details.

**University principles for research and sponsored programs:** See (F) for details.

**Policies and procedures governing scholarly misconduct:** See (G) for details.