



1. Call to Order
2. Approval of the October 15, 2025 University Senate Meeting Minutes (Action)
3. Report of the Chair (Information)
 - Technical and Legal Amendments
 - Technical & Legal Updates to the University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded Research (II-3.10[C]) (Senate Document #25-26-15)
 - Updates to the University of Maryland Policy on Institutional Conflicts of Interest, X-14.00(A) (Senate Document #25-26-16)
 - Updates to the University of Maryland Policy on Organizational Conflicts of Interest, II-3.10(F) (Senate Document #25-26-17)
4. Special Order
Jack Blanchard
Associate Provost for Enterprise Resource Planning, University of Maryland
Updates on the Workday Student Implementation
5. Amendment to Policy III-7.00(A): Replacement of Scholarly Paper/Exam with Culminating Project (Senate Document #25-26-19) (Action)
6. Deactivation to the University of Maryland Procedures on Conflicts of Interest and Conflict of Commitment (II-3.10[B]) (Senate Document #25-26-14) (Action)
7. New Business
8. Adjournment



CALL TO ORDER

Senate Chair Dammeyer called the meeting to order at 3:19 p.m.

APPROVAL OF THE MINUTES, SEPTEMBER 11, 2025 MEETING

Chair Dammeyer asked if there were any corrections to the minutes of the September 11, 2025, meeting; hearing none, Chair Dammeyer declared the minutes approved as distributed.

Senator Herman, PTK, CMNS, asked for a point of order. Herman inquired on the practice of voting on items presented under new business and expressed concern of the straw poll votes being approved by the Senate at the September meeting.

Chair Dammeyer clarified that the recent bylaw changes pertaining to voting on items presented under new business applies to matters of procedural and operational practices and does not apply to the informational non-binding straw poll.

REPORT OF THE CHAIR (INFORMATION)

Passing of Senator Michael Elonge

Chair Dammeyer shared the passing of Associate Professor Michael Elonge, who was serving as a Senator for the College of Agriculture and Natural Resources, and as an alternate member for the Council of System Faculty (CUSF). Chair Dammeyer mentioned that Professor Elonge had previously served as a Senator and as a member of the Elections, Representation, & Governance (ERG) Committee.

Chair Dammeyer stated that Professor Elonge joined the University of Maryland Extension in Baltimore City in 2008. Professor Elonge served Baltimore City and the State of Maryland with humility, intelligence, and heart. It was shared that Professor Elonge was passionate about economics, entrepreneurship, eviction prevention, and housing.

An 'In Memoriam' slide was shared with the University Senate to honor Senator Elonge.

Committee Vacancies

Chair Dammeyer reminded the University Senate of the remaining Non-Exempt Staff vacancies for standing committees and the need for volunteers for the vacant positions.

Chair Dammeyer highlighted the following vacancies:

- One (1) Non-Exempt Staff seat on the Educational Affairs Committee
- One (1) Non-Exempt Staff seat on the ERG Committee
- One (1) Non-Exempt Academic seat and one (1) Non-Exempt Contingent II seat on the Staff Affairs Committee

Chair Dammeyer asked Senators to share the volunteer form with those who may be interested in volunteering for these committees, noting that the form must be submitted by October 17, 2025. The form link will be shared in the University Senate Meeting Overview.

Volunteers for the Nominations Committee

Chair Dammeyer shared that following the September University Senate meeting, Senators whose term ends in May 2026 received an email about volunteering for the University Senate Nominations Committee.

Chair Dammeyer explained that every year, the Nominations Committee solicits nominations for the University Chair-Elect and membership on the Senate Executive Committee, the Committee on Committees, and other University-wide elected committees and councils. Chair Dammeyer noted that the committee would meet between January and April.

Chair Dammeyer encouraged interested outgoing Senators to self-nominate for the Nominations Committee via a Google form, noting that the form must be completed by October 17, 2025. Chair Dammeyer added that those interested may contact the University Senate Office for additional information or assistance.

Senator-Constituency Communication

Chair Dammeyer reminded Senators to share the University Senate Overview with their assigned constituencies after each University Senate meeting. It was shared that Senators may add personal commentary when distributing the Overview, but must clearly indicate that any additional opinions are their own and not of the University Senate.

Chair Dammeyer explained that to distribute the Overview, Senators should reference the Google Group list found in the University Senate ELMS page under the "Senator Constituency Communication" module and email the Overview to their assigned Google Group address at umd.edu (GoogleGroup@umd.edu). The Google Group list is updated before each distribution to reflect recent Senator changes.

Chair Dammeyer stated that Senators should contact the University Senate Office, which works with the Division of Information Technology (DIT) for technical assistance with Google Groups.

Senate Office Staffing Updates

Chair Dammeyer shared that the University Senate Office is currently hiring. Chair Dammeyer shared that University Senate Office Coordinator Danielle Bretz stepped down from the position, creating an additional vacancy in the University Senate Office. It was explained that pending a successful search, the University Senate office would hire two candidates to fill the coordinator vacancies.

Chair Dammeyer thanked Danielle for her incredible contributions on behalf of the University Senate. Chair Dammeyer thanked the Senators for their understanding and patience as the University Senate Office experiences limited staffing and as they hire and complete the onboarding process for new staff.

SPECIAL ORDER OF THE DAY

Darryll J. Pines **President of the University of Maryland** ***2025 State of the Campus Address***

Chair Dammeyer invited Dr. Darryll Pines, President of the University of Maryland, to present the 2025 State of the Campus Address.

President Pines thanked Chair Dammeyer, Director Marin, and Parliamentarian Falvey, as well as Senators, for their service and support to shared governance on campus.

President Pines introduced Dr. Blakely Pomietto, Assistant President and Chief of Staff, Patrick O'Shea, Vice President of Research, Charles "Bob" Reuning, Vice President and Chief Administrative Officer, and Jim Smith, Athletic Director, as newly appointed members of the University's leadership.

President Pines proceeded to present on Current Events, Indicators of Excellence, Major Initiatives, Community Success, the Moving *Forward* Campaign, and Terp Pride.

Current Events

President Pines acknowledged the current government shutdown, currently in its 15th or 16th day, with no clear end in sight. President Pines recognized the difficult impact on the DMV area community members whose partners, spouses, and family members work for the federal government or are federal contractors.

President Pines outlined a four-part strategic response to managing dynamics of the new federal administration, including Dear Colleague letters, executive orders, and lawsuits. First, it was shared that the University engages with the administration and federal delegations (Congress representatives and senators) on issues affecting higher education broadly and the University of Maryland specifically. Secondly, when legal challenges are warranted, the university coordinates with Maryland's State Attorney General, who represents the university and University System institutions. President Pines shared examples of this, which included challenging Office of Management and Budget (OMB) letters regarding Facilities and Administrative (F&A) rates for the National Institutes of Health (NIH) and F&A rates for the Department of Defense, and the F&A rates for the Department of Energy. President Pines explained that the university has joined consortium lawsuits, primarily led by politically blue states, which have successfully slowed changes to F&A rates for research and development. Third, President Pines highlighted how the university works to adapt and analyze the impact of federal policy choices while exploring new ways to achieve collective goals. Fourth, President Pines shared that the university is continuously assessing the budget implications at the federal and state levels, with regular consultations with the Senate and broader community to address concerns and adapt to changing dynamics.

President Pines mentioned that if the government shutdown extends beyond the current duration, additional analysis would be needed regarding the impacts on grants and contracts. President Pines reminded attendees of the [Government Affairs website](#), recently updated on October 1, which includes updated information related to items affecting higher education and the University.

Indicators of Excellence

President Pines expressed thanks to all of the deans, faculty, staff, and students for the work they do.

President Pines shared Indicators of Excellence at the University, including the US News & World Report ranking. President Pines noted the University of Maryland has achieved its highest-ever US News & World Report undergraduate ranking at 16th among public universities and 42nd overall, representing a significant improvement from 64th when President Pines started his term in 2020. President Pines credited Provost Rice, deans, and faculty for their sustained work towards excellence. It was shared that in 2020, Provost Rice convened a working group to address reputational impact and visibility while maintaining institutional values and mission. President Pines noted that the resulting strategic focus over four to five years has driven a 22-spot improvement, marking the first time the university reached the top 50 overall.

President Pines highlighted that the US News & World Report placed several programs in the top 10, including computer science, artificial intelligence, cybersecurity, education, and marketing/business. President Pines reported that the University reached the top 10 in Forbes rankings for the first time in its history. It was also highlighted that the University has been in the top 10 for seven consecutive years on the Princeton Review for Undergraduate Entrepreneurship, which President Pines attributed to the Academy for Innovation and Entrepreneurship and the Smith School of Business. President Pines also highlighted that the increased patent production by scientists on campus has earned the University a top 10 ranking among public institutions from the National Academy of Investors. It was also shared that the National Bureau of Economic Research ranks the University in the top five for doctoral programs in quantum science, artificial intelligence, space technology, and network technology.

President Pines shared that when combining research expenditures with the University of Maryland, Baltimore, the fiscal year 2025 total reaches approximately \$1.53 billion. Because of this, the University is ranked 11th among all public institutions of research in the National Science Foundation's Higher Education Research and Development (HERD) rankings for research expenditures. The Shanghai ranking, which measures research excellence, productivity, citations, and placement in high-quality journals over approximately 15 years, also ranks the University 11th among all U.S. schools and maintains a strong position among Big Ten and public peers.

Major Initiatives

President Pines shared various major initiatives, which include various campus improvements that focus on safety, modernization, and creating a welcoming environment. President Pines reported that facilities management updated lighting and fixtures throughout McKeldin Mall, significantly brightening the previously dark area. It was also reported that green bike lanes had been installed campus-wide to provide guidance for micro-mobility users. Additionally, Barry P. Gossett Basketball Performance Center, a world-class facility for men's and women's basketball teams, has opened, making the university no longer the only Big Ten school without such a facility. President Pines shared that the SECU Stadium received a \$2 million safety update, which included installing handrails in the aisles. Athletic Director Jim Smith and Sean Flynn from Athletics Operations were praised for addressing the previous safety concern.

President Pines shared that in response to graduate student advocacy and faculty input, the university is developing affordable graduate housing with an innovative concept. The Discovery House, built on the former Leonardtown site, will accommodate 750 students with below-market

housing options beginning in 2026-2027. The project nearly doubles on-campus graduate housing capacity and will provide the largest amount of university-owned housing among Big Ten schools. The facility will feature the "Grand Challenges Graduate Community" (GC²), envisioned by Dean Steve Roth and Provost Rice as potentially the first living-learning graduate community of its kind. This concept brings together graduate students from different disciplines working on interdisciplinary research in the same housing complex with specialized programming.

President Pines presented on the Grand Challenges Program, launched by Provost Rice through the Fearlessly Forward strategic plan following the pandemic, which allocated \$30 million across 50 projects submitted by faculty, staff, and students to address societal problems. Three institute-level projects each received \$3 million over three years beginning in 2022-2023.

President Pines highlighted these three projects:

- The Maryland Initiative for Literacy and Equity (MILE), led by Dr. DJ Bolger in partnership with Morgan State and several campus units, addressed Maryland's literacy crisis, where 15-20% of third and fourth-graders read below grade level. Despite Maryland ranking above the national average in 2013, scores declined over ten years to fall below both the national average and Mississippi. The team's three-year effort using research techniques and collaboration with K-12 educators under the Blueprint strategy has shown results, with fourth-grade reading and math scores increasing for the first time in years.
- The Climate Resilience Network, led by Dr. Ralph Ferraro from the School of Computer, Mathematical, and Natural Sciences (CMNS), created sensor networks, including HydroNet, to monitor Chesapeake Bay water levels through Wi-Fi-connected dashboards for decision makers to plan for flooding events. The Mesonet program placed weather stations with sensors in every Maryland county and city to measure indicators affecting weather patterns, enabling efficient first responder coordination and cost savings.
- The Maryland Democracy Initiative, supported by leadership from the College of Education, School of Behavioral and Social Sciences (BSOS), School of Journalism, and the School of Public Policy, received a \$6 million gift from Marsha and Henry Laufer. The initiative created a scholars' internship program and is developing the K-12 civic education curriculum, as most Maryland students currently receive no civic education. It was shared that the scalable model may expand to other states.

President Pines shared additional major initiative updates:

- Quantum computing work from the Joint Quantum Institute has created an ecosystem spanning academic scholarship and economic development, attracting Microsoft to co-locate in the Discovery District under the governor's Capital of Quantum initiative to help scale quantum technologies, particularly software.
- Artificial intelligence initiatives include personalized health bots, virtual study assistance, and the Smith School of Business's free online AI certificate program with over 30,000 enrollees. A new Bachelor's degree program in human-centered AI, led by the Department of Philosophy in Arts and Humanities, will launch in fall 2026 as the first of its kind nationally, bringing together humanists and STEM fields to address ethical and equitable AI use.

- The Arts for All Initiative held over 40 events during the Next Now Festival, with Dean Stephanie Shone hosting conversations, including one with NPR's Peter Sagal and another with Kermit the Frog that led to Kermit appearing at commencement. It was shared that the College of Arts and Humanities ' Master's in Fine Arts program created new outfits for Testudo.
- Various archival projects supported by the Mellon Foundation and Roshan Cultural Heritage Institute include a \$1.5 million endowment to preserve and access information on indigenous populations and create the first open-access Persian digital library with scholar-vetted texts.
- The Terrapin Commitment program, created with \$20 million in initial funding to support Pell-eligible and low-income students, has grown enrollment of Pell students from 16% to 21% campus-wide, with cumulative commitments exceeding \$53 million.

Community Success

President Pines shared that the University has 105 total memberships in the National Academies. There were 34 new memberships since 2020: the most recent being Kan Cao, Shenqiang Ren, John Haltiwanger.

President Pines recognized Dr. Bonnie Thornton Dill, former Dean of Arts and Humanities, for winning the President's Medal and asked for applause for Dill. Pines also recognized Provost Jennifer King Rice for being named one of Washington's Top 100 Most Powerful Women by Washingtonian magazine.

President Pines recognized the College of Journalism for earning a Pulitzer Prize recognition for the first time. The Howard Center for Investigative Journalism's "Lethal Restraint" collaboration was named a finalist for the Pulitzer Prize for Investigative Reporting.

President Pines highlighted various student achievements, including first-place finishes in both graduate and undergraduate categories at the Vertical Flight Society Student Design Competition, a 14th overall finish at the International Collegiate Programming Contest World Finals, and an honorable mention in an architecture competition designing a concrete fire station.

President Pines shared that Team Defend X from the X Foundry competition won \$250,000 in the school safety experience competition by developing technology that detects hidden weapons within three seconds. President Pines shared that multiple firms are interested in acquiring the intellectual property for school safety applications.

Moving Forward Campaign

President Pines showed a video that highlighted a new *Moving Forward* Campaign, which will be launching in the fall.

Terp Pride

President Pines acknowledged the dining services team and the work they do for the students on campus. President Pines shared that on an average day, the dining services team serves 14,000 people and more than 27,000 meals. The Purple Zone team was specifically highlighted. The Purple Zone team is a team of trained chefs and servers who prepare food at special stations free from the

most common allergens students may have. President Pines thanked Vice President Patty Perillo and the team in dining services for their work.

President Pines concluded the state of the campus, and Chair Dammeyer opened the floor to questions.

Senator Das, TTK, ENGR, raised concerns regarding a proposal to limit international student visas to four years and remove the duration of status for student visas. Das requested that the university act to formally comment on amending the proposal due to its effects on graduate students and international student applications.

President Pines ensured that the university joined partnerships to work with the Association of American Universities (AAU), the American Public Land Grant Universities (APLU), and the American Council of Education (ACE) to release a statement regarding H-1B visas. President Pines expressed that the issue is being watched closely.

Senator Colombi, Undergraduate Student, CMNS, asked a question about how the university justifies hosting events and supporting student groups that invite individuals whose role involves acts of violence, expressing concern about the university allowing and encouraging such groups to continue operating on campus.

President Pines shared that he was unaware that the situation occurred and clarified that each independent group has the right to bring individuals they would like, as long as the invited individuals do not violate the university policies and rules. He concluded by expressing sensitivity to the concerns raised and committed to investigating how the invitation was extended to ensure compliance with the university policies and procedures.

Senator Sunderland, TTK, ENGR, referenced the Senate's April approval of a mutual defense compact for Big Ten universities to protect academic freedom against federal pressure. It was asked whether the administration has been offered the federal "Compact for Excellence in American Universities", noting MIT declined, while the University of Texas is favorable and requested information on the university's response plan since the compact has reportedly been offered to all universities.

President Pines shared that the university did not receive a formal letter from the Department of Education or the White House pertaining to the compact for academic excellence for higher education. President Pines mentioned that there have been discussions with the University System of Maryland Chancellor, and the university's response would be similar to MIT's response.

Chair Dammeyer thanked President Pines.

PROPOSAL FOR BEREAVEMENT POLICIES AND PRACTICES TOWARD AN INCLUSIVE COMMUNITY OF CARE (SENATE DOCUMENT #23-24-27) (INFORMATION)

Chair Dammeyer reported that at the April 24, 2025 University Senate Meeting, the Academic Procedures & Standards (APAS) Committee presented recommendations for revisions to the University of Maryland Policy on Excused Absence (V-1.00[G]) based on the proposal for Bereavement Policies and Practices Toward an Inclusive Committee Care.

Chair Dammeyer explained that when the committee presented their recommendations, an amendment pertaining to the presented recommendation of the number of self-signed excused absences was added via University Senate floor amendment. The floor amendment increased the number of self-signed excused absences from the committee recommendation of one to two. The final amended policy was forwarded to President Pines for approval.

Chair Dammeyer reported that President Pines had the option to Approve, Amend, or Reject any recommendations from the Senate. Chair Dammeyer shared that President Pines reviewed the policy revisions and did not approve the Senate floor amendment. A memo from President Pines explaining the rationale for his amendments and approval was included with the meeting materials.

PCC PROPOSAL: ESTABLISH A BACHELOR OF SCIENCE IN ENVIRONMENTAL AND RESOURCE ECONOMICS (SENATE DOCUMENT #25-26-12) (ACTION)

Chair Dammeyer invited Meredith Gore, Chair of the Programs, Curricula, & Courses (PCC) Committee, to present on the item.

Gore shared that the College of Agriculture and Natural Resources' Department of Agriculture and Resource Economics proposes to establish a Bachelor of Science in Environmental and Resource Economics.

Gore explained that the new undergraduate major would equip students with a rigorous foundation in economics, quantitative methods, and environmental policy, enabling them to address some of the world's most pressing environmental challenges. Graduates of the program will be well-prepared for careers in data analytics, environmental policy, and sustainable resource management.

The 42-43-credit curriculum includes foundational courses in economics and statistics, upper-level major coursework in areas such as environmental economics, energy economics, economic development, and natural resource policy. The program will require a field specialization chosen from four (4) areas.

Gore said the program would build upon an existing specialization in Environmental and Resource Economics within the Agricultural and Resource Economics major. The existing specialization will be phased out if the new major is implemented.

Gore reported that due to the program already existing as a specialization in an existing major, no new resources would be needed.

The proposal was approved by the Senate Programs, Curricula, and Courses Committee at its meeting on September 5, 2025.

The Program, Curricula, and Courses Committee moved the proposal to establish a Bachelor of Science in Environmental and Resource Economics be approved.

Chair Dammeyer opened the floor for discussion. Hearing none, Chair Dammeyer called for a vote on the proposal to establish a Bachelor of Science in Environmental and Resource Economics (Senate Document #25-26-12).

The result was 105 in favor, 1 opposed, and 4 abstentions. **The vote passed.**

NON-BINDING STRAW POLL REGARDING IN-PERSON SENATE AND COMMITTEE MEETINGS (ACTION)

Chair Dammeyer reported that at the September 11, 2025 University Senate meeting, Senator Lathrop, TTK, CMNS, moved to conduct two non-binding straw polls voting on members' preferences for the format of University Senate meetings and University Senate committee meetings and if they should be held in person, virtually, or in a hybrid format. The University Senate voted to include the questions in a non-binding straw poll at the following University Senate meeting.

Chair Dammeyer opened the floor for discussion.

Senator Moradi, PTK, CMNS, expressed concern for those who are off campus and their ability to attend in-person meetings. Moradi argued that with only one two-hour meeting per month (approximately 20 hours annually), the screen time concern is minimal and does not justify limiting faculty participation. Moradi cautioned that while the current vote is non-binding, it could lead to a binding proposal requiring in-person attendance. Moradi urged Senators to vote no and maintain virtual meetings.

Senator Sunderland, TTK, ENGR, read a statement on behalf of Senator Lathrop, TTK, CMNS, who was traveling. Lathrop explained that University Senate meetings had been fully virtual since COVID, and while some Senators prefer the virtual format, others prefer an in-person option. Lathrop clarified that the purpose of the straw poll would be to gauge interest in holding hybrid University Senate meetings more frequently, where Senators could choose to attend either in person or virtually.

Senator Colombi, Undergraduate Student, CMNS, recognized Brandon Lang, an undergraduate student in CMNS, to speak. Lang shared that they believed that University Senate meetings and committee meetings should be held in person, with limited virtual options for those who need it. Lang mentioned that in-person meetings promote transparency, whereas virtual meetings create distance with participants hiding behind screens. It was noted that they only learned about the University Senate meeting because it was held in person at STAMP; otherwise, they would not have known about it. Lang concluded that in-person meetings are more engaging, help build relationships, and enable better collaboration.

Senator Colombi, Undergraduate Student, CMNS, added that the online format makes it challenging for students to engage in the meeting. Colombi questioned how effective democratic procedures could occur without in-person participation. Colombi suggested that offering hybrid meetings would demonstrate greater accountability and care toward the student body.

Senator Simpkins, PTK, AGNR, reminded the members of the meeting that there are faculty members from the University of Maryland Extension who participate in the University Senate, who can only participate in the meeting virtually due to distance. Simpkins stated that both in-person and virtual options should be allowed to include Senators representing faculty from across the state.

Senator Zimmerman, PTK, SPHL, expressed support for hybrid and virtual meetings, while personally preferring in-person interaction, noted their colleagues include extension faculty and meetings spanning various campus locations, making travel challenging. Zimmerman emphasized that the resources for faculty, staff, and students to work on campus democracy are precious, and financial resources are limited, with room rentals being expensive. Zimmerman suggested reserving in-person meetings for when face-to-face interaction is particularly important, using hybrid formats strategically,

and staying online otherwise to maximize efficiency and effectiveness while ensuring the right people can participate regardless of format.

Director Marin provided information regarding the financing and budgeting needed for in-person meetings. Director Marin stated that it costs the University Senate Office, on average, \$2,100 to \$2,800 to conduct the in-person Senate meeting in spaces like the Grand and Colony Ballrooms.

Senator Raianu, TTK, ARHU, raised two concerns. First, Raianu noted that proponents of in-person meetings have cited arguments about screen time and democracy without providing evidence to support the claims beyond personal preference. Secondly, Raianu expressed confusion about the options being considered in the straw poll and requested clarification on whether the straw poll would include three options or if the fully in-person option was withdrawn.

Chair Dammeyer clarified that there would be three options for the vote: in-person, virtual, and hybrid.

Senator Johnson, Part-Time Undergraduate, BSOS, shared favor for a gradual shift to a hybrid format. Johnson suggested gauging interest through a vote before each Senate meeting to determine if the next meeting should have an in-person option or establishing a quarterly system where important meetings, such as the first and last of the year, offer in-person attendance while monthly meetings remain virtual. Johnson emphasized the importance of maintaining a virtual option for part-time students, noting they commute about an hour to campus daily and have commitments outside of school, as do many students with work and family obligations. Johnson emphasized supporting a gradual move toward hybrid meetings while allowing time to evaluate the cost-benefit analysis of the approach.

Senator Lohff, Graduate Student, PLCY, shared support for a hybrid format. Lohff emphasized that a hybrid option is more accessible for students with limitations that prevent them from attending in person, and voiced support for maintaining that flexibility.

Senator Walker Hirsh, Graduate Student, ARHU, questioned how hybrid formats would address democratization and access to Senators, since digital participants would still have limited visibility and accessibility. Walker Hirsh suggested democratization and access to Senate leadership should be addressed separately through a dedicated proposal rather than being connected to the meeting format. As a commuter, Walker Hirsh acknowledged the difficulty of traveling to campus for meetings. While supportive of hybrid formats in theory, they argued hybrid meetings wouldn't solve the problems proponents raised and suggested alternative approaches, such as more consistent town halls with constituencies.

Senator Miller, PTK, CMNS, expressed concern regarding the three-way vote format that was presented and asked if the questions could be separated.

Chair Dammeyer stated that the questions would be kept the same.

Senator Miller encouraged Senators with a preference for virtual meetings to vote for the hybrid option. Miller shared personal experience for the hybrid format, expressing that sickness and class scheduling prevented them from attending the Senate meetings in-person, and the hybrid option provided them the ability to vote on the matters discussed.

Chair Dammeyer reminded Senators that the vote would be informational and that the University Senate office would interpret the results appropriately.

Senator Herman, PTK, CMNS, addressed the cost concerns raised about in-person meetings. Herman suggested that classrooms could be reserved for in-person Senate meetings at no cost, as they were prior to the pandemic.

Senator Osuji, TTK, BSOS, addressed engagement concerns by noting regular teaching of online and hybrid classes with maintained engagement through measures like requiring cameras to be on. Osuji supported a hybrid option, citing accessibility and mobility issues and the difficulty of traveling to campus during rush hour. Osuji suggested implementing an RSVP system where participants request virtual links a day in advance rather than assuming automatic online attendance, accommodating both formats while aiding planning.

Senator O'Neal, TTK, EDUC, expressed support for a hybrid meeting option. O'Neal emphasized the importance of building relationships, trust, and alliances across university groups, particularly given current political concerns. O'Neal stated that having an in-person option through hybrid meetings would provide better opportunities to develop these relationships and connections.

Senator Delwiche, TTK, CMNS, voiced concern for the distinction between full Senate meetings and committee meetings. Delwiche shared that there are extremely strong arguments in favor of hybrid meetings for full Senate meetings due to the format facilitating inclusive participation. Delwiche raised concerns about committee meetings, citing issues with maintaining confidentiality and informal communication, which Delwiche noted as extremely important in committee work. Delwiche questioned whether information would be gathered separately to differentiate between preferences for full Senate meetings versus committee meetings.

Chair Dammeyer clarified that there would be two separate questions, one about committees and one about Senate meetings, and, hearing no further discussion, called for a vote on the non-binding straw poll regarding in-person Senate meetings and committee meetings.

Chair Dammeyer reminded Senators of the non-binding nature of the poll and that the information received from the poll would provide insight for planning future University Senate and Standing Committee meetings.

The result for the non-binding straw poll regarding University Senate meetings was 4 in-person, 14 virtual, and 92 hybrid.

The result for the non-binding straw poll regarding Standing Committee meetings was 17 in-person, 21 virtual, and 67 hybrid.

NEW BUSINESS

Chair Dammeyer opened the floor for New Business.

Chair Dammeyer asked for additional New Business. Hearing none, Chair Dammeyer adjourned the meeting.

ADJOURNMENT

The meeting was adjourned at 4:58 PM.



Technical & Legal Updates to the University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded Research (II-3.10[C])

NAME/TITLE	Sarah Hughes, Assistant Director of Research Policy Compliance		
EMAIL	sehughes@umd.edu	PHONE	301-405-9238
UNIT	Division of Research, Office of Research Transparency & Outreach	CONSTITUENCY	Staff

DESCRIPTION OF ISSUE

In May 2025, the Office of the President and the Division of Research created and approved revisions to the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10[A]) (“the COI/COC Policy”) to address new federal/state laws and regulations, federal funding agency requirements, and new implementation processes that support these mandates, including the launch of the University’s inTERP disclosure system. The University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded Research (II-3.10[C]) (“the FCOI Policy”) is subordinate to the COI/COC Policy and describes many of the same processes as are used for the COI/COC Policy. The significant revisions to the COI/COC Policy created a misalignment, as well as inconsistencies and inaccuracies within the subordinate COI policies (FCOI, ICOI, OCI). The Division of Research took steps to make technical amendments to all three subordinate COI policies to align them with the structure, format, and content of the COI/COC Policy.

DESCRIPTION OF CHANGE YOU WOULD LIKE TO SEE

The FCOI Policy focuses on requirements related to financial conflicts of interest (FCOIs) for sponsored projects that are funded by a grant, cooperative agreement, or contract with the U.S. Public Health Service (PHS). Such sponsored projects are governed by PHS regulations on Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F) and Responsible Prospective Contractors (45 C.F.R. Part 94). The University’s FCOI Policy articulates the University’s process for complying with these regulations.

Technical amendments were made to the FCOI Policy in order to align with the COI/COC Policy. The revisions include the following:

- The definitions section was moved and expanded to be more comprehensive;
- Information about disclosure procedures and management plans were updated to align with new processes;
- The names of offices and titles were revised and acronyms and abbreviations were applied consistently; and
- Additional editorial/grammatical corrections were made.

SUGGESTION FOR HOW YOUR PROPOSAL WOULD BE PUT INTO PRACTICE

The technical amendments to the FCOI Policy were approved by the President on May 22, 2025.

ADDITIONAL INFORMATION

The revisions made to the FCOI Policy are consistent with the technical amendments made to the University of Maryland Policy on Organizational Conflicts of Interest (II-3.10[F]) (“the OCI Policy”) and

the University of Maryland Policy on Institutional Conflicts of Interest (X-14.00[A]) (“the ICOI Policy”). FCOI processes are further described in the Disclosure and Conflict Management Guidelines, available online at: <https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/coi-policies-and-procedures>.

New Text in Blue/Bold (**example**), Removed Text in Red/Strikeout (~~example~~),
 Moved Text in Green/Bold (**example**) or Green/Strikeout (~~example~~)

II-3.10(C) UNIVERSITY OF MARYLAND PROCEDURES ON FINANCIAL CONFLICTS OF INTEREST IN PUBLIC HEALTH SERVICE FUNDED RESEARCH

(Approved by the President, August 24, 2012, **Technical and legal amendments May 22, 2025**)

I. Purpose

The University of Maryland, ~~College Park (“UMCP”)~~ (**“the University”**) adopts **the University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded Research (“this Policy”)** ~~and Procedures~~ as required to implement and to comply with U.S. Public Health Service (“PHS”) regulations on Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F) and Responsible Prospective Contractors (45 C.F.R. Part 94). The purpose of this Policy is to comply with PHS regulatory requirements and their goal of promoting objectivity in PHS Funded Research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of ~~R~~**Research** funded under PHS grants, cooperative agreements and contracts will be free from bias resulting from Investigators’ Financial Conflicts of Interest (FCOIs).

II. **Definitions** ~~Applicability~~

- A. **“COI Administrator”**: **means the individual** ~~UMCP’s Conflict of Interest Compliance Administrator, as appointed from time to time by the University’s Vice President for Research and Chief Research Officer, in accordance with UMCP’s Procedures on Conflict of Interest and Conflict of Commitment~~ **to support the implementation of the University’s COI/COC Policy and to oversee the work of the Disclosure Office and COI Committee.**
- B. **“COI Committee”**: **means** ~~The President’s the A~~**advisory** ~~C~~**committee** ~~on Conflicts of Interest, as appointed from time to time by the University’s President of the University, in accordance with UMCP’s Procedures on Conflict of Interest and Conflict of Commitment~~ **the University’s COI/COC Policy and based on the authority granted by the Maryland State Ethics Commission (SEC) regarding conflicts associated with Research or development.**
- C. **“COI Official”**: **means** ~~UMCP’s the University’s Vice President for Research and Chief Research Officer.~~
- D. **“Financial Conflict ~~Of~~ Interest (“FCOI”)**: **means** ~~a~~**A Significant Financial Interest that affects, or could appear to** ~~directly and significantly affect, the design, conduct, or reporting of PHS Funded Research.~~

- E. “Disclosure(s)” means information that is required to be provided on all outside professional activities, external relationships, and/or Significant Financial Interests.
- F. “Institutional Responsibilities” means ~~Aan~~ **Investigator’s professional primary duties and responsibilities** ~~on behalf of UMCP including, without limitation, research, education, administrative, and/or service responsibilities, and which may include for example such activities as research, research consultation, teaching, professional practice, committee memberships, and service on panels such as the Institutional Review Board, Institutional Animal Care and Use Committee, or data and safety monitoring board or committee at the University, as defined in their contract job duties, offer letter, or other comparable documentation.~~
- G. “Investigator” means ~~T~~ **the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of PHS Funded Research, or proposed for such funding, which may include, for example, collaborators or consultants.**
- H. ~~Manage: Taking action to address a Financial Conflict of Interest, which may include reducing or eliminating the Financial Conflict of Interest, to ensure to the extent possible that the design, conduct, and reporting of PHS Funded Research will be free from bias.~~
“Management Plan” means Aa written plan to Manage a Financial Conflict of Interest provided by the University that describes how a conflict or potential conflict will be managed.
- I. “PHS Funded Research” means ~~Aany~~ **Research which that is funded by PHS, including any PHS Unit.**
- J. “PHS Regulations” means ~~PHS~~ **PHS regulations promoting objectivity in Research (set forth at 42 CFR §50.601 et seq. and 45 CFR §94.1 et seq.), as they may be amended, supplemented, or replaced from time to time, and any other similar PHS regulations that may be promulgated.**
- K. “PHS Unit” means ~~T~~ **the organizational unit of the PHS that funds PHS Funded Research. PHS Units are the agencies within the Department of Health and Human Services (HHS) designated as components of PHS, as may be changed from time to time, including: (1) the Agency for Healthcare Research and Quality (AHRQ), (2) the Agency for Toxic Substances and Disease Registry (ATSDR), (3) the Centers for Disease Control and Prevention (CDC), (4) the Food and Drug Administration (FDA), (5) the Health Resources and Services Administration (HRSA), (6) the Indian Health Service (IHS), (7) the National Institutes of Health (NIH), (8) the Substance Abuse and Mental Health Services Administration (SAMHSA), and the Office of the Inspector General (OIG).**
- L. “Research” means ~~Aa~~ **a systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health,**

including behavioral and social-sciences ~~Research~~. The term encompasses basic and applied research (e.g., a published article, book, or book chapter), and product development (e.g., a diagnostic test or drug). The term includes any such activity for which ~~Research~~ funding is available from a PHS Unit through a grant, cooperative agreement, or contract, whether authorized under the Public Health Service Act (42 U.S.C. §201 et seq.) or other statutory authority, including without limitation a ~~Research~~ grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or ~~Research~~ resources award.

M. “Senior/Key Personnel”~~: This term~~ includes the project director or principal ~~Investigator~~ and any other personnel considered to be essential to work performance in accordance with 48 CFR §352.242–70, and identified as key personnel in the sponsored project proposal and award.

N. “Significant Financial Interest”:

1. One or more of the following financial interests (i.e., anything of monetary value, whether or not the value is readily ascertainable) of an Investigator ~~(and those of the Investigator’s spouse and dependent children)~~ that reasonably appears to be related to the Investigator's Institutional Responsibilities:
 - a. Remuneration of any value from any entity during the twelve (12) months preceding the ~~Disclosure~~, including without limitation salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);
 - b. Any equity interest in any entity ~~(including any stock, stock option, or other ownership interest)~~;
 - c. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests;
 - d. An asset in a blind trust, if (i) the Investigator is aware that the asset is in the trust, or (ii) if the trust is not managed by an independent fiduciary; or
 - e. Any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available);
2. The term “Significant Financial Interest” does not include the following:
 - a. Salary, royalties, or other remuneration paid by ~~UMCP~~ the University to the Investigator if the Investigator is currently employed or otherwise appointed by ~~UMCP~~ the University, including intellectual property rights assigned to ~~UMCP~~ the University and agreements to share in royalties related to such rights;
 - b. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
 - c. An asset in a blind trust, but only if (i) the asset is not known to the Investigator (e.g., it was purchased by the trust with proceeds from assets

originally placed in the trust), and (ii) the trust is managed by an independent fiduciary;

- d. Income from seminars, lectures, or teaching engagements sponsored by: a federal, state, or local government agency; 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;
 - e. Income from service on advisory committees or review panels of: a federal, state, or local government agency; 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; or
 - f. Travel that is reimbursed or sponsored by: a federal, state, or local government agency; 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.
- O. “Unit” means a department, center, institute, division, or non-departmentalized College or School.
- P. “Unit Head”: means ~~The chair or director in an academic department~~ the administrator(s) responsible for a Unit and the individual(s) to whom a University Employee reports. A Unit Head may be a Director, Department Chair, Dean, Vice President, or a similar official in a non-academic uUnit, unless a different individual is designated by proper authority.
- ~~A. This Policy applies to any application for or receipt of research funding from PHS, including without limitation the National Institutes of Health (“NIH”), whether such funding is by means of a grant, cooperative agreement, or contract. However, this Policy shall only apply to PHS Funded Research with an issue date of the Notice of Award on or after August 24, 2012.~~
- ~~B. This Policy applies to each Investigator of PHS Funded Research.~~
- ~~C. Any Investigator conducting PHS Funded Research is also subject to: (a) USM Board of Regents Policy on Conflicts of Interest in Research and Development (III-11.1) and (b) UMCP Policy and Procedures on Conflict of Interest and Conflict of Commitment (II-3.10(A) and (B), respectively).~~
- ~~D. Notwithstanding anything contained herein, this Policy does not apply to any Small Business Innovation Research Program (“SBIR”) or Small Business Technology Transfer (“STTR”) Program Phase I applications.~~

III. Applicability Definitions

A. This Policy applies to any application for or receipt of ~~Research~~ funding from PHS, including without limitation the National Institutes of Health (“NIH”), whether such funding is by means of a grant, cooperative agreement, or contract. However, this Policy shall only apply to PHS Funded Research with an issue date of the Notice of Award on or after August 24, 2012.

B. This Policy applies to each Investigator of PHS Funded Research.

C. Any Investigator conducting PHS Funded Research is also subject to:

1. ~~(a) The University System of Maryland (USM) Board of Regents Policy on Conflicts of Interest in Research or and Development (II-11.1) (III-1.11); and~~
2. ~~(b) UMCP The University of Maryland Policy and Procedures on Conflict of Interest and Conflict of Commitment (II-3.10(A) (“the COI/COC Policy”) and (B), respectively); and~~
3. The University’s Disclosure and Conflict Management Guidelines.

D. Notwithstanding anything contained herein, this Policy does not apply to any Small Business Innovation Research Program (“SBIR”) or Small Business Technology Transfer (“STTR”) Program Phase I applications.

~~A. **COI Administrator:** UMCP’s Conflict of Interest Compliance Administrator, as appointed from time to time by the University’s Vice President for Research and Chief Research Officer, in accordance with UMCP’s Procedures on Conflict of Interest and Conflict of Commitment.~~

~~B. **COI Committee:** The President’s Advisory Committee on Conflicts of Interest, as appointed from time to time by the University’s President, in accordance with UMCP’s Procedures on Conflict of Interest and Conflict of Commitment.~~

~~C. **COI Official:** UMCP’s Vice President for Research and Chief Research Officer.~~

~~D. **Financial Conflict Of Interest (“FCOI”):** A Significant Financial Interest that could directly and significantly affect the design, conduct, or reporting of PHS Funded Research.~~

~~E. **Institutional Responsibilities:** An Investigator’s professional responsibilities on behalf of UMCP including, without limitation, research, education, administrative, and/or service responsibilities, and which may include for example such activities as research, research consultation, teaching, professional practice, committee memberships, and service on panels such as the Institutional Review Board, Institutional Animal Care and Use Committee, or data and safety monitoring board or committee.~~

~~F. **Investigator:** The project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of PHS Funded Research, or proposed for such funding, which may include, for example, collaborators or consultants.~~

~~G. **Manage:** Taking action to address a Financial Conflict of Interest, which may include reducing or eliminating the Financial Conflict of Interest, to ensure to the extent possible that the design, conduct, and reporting of PHS Funded Research will be free from bias.~~

~~H. **Management Plan:** A plan to Manage a Financial Conflict of Interest.~~

- ~~I. **PHS Funded Research:** Any Research which is funded by PHS, including any PHS Unit.~~
- ~~J. **PHS Regulations:** PHS regulations promoting objectivity in research (set forth at 42 CFR §50.601 *et seq.* and 45 CFR §94.1 *et seq.*), as they may be amended, supplemented, or replaced from time to time, and any other similar PHS regulations that may be promulgated.~~
- ~~K. **PHS Unit:** The organizational unit of the PHS that funds PHS Funded Research. PHS Units are the agencies within the Department of Health and Human Services (HHS) designated as components of PHS, as may be changed from time to time, including: (1) the Agency for Healthcare Research and Quality (AHRQ), (2) the Agency for Toxic Substances and Disease Registry (ATSDR), (3) the Centers for Disease Control and Prevention (CDC), (4) the Food and Drug Administration (FDA), (5) the Health Resources and Services Administration (HRSA), (6) the Indian Health Service (IHS), (7) the National Institutes of Health (NIH), (8) the Substance Abuse and Mental Health Services Administration (SAMHSA), and the Office of the Inspector General (OIG).~~
- ~~L. **Research:** A systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social sciences research. The term encompasses basic and applied research (e.g., a published article, book, or book chapter), and product development (e.g., a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS Unit through a grant, cooperative agreement, or contract, whether authorized under the Public Health Service Act (42 U.S.C. §201 *et seq.*) or other statutory authority, including without limitation a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.~~
- ~~M. **Senior/Key Personnel:** This term includes the project director or principal investigator and any other personnel considered to be essential to work performance in accordance with 48 CFR §352.242-70, and identified as key personnel in the sponsored project proposal and award.~~
- ~~N. **Significant Financial Interest:**~~
- ~~1. One or more of the following financial interests (i.e. anything of monetary value, whether or not the value is readily ascertainable) of an Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's Institutional Responsibilities:~~
 - ~~a. Remuneration of any value from any entity during the twelve (12) months preceeding the disclosure, including without limitation salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);~~
 - ~~b. Any equity interest in any entity (including any stock, stock option, or other ownership interest);~~
 - ~~c. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests;~~
 - ~~d. An asset in a blind trust, if (i) the Investigator is aware that the asset is in the trust, or (ii) if the trust is not managed by an independent fiduciary; or~~

- e. ~~Any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available);—~~
- 2. ~~The term “Significant Financial Interest” does not include the following:~~
 - a. ~~Salary, royalties, or other remuneration paid by UMCP to the Investigator if the Investigator is currently employed or otherwise appointed by UMCP, including intellectual property rights assigned to UMCP and agreements to share in royalties related to such rights;~~
 - b. ~~Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;~~
 - c. ~~An asset in a blind trust, but only if (i) the asset is not known to the Investigator (e.g. it was purchased by the trust with proceeds from assets originally placed in the trust), and (ii) the trust is managed by an independent fiduciary;~~
 - d. ~~Income from seminars, lectures, or teaching engagements sponsored by: a federal, state, or local government agency; 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;~~
 - e. ~~Income from service on advisory committees or review panels of: a federal, state, or local government agency; 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; or~~
 - f. ~~Travel that is reimbursed or sponsored by: a federal, state, or local government agency; 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.~~
- M. Unit Head:** ~~The chair or director in an academic department or a similar official in a non-academic unit, unless a different individual is designated by proper authority.~~

IV. Requirements

- A. Designation, ~~etc.~~
 - 1. The COI Official is designated as ~~UMCP's~~ **the University's** institutional official with overall responsibility for the solicitation and review of ~~d~~**D**isclosures of Significant Financial Interests from each Investigator who is planning to participate in, or is participating in, PHS Funded Research.
 - 2. The COI Committee is responsible for making determinations regarding Significant Financial Interests, ~~Financial Conflicts of Interest~~ **FCOIs** and Management Plans, as provided herein.
 - 3. The COI Administrator is responsible for coordinating and facilitating the processes established to implement this Policy and Procedures and shall coordinate such efforts with ~~UMCP's~~ **the University's** Office of Research Administration (**ORA**), ~~the Disclosure Office of Research Compliance~~, and/or the COI Committee, as appropriate.
 - 4. Input and advice may be solicited throughout such processes, as appropriate, from the Office of ~~Legal Affairs~~ **General Counsel**, other ~~UMCP~~ **University** and USM

personnel, federal agencies and from others unaffiliated with ~~UMCP~~ the University who may have relevant expertise.

B. Training

1. Each Investigator who is planning to participate in, or is participating in, PHS Funded Research must complete training related to ~~financial conflicts of interest~~ FCOIs (regardless of whether or not ~~a Financial Conflict of Interest~~ an FCOI exists).
2. Such training must be completed:
 - a. Prior to engaging in PHS Funded Research;
 - b. At least every four (4) years;
 - c. If the Investigator is new to ~~UMCP~~ the University, within sixty (60) days of the commencement of employment (~~but not later than the beginning of PHS Funded Research by the Investigator~~);
 - d. Whenever ~~UMCP~~ the University revises this Policy in a manner that affects the requirements of Investigators; and/or
 - e. When so directed as a result of an Investigator's non-compliance with this Policy or any Management Plan.
3. Training, or access to training, shall be provided by ~~UMCP~~ the University and shall include information regarding this Policy, PHS regulations, and the Investigator's responsibilities under this Policy and the PHS Regulations to disclose Significant Financial Interests of the Investigator (and ~~those~~ of the Investigator's spouse and dependent children).

C. Disclosure of Significant Financial Interests

1. Each Investigator who is planning to participate in, or who is participating in, PHS Funded Research shall disclose any Significant Financial Interest (including ~~those~~ of the Investigator's spouse and dependent children) ~~through his/her Unit Head to the COI Official or designee, if it reasonably appears that a Significant Financial Interest is related to the Investigator's Institutional Responsibilities~~. Such ~~d~~Disclosures shall be made as part of the application submission process. Alternatively, if no such Significant Financial Interest exists, the Investigator shall so certify as part of the application submission process.
2. Disclosures of Significant Financial Interests (or certifications that no such Significant Financial Interests exist) shall be made by each Investigator as follows:
 - a. At or before the time of submission of an application for PHS Funded Research;
 - b. At least annually during the period of the PHS Funded Research award;
 - i. The annual ~~d~~Disclosure shall include: (a) any new information that was not disclosed to the ~~COI Official or designee~~ University either initially or subsequently (e.g., any ~~Financial Conflict of Interest~~ FCOI identified on a PHS Funded Research project that was transferred from another institution); and (b) updated information regarding any previously disclosed Significant

- Financial Interest (e.g., the updated value of a previously disclosed equity interest);
- ii. Annual updates shall be required of all Investigators participating in a PHS Funded Research project, regardless of whether or not a Significant Financial Interest was previously disclosed.
 - c. Within thirty (30) days of the discovery or ~~acquiring~~ **acquisition** (e.g., through purchase, marriage, or inheritance) **of** a new Significant Financial Interest.
3. The ~~d~~**D**isclosures shall include without limitation the following information:
 - a. The nature and amount of remuneration received from any entity in the twelve (12) months preceding the ~~d~~**D**isclosure;
 - b. The name and address of the entity;
 - c. If there is an equity interest in the entity, any value as of the date of ~~d~~**D**isclosure; and
 - d. With respect to reimbursed or reimbursable travel expenses that require ~~d~~**D**isclosure: the purpose of the trip; the identity of the sponsor/organizer; the destination; and the duration of the travel.
 4. The COI Administrator shall notify the Investigator and/or Unit Head if further information is needed, including without limitation a determination or ~~d~~**D**isclosure of monetary value, in order to decide whether the disclosed Significant Financial Interest constitutes ~~a Financial Conflict of Interest~~ **an FCOI** with PHS Funded Research. The Investigator and/or Unit ~~h~~**H**ead shall provide any such additional information, as requested.
- D. Determination of **a** Financial Conflicts of Interest
1. Prior to ~~UMCP's~~ **the University's** expenditure of any funds under a PHS Funded Research project, all Investigator ~~d~~**D**isclosures of Significant Financial Interests shall be reviewed and the following determinations shall be made, as applicable, and consistent with this Policy and ~~the~~ PHS Regulations.

2. The COI Committee shall determine, in its reasonable discretion, whether any Significant Financial Interest is related to PHS Funded Research.
 - a. A Significant Financial Interest is related to PHS Funded Research if, ~~(as reasonably determined by the COI Committee);~~
 - i. the Significant Financial Interest could be affected by the PHS Funded Research; or
 - ii. the Significant Financial Interest is in an entity whose financial interest could be affected by the PHS Funded Research.
 3. If the Significant Financial Interest is related to PHS Funded Research, the COI Committee, in its reasonable discretion, shall then determine whether ~~a Financial Conflict of Interest~~ **an FCOI** exists.
 - a. ~~A Financial Conflict of Interest~~ **An FCOI** exists if the Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of PHS Funded Research.
 4. The COI Official may authorize the Chair of the COI Committee to designate a Subcommittee to conduct any review and/or determination regarding whether a Significant Financial Interest is related to PHS Funded Research and/or whether ~~a Financial Conflict of Interest~~ **an FCOI** exists.
 5. The COI Committee, ~~(or designated Subcommittee,)~~ may involve the Investigator, Unit Head, and others, as provided herein, in the determination of whether a Significant Financial Interest is related to PHS Funded Research and/or whether ~~a Financial Conflict of Interest~~ **an FCOI** exists.
 6. If it is determined that (a) Significant Financial Interest is related to PHS Funded Research and (b) ~~a Financial Conflict of Interest~~ **an FCOI** exists, the COI Committee shall communicate the determination to the Investigator and the Unit Head.
- E. Management of Financial Conflicts of Interest / Management Plans
1. If it is determined that ~~a Financial Conflict of Interest~~ **an FCOI** exists, ~~UMCP the University~~ will undertake such actions as are deemed necessary to ~~M~~manage the FCOI.
 2. The COI Administrator **and COI Committee** will work ~~with the Investigator and the Investigator's supervisor and Unit Head~~ to develop an appropriate Management Plan, **in accordance with the COI/COC Policy and the Disclosure and Conflict Management Guidelines**. The purpose of the Management Plan is to establish rules and procedures that provide a reasonable expectation that the PHS Funded Research associated with the Investigator's ~~Financial Conflict of Interest~~ **FCOI** will be free from bias. The Management Plan must specify the actions that have been, and shall be, taken to ~~M~~manage any ~~Financial Conflict of Interest~~ **FCOI** in accordance with this Policy and the PHS Regulations.
 3. ~~The Unit Head shall forward the Management Plan, through the appropriate dean or similar official, to the COI Administrator, who shall submit it to the COI Committee for review and recommendation as to approval. The recommendation of the COI Committee shall be subject to approval by the COI Official.~~ The COI Administrator,

COI Committee, and/or COI Official may require additional information from the Investigator, supervisor and/or Unit Head and may seek input and advice from others, as provided herein, in connection with the development and/or implementation of a Management Plan.

4. Actions, conditions, or restrictions that may be required under the Management Plan may vary depending upon the nature and extent of the ~~Financial Conflict of Interest~~ **FCOI**. Examples of actions, conditions, or restrictions that might be imposed to ~~manage a Financial Conflict of Interest~~ **an FCOI** include but are not limited to:
 - a. Public disclosure of ~~financial conflicts of interest~~ **FCOIs** (e.g., when presenting or publishing the Research);
 - b. For Research projects involving human subjects, disclosure of ~~financial conflicts of interest~~ **FCOIs** directly to participants;
 - c. Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the Research against bias resulting from the ~~Financial Conflict of Interest~~ **FCOI**;
 - d. Modification of the Research plan;
 - e. Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the Research;
 - f. Reduction or elimination of the Significant Financial Interest (e.g., sale of an equity interest); and/or
 - g. Severance of relationships that create financial conflicts.
5. The Investigator's Unit ~~h~~**H**ead is responsible for: (a) ensuring that steps set forth in the Management Plan are implemented; and (b) taking reasonable steps to ensure the Investigator's compliance with the Management Plan.

F. Reporting of Financial Conflicts of Interest

1. The COI ~~Official~~ **Administrator** shall be responsible for ensuring that all ~~Financial Conflict of Interest~~ **FCOI** reports and other information are submitted to the PHS Unit, as required by ~~the~~ PHS Regulations.
2. Such FCOI reports must be filed:
 - a. Prior to ~~UMCP's~~ **the University's** expenditure of funds under a PHS Funded Research project;
 - b. Within sixty (60) days, with respect to any Significant Financial Interest that is identified as ~~a Financial Conflict of Interest~~ **an FCOI** subsequent to the initial FCOI report during an ongoing PHS Funded Research project (e.g., upon the participation of an Investigator who is new to the PHS Funded Research project); and
 - c. Annually with respect to any ~~Financial Conflict of Interest~~ **FCOI** previously reported with regard to an ongoing PHS Funded Research project.

G. New Significant Financial Interests during Ongoing PHS Funded Research

1. This Section applies: (a) whenever an Investigator discloses a Significant Financial Interest that was developed or acquired after Research under a PHS ~~F~~**F**unded award had begun; or (b) whenever, in the course of an ongoing PHS Funded Research

project, an Investigator who is new to participating in the Research project discloses a Significant Financial Interest.

2. In any such event, within sixty (60) days of the ~~d~~Disclosure, the COI Committee, ~~(or designated Subcommittee,)~~ shall: (a) review the disclosed interest; (b) determine whether it is related to the PHS Funded Research; and (c) if so, determine whether ~~a Financial Conflict of Interest~~ **an FCOI** exists.
3. If ~~a Financial Conflict of Interest~~ **an FCOI** exists, ~~UMCP the University~~ shall implement, on at least an interim basis, a Management Plan that shall specify the actions that have been, and will be, taken to ~~Mmanage such Financial Conflict of Interest~~ **the FCOI** going forward. The COI ~~Official~~ **Administrator** shall report ~~the FCOI and Management Plan~~ to the PHS Unit as required by ~~the~~ PHS Regulations.
4. Depending on the nature of the disclosed interest, additional interim measures may be taken with regard to the Investigator's participation in the PHS Funded Research between the date of ~~d~~Disclosure and the completion of the review process.

H. Retrospective Review and Mitigation Report

1. If a Significant Financial Interest is not disclosed in a timely manner by an Investigator or, for whatever reason, was not previously reviewed by ~~UMCP the University~~ during an ongoing PHS Funded Research project (e.g., was not timely reviewed or reported by a subrecipient), the COI Committee, ~~(or designated Subcommittee,)~~ shall, within sixty (60) days of the ~~d~~Disclosure: (a) review the disclosed interest; (b) determine whether it is related to the PHS Funded Research; and (c) if so, determine whether ~~a Financial Conflict of Interest~~ **an FCOI** exists.
 - a. If ~~a Financial Conflict of Interest~~ **an FCOI** exists, ~~UMCP the University~~ shall implement, on at least an interim basis, a Management Plan that shall specify the actions that have been, and will be, taken to ~~Mmanage such Financial Conflict of Interest~~ **the FCOI** going forward. The COI ~~Official~~ **Administrator** shall report to the PHS Unit as required by the PHS Regulations.
 - b. Depending on the nature of the ~~Financial Conflict of Interest~~ **FCOI**, the COI Official may determine that additional interim measures are necessary with regard to the Investigator's participation in the PHS Funded Research project between the date that the ~~Financial Conflict of Interest~~ **FCOI** or the Investigator's non-compliance is determined and the completion of the retrospective review process.
2. In addition, whenever ~~a Financial Conflict of Interest~~ **an FCOI** is not identified or ~~Mmanaged~~ in a timely manner, ~~(including failure by the Investigator to disclose a Significant Financial Interest that is determined to constitute a Financial Conflict of Interest~~ **an FCOI**; failure by ~~UMCP the University~~ to review or ~~Mmanage such a Financial Conflict of Interest~~ **an FCOI**; or failure by the Investigator to comply with a Management Plan), the COI ~~Official~~ **Administrator** shall, within one hundred twenty (120) days of the determination of non-compliance: (a) complete a retrospective review of the Investigator's activities and the PHS Funded Research, or portion thereof, conducted during the time period of the non-compliance; and (b) determine whether or not there was bias in the design, conduct, or reporting of the

PHS Funded Research. The COI ~~Official~~ **Administrator** shall document the retrospective review as required by ~~the~~ PHS Regulations.

- a. Based on the results of the retrospective review, if appropriate, the COI ~~Official~~ **Administrator** shall update the previously submitted ~~Financial Conflict of Interest FCOI~~ report, specifying the actions that will be taken to ~~M~~manage the ~~Financial Conflict of Interest FCOI~~ going forward. If bias is found, the COI ~~Official~~ **Administrator** shall notify the PHS Unit promptly and submit a mitigation report to the PHS Unit, in accordance with ~~the~~ PHS Regulations. Thereafter, the COI ~~Official~~ **Administrator** shall submit ~~Financial Conflict of Interest FCOI~~ reports annually.

I. Monitoring / Internal Reporting

Whenever a Management Plan is implemented, the Investigator's Unit Head shall be responsible **for**: (a) ~~to~~ **monitoring** and ~~to~~ **taking** reasonable steps to ensure Investigator compliance with the Management Plan on an ongoing basis until the completion of the PHS Funded Research project; and (b) ~~to~~ **reporting** to the COI Official or designee any non-compliance with the Management Plan.

J. Public Accessibility

1. Prior to ~~UMCP's~~ **the University's** expenditure of any funds under a PHS Funded Research project, ~~UMCP~~ **the University** shall ensure public accessibility of information concerning any disclosed Significant Financial Interest that meets the following three criteria: (a) the Significant Financial Interest was disclosed and is still held by Senior/Key Personnel; (b) ~~UMCP~~ **the University** determines that the Significant Financial Interest is related to the PHS Funded Research; and (c) ~~UMCP~~ **the University** determines that the Significant Financial Interest is ~~a Financial Conflict of Interest~~ **an FCOI**.
2. Such information shall be made accessible via written response to any requestor within five (5) business days of the COI Administrator's receipt of a written request. Such information shall include at a minimum the information required by ~~the~~ PHS Regulations. The response will note that the information provided is current as of the date of the response and is subject to updates, on at least an annual basis and within sixty (60) days of ~~UMCP's~~ **the University's** identification of a new ~~Financial Conflict of Interest FCOI~~ **FCOI**, and that such updates should be requested subsequently by the requestor.
3. Information concerning the Significant Financial Interests of an individual subject to this section shall remain available for responses to written requests, for at least three (3) years from the date that the information was most recently updated.

K. Subrecipient Collaborations (~~UMCP~~ **the University** as Prime Recipient)

1. If ~~UMCP~~ **the University** carries out PHS Funded Research through a subrecipient (e.g., subcontractors, or consortium members), ~~UMCP's Office of Research Administration~~ **ORA** shall be responsible ~~to~~ **for** **ensuring** that there is a written agreement with the subrecipient which contains terms that establish whether this

- Policy or the ~~financial-conflicts-of-interest~~ **FCOI** policy of the subrecipient will apply to the subrecipient's Investigators.
- a. If the subrecipient's Investigators must comply with the subrecipient's ~~financial-conflicts-of-interest~~ **FCOI** policy, the agreement shall require that the subrecipient certify as part of the agreement that its policy complies with this Policy and ~~the~~ PHS Regulations. If the subrecipient cannot provide such certification, the agreement shall state that subrecipient Investigators are subject to this Policy for disclosing Significant Financial Interests that are directly related to the subrecipient's work for **UMCP the University**;
 - b. Additionally, if the subrecipient's Investigators must comply with the subrecipient's ~~financial-conflicts-of-interest~~ **FCOI** policy, the agreement shall specify time period(s) for the subrecipient to report all identified ~~financial-conflicts-of-interest~~ **FCOIs** to **UMCP the University**. Such time period(s) shall be sufficient to enable **UMCP the University** to provide timely ~~Financial-Conflict-of-Interest~~ **FCOI** reports, as necessary, to the PHS Unit as required by this Policy and ~~the~~ PHS Regulations;
 - c. Alternatively, if the subrecipient's Investigators must comply with ~~UMCP's the University's~~ ~~financial-conflicts-of-interest~~ **FCOI** policy, the agreement shall specify time period(s) for the subrecipient to submit all Investigator ~~d~~Disclosures of Significant Financial Interests to **UMCP the University**. Such time period(s) shall be sufficient to enable **UMCP the University** to comply timely with its review, management, and reporting obligations under this Policy and ~~the~~ PHS Regulations.
2. The COI Official, (~~in coordination with the COI Administrator and UMCP's Office of Research Administration ORA,~~) shall be responsible ~~to for~~ **providing** ~~Financial-Conflict-of-Interest~~ **FCOI** reports to the PHS Unit regarding all ~~financial-conflicts-of-interest~~ **FCOIs** of all subrecipient Investigators consistent with this Policy and ~~the~~ PHS Regulations, i.e., prior to the expenditure of funds and within sixty (60) days of any subsequently identified ~~Financial-Conflict-of-Interest~~ **FCOI**.
- L. **UMCP The University** as a Subrecipient
1. If **UMCP the University** is a subrecipient of PHS Funded Research where another entity is the prime recipient, ~~UMCP's Office of Research Administration ORA~~ shall be responsible ~~to for~~ **ensuring** that there is a written agreement with the prime recipient ~~which that~~ contains terms that establish whether this Policy or the ~~financial-conflicts-of-interest~~ **FCOI** policy of the prime recipient will apply to ~~UMCP's the University's~~ Investigators.
 2. If the agreement specifies that ~~UMCP's the University's~~ Investigators must comply with the prime recipient's ~~financial-conflicts-of-interest~~ **FCOI** policy, then ~~UMCP's~~

the University's Investigators shall so comply with the prime recipient's policy, and this Policy shall not apply.

3. If the agreement specifies that ~~UMCP's~~ **the University's** Investigators must comply with this Policy, then ~~UMCP's~~ **the University's** Investigators shall so comply with this Policy, and this Policy shall apply.

M. Records Retention

1. The COI ~~Official~~ **Administrator** shall retain all records relating to Investigator ~~d~~**D**isclosures of financial interests; the review of and response to such ~~d~~**D**isclosures (whether or not a ~~d~~**D**isclosure resulted in the determination of ~~a Financial Conflict of Interest an FCOI~~); and all actions under this Policy or retrospective review, if applicable.
2. Such records shall be retained for at least three (3) years from the date of submission of final expenditure reports to PHS for each PHS ~~-f~~**F**unded project ~~(or where applicable from other dates specified in the PHS Regulations for different situations).~~
3. Such records may be destroyed within ninety (90) days following the expiration of the three (3) year retention period, unless there is relevant pending or active administrative or legal action or otherwise required by applicable law or University policy.

N. Noncompliance

1. It shall be considered a violation of ~~UMCP~~ **University** policy, subject to disciplinary action in accordance with applicable policies, if an Investigator: (a) fails to disclose a Significant Financial Interest as required herein; (b) fails to comply with an established Management Plan; (c) fails to provide timely annual report information or other required information; or (d) fails to comply with any other requirement of this Policy.
2. If the failure of an Investigator to comply with this Policy or a Management Plan appears, ~~(in the reasonable judgment of the COI Official,)~~ to have biased the design, conduct, or reporting of PHS Funded Research, the COI Official shall be responsible ~~to~~ **for** promptly notifying the PHS Unit of the corrective action taken or to be taken, as required by ~~the~~ PHS Regulations.
3. In the event that the U.S. Department of Health and Human Services determines that a PHS Funded Research project involving clinical Research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an Investigator with ~~a Financial Conflict of Interest an FCOI~~ that was not ~~M~~managed or reported by ~~UMCP~~ **the University** in accordance with ~~the~~ PHS Regulations and this Policy, such Investigator shall be required to disclose the ~~Financial Conflict of Interest FCOI~~ in each public presentation of the results of the Research and to request an addendum to previously published presentations.

Questions regarding this Policy and its application should be directed to the ~~Research Compliance~~ **Disclosure** Office in the Division of Research.



Submitted on: October 1, 2025

Updates to the University of Maryland Policy on Institutional Conflicts of Interest, X-14.00(A)

NAME/TITLE	Sarah Hughes, Assistant Director of Research Policy Compliance		
EMAIL	sehughes@umd.edu	PHONE	301-405-9238
UNIT	Division of Research, Office of Research Transparency & Outreach	CONSTITUENCY	Staff

DESCRIPTION OF ISSUE

In May 2025, the Office of the President and the Division of Research created and approved revisions to the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10[A]) (“the COI/COC Policy”) to address new federal/state laws and regulations, federal funding agency requirements, and new implementation processes that support these mandates, including the launch of the University’s inTERP disclosure system. The University of Maryland Policy on Institutional Conflicts of Interest (X-14.00[A]) (“the ICOI Policy”) is subordinate to the COI/COC Policy, and describes many of the same processes as are used for the COI/COC Policy. The significant revisions to the COI/COC Policy created a misalignment, as well as inconsistencies and inaccuracies within the subordinate COI policies (FCOI, ICOI, and OCI). The Division of Research took steps to make technical amendments to all three subordinate COI policies to align them with the structure, format, and content of the COI/COC Policy.

DESCRIPTION OF CHANGE YOU WOULD LIKE TO SEE

The ICOI Policy applies to University officials, who, by the nature of their positions, are able to commit the University’s significant financial resources and/or prestige to an endeavor. The ICOI Policy seeks to prevent institutional conflicts of interest (ICOIs), where a University official might affect, or appear to affect, the objectivity of institutional processes or decisions related to research, teaching, outreach, or administration.

Technical amendments were made to the ICOI Policy in order to align with the COI/COC Policy. The revisions include the following:

- The definitions section was expanded to be more comprehensive;
- Information about disclosure procedures were updated to align with new processes;
- The appendix on ICOI disclosure forms was removed entirely as it is now replaced by the inTERP system;
- The names of offices and titles were revised and acronyms and abbreviations were applied consistently; and
- Additional editorial/grammatical corrections were made.

SUGGESTION FOR HOW YOUR PROPOSAL WOULD BE PUT INTO PRACTICE

The technical amendments to the ICOI Policy were approved by the President on May 22, 2025.

ADDITIONAL INFORMATION

The revisions made to the ICOI Policy are consistent with the technical amendments made to the University of Maryland Policy on Organizational Conflicts of Interest (II-3.10[F]) (“the OCI Policy”) and

the University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded Research (II-3.10[C]) (“the FCOI Policy”). ICOI processes are further described in the Disclosure and Conflict Management Guidelines, available online at:
<https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/coi-policies-and-procedures>.

New Text in Blue/Bold (**example**), Removed Text in Red/Strikeout (~~example~~),
Moved Text in Green/Bold (**example**) or Green/Strikeout (~~example~~)



X-14.00(A) UNIVERSITY OF MARYLAND POLICY ON INSTITUTIONAL CONFLICTS OF INTEREST

(Approved by the President August 25, 2015, Technical and legal amendments May 22, 2025)

I. Scope

The University of Maryland Policy on Institutional Conflicts of Interest (~~T~~**this p**Policy”) governs ~~i~~**Institutional c**onflicts of ~~i~~**Interest (ICOIs)** at the University of Maryland (~~the~~**University**) and applies to University Officials. This ~~p~~**P**olicy does not govern situations in which individuals who are not University Officials (i.e., faculty, staff, and students) might realize financial gain from the conduct of research or performance of other responsibilities at the University; the University's Conflict of Interest (**COI**) Committee, using existing policies and procedures, adequately identifies such situations and independently manages their associated risks to scientific objectivity and proper treatment of human and animal subjects, **in accordance with the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10(A)) (“COI/COC Policy”)** and **the Disclosure and Conflict Management Guidelines**.

II. Definitions

- A. “Conflict(s) of Interest (COI)” means situations in which University Employees are in a position to gain, or appear to gain, financial advantages or personal benefits stemming from their roles within the University. Such benefits can occur due to outside professional activities, external Relationships, Significant Financial Interests, or as a result of their research, administrative, or educational actions or decisions made while working at the University.**
- B. “COI Administrator” means the individual appointed by the University’s Vice President for Research to support the implementation of this Policy and to oversee the work of the Disclosure Office and COI Committee.**
- C. “COI Committee” means the advisory committee appointed by the President of the University in accordance with this Policy and the Disclosure and Conflict Management Guidelines and based on the authority granted by the Maryland State Ethics Commission (SEC) regarding conflicts associated with research or development.**

- D. **“Disclosure(s)” means information that is required to be provided on all outside professional activities, external Relationships, and/or Significant Financial Interests.**
- E. **“Gift” means any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, software, license, special access, equipment, equipment time, samples, research data, or other item having monetary value. A Gift also includes services as well as Gifts of training, transportation, local or foreign travel, lodging, meals, and research hours, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has occurred. A Gift by definition is given without expectation of anything in return.**
- F. **“Institutional Conflict of Interest (“ICOI”)** ~~–An institutional conflict occurs whenever~~ **means situations in which** the financial interests of the institution, or of a University Official acting within his or her authority on behalf of the institution, might affect, or appear to affect, the objectivity of institutional processes for the selection, design, conduct, reporting, review, or oversight of the University enterprise. For the purposes of evaluating ICOI, activities related to research, teaching, and outreach, and the administration of those functions, singly and collectively, represent the University enterprise.
- G. **“Management Plan” means a written plan provided by the University that describes how a conflict or potential conflict will be managed.**
- H. **“Relationship(s)” means any interest, activity, service, employment, Gift, or other benefit or association with an individual or entity not part of the state government that would be prohibited by Maryland Public Ethics Law if not reported on a Disclosure and approved according to this Policy, the COI/COC Policy, the Disclosure and Conflict Management Guidelines, and any other relevant University System of Maryland and/or University policy.**
- I. **“Significant Financial Interest”** ~~–A significant financial interest means anything of monetary value. f~~ **For purposes of managing Institutional Conflicts of Interests ICOIs, a Significant Financial Interest exists when there are** ~~consists of~~ one or more of the following ~~interests~~ of the University or a University Official (and those of the University Official's spouse and dependent children) that reasonably appears to be related to the University or University Official's institutional responsibilities: (1) interests in publicly-traded business entities; (2) interests in non-publicly-traded business entities; (3) intellectual property rights and interests upon receipt of income related to such rights and interests; and (4) compensated and uncompensated positions outside of the University that involve fiduciary responsibility to a non-University entity.
- J. **“University Official”** ~~–University Officials covered under the University of Maryland's ICOI Policy are those officials~~ **means any individual(s) at the University who, because of their respective positions with the University, can affect or can reasonably appear to affect University processes for the design, conduct, reporting, review, or oversight of research and** who have the ~~power~~ authority to commit ~~substantial~~ significant

University resources ~~of the University~~. University Officials include but are not limited to: the President **of the University**, Assistant President, Vice Presidents, Associate and Assistant Vice Presidents, the Senior Vice President ~~&~~ **and** Provost, Associate Provosts, Deans, Associate Deans, **Department Chairs, Center and Institute Directors**, and **the** Athletic Director, including those holding these positions in an interim capacity, as well as others who have discretionary authority to allocate resources related to the University enterprise as identified by any of the officials named previously. University Officials must disclose their significant economic interests and affiliations, and those of their immediate family members (spouse, domestic partner, or dependent) upon their appointment and then annually thereafter, and identify how those interests may relate to their institutional responsibilities.

III. Guiding Principles

It is critical to the mission and reputation of the University to ensure that all financial, research, and educational activities are carried out with maximum objectivity. Because of numerous and complex relationships with public and private entities, the University must be aware of any ~~r~~**S**Relationships involving ~~s~~**S**ignificant ~~f~~**F**inancial ~~i~~**I**nterest that may compromise or appear to compromise its integrity in research, teaching, outreach, or other activities. The University shall establish and maintain an oversight process to manage, reduce, or eliminate ~~institutional conflicts of interest~~ **ICOs**.

IV. Policy Statement

The University strives to ensure that its research, teaching, outreach, and other activities are not compromised or perceived as biased by financial and business considerations. ~~Institutional conflicts of interest~~ **ICOs** may arise when:

- A. A University Official with a business or ~~s~~**S**ignificant ~~f~~**F**inancial ~~i~~**I**nterest in a business entity is in a position to take action on behalf of the University that may benefit or be perceived to benefit the business entity;
- B. The University licenses an invention to a business entity and holds royalty and/or equity interests in the entity where such interests may be affected by ongoing University research or other University activities sponsored by that business entity;
- C. A University vendor donates a ~~g~~**G**ift to the University;
- D. The University holds investments in a business entity that has a financial or business relationship with the University;
- E. The University provides or receives goods or services, including sponsored research awards, from a business entity in which the University has a financial, ~~(including equity,)~~ interest;
- F. The University enters into a commercial transaction that compromises or appears to

compromise the University's research, teaching, or outreach mission activities, or its institutional reputation; or

- G. The University has a business or ~~s~~Significant ~~f~~Financial ~~i~~Interest in a business entity whose commercial interests may be affected by human subjects research conducted at the University.

V. Procedures

- A. ~~An~~ **The** ICOI Committee will review potential ICOI ~~d~~Disclosures and make a recommendation to the President on any actions that may be required to mitigate ICOI risks.

B. ICOI Committee Composition

1. Voting Members:

- ~~Conflict of Interest~~ **The** COI Committee Chair, (or designee);
- ~~An~~ **E**external member from the scientific community without **a** University affiliation;
- The** Institutional Review Board (**IRB**) Committee Chair, (or designee);
- The** Office of Research Administration (**ORA**) Director, (or designee);
- Two (2)** ~~T~~tenured **faculty members from the** University ~~of Maryland, College Park~~ **faculty members (2)**;
- ~~An~~ **O**fficial from another local university; **and**
- The** Vice President ~~of Administration and Finance~~ **and Chief Administrative Officer**, (or designee).

2. Ex-Officio/Non-voting Members **include the following representatives or designees:**

- ~~Conflict of Interest Committee~~ **The** COI Administrator;
- ~~University~~ **A** representative of the Office of General Counsel;
- ~~Office of Technology Commercialization~~ **The** UM Ventures Director, (or designee);
- The** MTech Director, (or designee); **and**
- Subject matter experts, on **an** as-needed basis.

C. Identifying Potential Institutional Conflicts of Interest

1. Disclosures

The Office of the President provides a list of University Officials ~~required to disclose (i.e. those~~ identified as having discretionary authority to allocate resources related to the University enterprise). ~~These individuals will complete an annual ICOI disclosure form. The Office of the Vice President for Research maintains these disclosures for semi-annual review by the ICOI Committee.~~ University Officials identified for ICOI ~~d~~Disclosure are ~~also~~ required to update their ~~d~~Disclosure once per year and during the year as emerging circumstances warrant (i.e., a new consulting agreement; **an**

appointment to a Board of a company, etc.).

2. University Officials do not need to report the following:
 - a. Compensation from the University, investment or savings income, retirement or insurance benefits, or spousal maintenance;
 - b. Investments in retirement savings plans;
 - c. Real estate which serves as the **University** ~~e~~Official's primary home; or
 - d. Credit card debt, personal household effects, vehicle leases or loans secured by vehicles, or mortgages/security agreements on a primary residence.

3. Annual Reviews

The ICOI Committee is responsible for reviewing the University's equity holdings, policies, and procedures at least annually and determining whether they adequately address the identification, ~~d~~**D**isclosure, and management of ~~institutional conflicts of interest~~ **ICOIs**. If the ICOI Committee determines that changes are required, ~~the ICOI Committee~~ **it** will make appropriate recommendations to the Vice President for Research who will then consult with the President.

At least semi-annually the ICOI Committee will review information from the following entities in order to identify financial relationships the University has with business entities that could compromise the integrity of University research, teaching, outreach, and other mission-related activities:

- a. ~~Office of Technology Commercialization~~ **UM Ventures**. Information regarding (1) payments made by business entities in excess of \$100,000 to the University in the prior fiscal year, to include the amounts paid to departments and faculty under the University's revenue sharing principles set forth in the **University of Maryland Intellectual Property** ~~p~~**Policy (IV-3.20[A])** ~~-Commercialization of Intellectual Property Rights~~, and (2) the name of business entities (University start-ups) in which the University holds an equity interest.
 - b. ~~Office of Research Administration~~ **ORA**. Information regarding research sponsored by business entities during the prior fiscal year.
 - c. University Officials. ICOI ~~d~~**D**isclosures from University Officials.
 - d. University Relations. A list of business entities that donated ~~g~~**G**ifts of \$50,000 or more in the prior fiscal year and the University departments and administrative units that were the recipients of those ~~g~~**G**ifts.
- D.** The ICOI Committee reviews this information against the profile of University research and technology programs to determine whether potential ~~conflicts of interest~~ **ICOIs** exist in any areas, and notifies the heads of those areas affected regarding the potential conflict.
1. Notification of License, Option, or Equity Arrangements
~~The Office of Technology Commercialization~~ **UM Ventures** notifies the ICOI Committee when it executes a license or option agreement with, or takes equity in, a business entity whose commercial interests may be affected by research conducted at

the University.

E. Reviewing Potential Institutional Conflicts of Interest

1. The ICOI Committee reviews each ~~disclosed financial interest~~ **Disclosure** for the potential to appear to affect any of the following: objectivity, independence, and integrity of research; safety of human and animal subjects; objectivity, independence, and integrity of teaching; objectivity and independence of outreach activities; appropriate use and allocation of ~~u~~**University** resources; and objectivity and independence in business and contracting decisions.
2. The ICOI Committee provides a report to the Vice President for Research, who will review the report and recommendations of the ICOI Committee and forward them to the President to determine a course of action.
 - a. In instances where the President has an ~~Institutional Conflict of Interest~~ **ICOI**, ~~he or she~~ **they** must recuse ~~himself or herself~~ **themselves** and defer to the Chancellor of the University System of Maryland who will review, create, and approve a ~~Management Plan~~ **Plans** in consultation with the Vice President for Research.
 - b. In instances where the Vice President for Research has a potential ~~Institutional Conflict of Interest~~ **ICOI**, ~~he or she~~ **they** must recuse ~~himself or herself~~ **themselves** from the review process. In such cases, the Office of the President will review the report and recommendations of the ICOI Committee and forward them to the President to determine the course of action.

F. Managing Institutional Conflicts of Interest

1. The ICOI Committee will recommend a course of action to manage actual or perceived ~~institutional conflicts of interest. This course of action (the "Conflict ICOIs, a Management Plan—"), which~~ may consist of one or more of the following:
 - a. No action required;
 - b. Disclosure of the financial interest to affected persons in circumstances related to their University responsibilities;
 - c. Oversight of decision-making or participation in an activity by an independent third party;
 - d. Elimination of the financial interest or reduction to a level recommended by the ICOI Committee;
 - e. Recusal from decision-making or participation in an activity that would directly or indirectly involve the person's financial interest; and
 - f. Other measures as determined by the President.

G. Managing Institutional Conflicts of Interest Involving Equity

1. When the University obtains an equity interest in a business entity, particularly a faculty start-up, both individual and institutional ~~conflicts of interest~~ **COIs** may arise.
 - a. University investments in start-up companies are subject to case-by-case approval by the **Senior Vice President and** Provost, based on recommendations from the Vice President for Research, ~~Office of Technology Commercialization~~ **UM**

Ventures, ~~Office of Research Administration~~ **ORA**, ~~the~~ Office of General Counsel, and other relevant units.

- b. When assessing an equity opportunity, the University will review the business entity's business plan and proposed structure, list of actual or anticipated investors, and any capitalization documents.
- c. University Officials cannot be the primary negotiator when negotiating agreements, including licensing and sponsored research agreements, with the University on behalf of a business entity. The University Official must either engage their own counsel or depend on the business entity's personnel to negotiate agreements.
- d. The University shall manage all subsequent relationships with a business entity in which the University has accepted equity at arm's length and in a fair manner pursuant to relevant University policies and guidelines. For example, University inventions should be made available for licensing to appropriate companies and should not automatically be made exclusively available to business entities in which the University has taken equity. At the same time, holding equity in a business entity should not preclude that entity from licensing any invention when that entity is best able to develop and/or commercialize the invention.
- e. The University may accept sponsored research awards from a business entity in which the University holds equity, subject to the requirements of the University's **COI/COC Policy** ~~and Procedures on Conflict of Interest and Conflict of Commitment~~.

H. Oversight of ~~Conflict~~ Management Plans

The ICOI Committee verifies compliance with the ~~Conflict~~ Management Plan at least annually and modifies the plan to address any issues that arise.

APPENDIX

ICOI Annual Disclosure Form (Draft Example)

~~A **significant financial interest** for purposes of managing Institutional Conflicts of Interests consists of one or more of the following interests of a **University Official** (and those of the **University Official's** spouse and dependent children) that reasonably appears to be related to the **University Official's** institutional responsibilities:~~

- ~~1. Interests in publicly traded entities.
 - a. List remuneration (i.e. salary, consulting fees, honoraria, paid authorship, etc.) received from the entity in the twelve months preceding disclosure, and the value of any equity at the date of disclosure that, when aggregated, exceed \$10,000.~~
- ~~2. Interests in non-publicly traded entities.
 - a. List remuneration (i.e. salary, consulting fees, honoraria, paid authorship, etc.) received from the entity in the twelve months preceding disclosure that, when aggregated exceeds \$10,000 in the twelve months preceding the disclosure; or
 - b. List all equity interest (e.g. stock, stock option, or other ownership interest).~~
- ~~3. List all Intellectual Property rights and interests (e.g. patents, copyrights) upon receipt of income related to such rights and interests.~~
- ~~4. List service in positions with fiduciary responsibility, including presidents, vice-presidents, senior managers, etc. and members of board of directors, whether or not the **University Official** receives compensation for such service.~~



Submitted on: October 1, 2025

Updates to the University of Maryland Policy on Organizational Conflicts of Interest, II-3.10(F)

NAME/TITLE	Sarah Hughes, Assistant Director of Research Policy Compliance		
EMAIL	sehughes@umd.edu	PHONE	301-405-9238
UNIT	Division of Research, Office of Research Transparency & Outreach	CONSTITUENCY	Staff

DESCRIPTION OF ISSUE

In May 2025, the Office of the President and the Division of Research created and approved revisions to the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10[A]) (“the COI/COC Policy”) to address new federal/state laws and regulations, federal funding agency requirements, and new implementation processes that support these measures, including the launch of the University’s inTERP disclosure system. The University of Maryland Policy on Organizational Conflicts of Interest (II-3.10[F]) (“the OCI Policy”) is subordinate to the COI/COC Policy, and describes many of the same processes as are used for the COI/COC Policy. The significant revisions to the COI/COC Policy created a misalignment, as well as inconsistencies and inaccuracies within the subordinate COI policies (FCOI, ICOI, and OCI). The Division of Research took steps to make technical amendments to all three subordinate COI policies to align them with the structure, format, and content of the COI/COC Policy.

DESCRIPTION OF CHANGE YOU WOULD LIKE TO SEE

The OCI Policy applies to University sponsored projects that are funded by an agreement that incorporates in its terms and conditions the Federal Acquisition Regulation (FAR) Subpart 9.5, “Organizational and Consultant Conflicts of Interest.” All individuals working with such projects are subject to the requirements of the FAR provision and of the OCI Policy. The OCI Policy articulates the University’s processes for complying with the FAR and seeks to avoid organizational conflicts of interest (OCIs) that arise because of unequal access to information, impaired objectivity, and/or biased ground rules.

Technical amendments were made to the OCI Policy in order to align with the COI/COC Policy. The revisions include the following:

- The definitions section was expanded to be more comprehensive;
- Information about disclosure processes were updated to align with new processes;
- The names of offices and titles were revised and acronyms and abbreviations were applied consistently; and
- Additional editorial/grammatical corrections were made.

SUGGESTION FOR HOW YOUR PROPOSAL WOULD BE PUT INTO PRACTICE

The technical amendments to the OCI Policy were approved by the President on May 22, 2025.

ADDITIONAL INFORMATION

The revisions made to the OCI Policy are consistent with the technical amendments made to the University of Maryland Procedures on Financial Conflicts of Interest in Public Health Service Funded

Research (II-3.10[C]) (“the FCOI Policy”) and the University of Maryland Policy on Institutional Conflicts of Interest (X-14.00[A]) (“the ICOI Policy”). OCI processes are further described in the Disclosure and Conflict Management Guidelines, available online at:
<https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/coi-policies-and-procedures>.

New Text in Blue/Bold (**example**), Removed Text in Red/Strikeout (~~example~~),
Moved Text in Green/Bold (**example**) or Green/Strikeout (~~example~~)



II-3.10(F) UNIVERSITY OF MARYLAND POLICY ON ORGANIZATIONAL CONFLICTS OF INTEREST

(Approved by the President on an interim basis pending Senate review August 21, 2023, Technical and legal amendments May 22, 2025)

I. PURPOSE

The mission of the University of Maryland (the “University”) includes the advancement of knowledge, support of the scholarly professions, and active participation in the cultural, technological, commercial, public policy, and social life of our communities. This mission is advanced when members of the University forge links outside the University as scholars, artists, consultants, participants in research and development ventures, advisors to government entities, and in other capacities that relate to their professional expertise. The University has strongly encouraged the development of such links in the past and will continue to do so. The University recognizes, however, that these very positive interactions create the occasion for actual, potential, or apparent conflicts of interest and commitment, any of which may result in legal or reputational harm to the individual and/or the University.

The University is committed to identifying, avoiding, and/or managing actual or perceived Organizational Conflicts of Interest (OCIs) relating to its research activities, consistent with federal laws and regulations. In conducting federal research and contracting activities, members of the University community (“University Member[s]”) have a responsibility to comply with **the** University of Maryland Organizational Conflicts of Interest (OCI) Policy (“~~this~~ “Policy”).

The intent of this Policy is, in part, to provide guidance that will enable members of the University community to engage in activities outside the University while avoiding situations that harm the individual and/or the University through real or perceived ethical, legal, or financial conflicts. Although such conflicts arise most often when University Members engage in activities outside the University, this policy and any associated procedures apply to all activities of University Members.

Certain federal contracts include clauses designed to address potential OCIs in entities that receive those contracts. The federal regulations regarding OCIs are described in the Federal Acquisition Regulation (FAR) Subpart 9.5, “Organizational and Consultant Conflicts of

Interest¹.”

II. DEFINITIONS

- A. “Conflict(s) of Commitment (COC)” means situations where a University Employee’s Outside Professional Activities, external Relationships, or Significant Financial Interests interfere or compete with the University’s educational, research, or service missions or impede the University Employee’s ability to perform or fulfill the full range of their Institutional Responsibilities, as stipulated under Maryland Public Ethics Law. This applies regardless of whether the activity holds value to the University or contributes to the employee’s professional development.
- B. “Conflict(s) of Interest (COI)” means situations in which University Employees and GRAs or their Family Member(s) are in a position to gain, or appear to gain, financial advantages or personal benefits stemming from their roles within the University. Such benefits can occur due to Outside Professional Activities, external Relationships, Significant Financial Interests, or as a result of their research, administrative, or educational actions or decisions made while working at the University.
- C. “Consulting” means any additional activity beyond a University Employee’s or a GRA’s Institutional Responsibilities that is professional in nature and based on their discipline or area of expertise. The activity may be paid or unpaid, and such activities primarily benefit the University Employee or the GRA and not the University.
- D. “Current and Pending (Other) Support” means information submitted to Funding Agencies in proposals for Sponsored Projects on all the resources made available or expected to be made available to an individual in support of their research and development efforts. This includes but is not limited to resources from both foreign and domestic sources; those given through an award and those given directly to the individual; monetary resources, in-kind resources, and support with no monetary value; and travel support.
- E. “Disclosure(s)” means information that is required to be provided on all Outside Professional Activities, external Relationships, and/or Significant Financial Interests.
- F. “Disposition” means the final result of the review of a Disclosure. The review may result in a decision that no conflict exists, that the activity must be stopped due to an unmanageable conflict, or that a Management Plan is necessary to manage any possible COIs in accordance with Maryland Public Ethics Law and relevant University System of Maryland and University policies.

¹ The Federal Acquisition Regulation (FAR) Subpart 9.5, “Organizational and Consultant Conflicts of Interest can be found at <https://www.acquisition.gov/far/subpart-9.5>

- G. **“Funding Agency(ies)” means any domestic or foreign entity that provides monetary support for a Sponsored Project to a University Employee or to the University on behalf of a University Employee. Funding Agencies may include but are not limited to entities such as the U.S. government and its agencies; U.S. state and local entities; foreign entities including governments and institutions; non-profit Organizations; associations; or companies.**
- H. **“Institutional Responsibilities” means a University Employee's or GRA’s primary duties and responsibilities at the University, as defined in their contract, job duties, offer letter, or other comparable documentation.**
- I. **“Management Plan” means a written plan provided by the University that describes how a conflict or potential conflict will be managed.**
- J. **“Organizational Conflict of Interest (OCI)” means that because of activities or relationships with other persons or Organizations, an individual is unable or potentially unable to render impartial assistance or advice to the Government, the individual’s objectivity in performing the contract work is, or has the potential to be, impaired, and/or an individual has an unfair competitive advantage.**
- K. **“OCI Administrator” means the individual appointed by the University’s Vice President for Research to support the implementation of this Policy.**
- L. **“Organization” means any entity capable of delivering a product or service to a U.S. Government sponsor, under a contract, grant, or other award/funding instrument. This definition includes, but is not limited to, sole proprietors, independent contractors, industrial contractors, Federally Funded Research and Development Centers (FFRDCs), University-Affiliated Research Centers (UARCs), academic institutions, and non-profit Organizations.**
- M. **“Outside Professional Activities” means any ~~additional professional activities, that may be~~ paid or unpaid **activity with an external entity that is,** ~~are~~ beyond **the scope of** a University ~~m~~Member’s ~~i~~Institutional ~~r~~Responsibilities but is still related to, ~~are within~~ their discipline, ~~or~~ area of expertise, **or the practice of their profession. Outside Professional Activities** ~~and could~~ include **both p**Professional ~~s~~Service and Consulting.**
- N. **“Professional Service” means a form of Outside Professional Activity that provides a service to governmental agencies and other entities such as peer review panels and advisory bodies to other universities and professional Organizations; academic or professional journals; presentations to either professional or public audiences in such forums as professional societies and Organizations, libraries, and other universities; and peer review activities undertaken for either for-profit or nonprofit publishers, including grant reviews. Professional Service provides a benefit to the University, academia, the discipline, and/or the public interest, and may or may not be remunerated by a small honorarium.**

- O. **“Sponsored Project(s)” means monetary or non-monetary support provided by a domestic or foreign entity to the University to support specific research, instruction, or other activities of University Employees and/or GRAs.**
- P. **“Supervisor(s)” means a University Employee with supervisory authority over other employees. This term is typically used for those with direct authority over one or more employees. The term can be used interchangeably with the term Unit Head throughout this Policy and the Disclosure and Conflict Management Guidelines.**
- Q. **“Unit” means a department, center, institute, division, or non-departmentalized College or School.**
- R. **“Unit Head” means the administrator(s) responsible for a Unit and the individual(s) to whom a University Employee reports. A Unit Head may be a Director, Department Chair, Dean, Vice President, or a similar official in a non-academic Unit and also includes Supervisors in all references in this Policy.**
- S. **“University Member(s)” means all employees of the University, including all faculty and staff employed by the University, regardless of title, FTE, full- or part-time status and all University administrators and/or officials.**

III. CATEGORIES OF ORGANIZATIONAL CONFLICTS OF INTEREST

As outlined in the FAR Subpart 9.5, an OCI may exist in three basic categories:

- A. **Unequal Access to Information:** This type of OCI arises when the University gains an unfair competitive advantage because of a University Member’s access to information not generally available to other parties competing for the same federal funding. For example, a faculty member may have had access to budgets, statements of work, or evaluation criteria in the proposal submission and award process that were not available to other potential contractors.
- B. **Impaired Objectivity:** This type of OCI arises when a University Member’s work on a government contract places the University in a situation of evaluating itself or a related entity. For example, the University’s work under one government contract could require it to evaluate its own activities or evaluation of proposals from entities competing with the University. In this case, the concern is that the University cannot render impartial advice under a federal contract.
- C. **Biased Ground Rules:** This type of OCI arises when a University Member provides consultation, advice, or technical assistance relating to a federal funding opportunity, and the University then applies for that same funding opportunity. For example, a Faculty Member may serve on a federal advisory board or act as a consultant to develop standards that are used as the basis for a Scope of Work or specifications that are used to support a federal funding opportunity.

IV. APPLICABILITY

- A. This Policy and any associated procedures are applicable to all University Members.
- B. This Policy is separate and distinct from the University of Maryland Policy ~~and Procedures~~ on Conflict of Interest (COI) and Conflict of Commitment (COC) (II-3.10(A)) ~~(II-3.10(B))~~ (“~~the~~ COI/COC Policy ~~and Procedures~~”) **and the Disclosure and Conflict Management Guidelines.**
- C. Compliance with this Policy does not relieve University Members of their obligation to:
 - 1. Disclose and receive approval for COIs/COCs, as required by University Policy and Maryland State Ethics Law;
 - 2. Disclose activities as part of the University’s **of Maryland Policy on Consulting Policy** (II-3.10(E)); and/or
 - 3. Disclose activities as part of ~~the~~ **eCurrent and pPending (Other) sSupport information documentation on in all federal** proposals ~~submissions.~~
- D. ~~Disclosures made pursuant to this Policy, as well as pursuant to the University’s COI/COC Policy and Procedures, and current and pending reports are not automatically populated into other institutional systems and may need to be separately disclosed.~~
Applicability of this Policy is subject to change per Maryland State Ethics Commission guidance, **Funding Agency guidance**, and/or state and federal laws and regulations.

V. DISCLOSURE OF ORGANIZATIONAL CONFLICTS OF INTEREST

- A. University Members must keep their Unit Heads informed, in adequate detail, about all Outside Professional Activities, service on external committees/boards, and other significant ~~pProfessional~~ **activities Service and Consulting activities** unrelated to their ~~core University Institutional r~~Responsibilities.
- B. University Members ~~MUST consult with their Unit Head~~ **must submit a Disclosure** and receive **a Disposition** ~~approval from their Unit Head and other compliance units~~ before ~~committing to~~ **engaging in** an Outside Professional Activity.
- C. **University Members must disclose all activities on any Sponsored Project proposal submission, and all activities will be reviewed for potential COIs.** OCIs identified as being related to a **Sponsored Project** ~~proposal or ongoing research~~ must be managed through mitigation or removal of the conflict. The applicable ~~management~~ measures may be outlined in a ~~Mitigation~~ **Management** Plan that is shared with the ~~sponsor~~ **Funding Agency**.
- D. ~~In addition,~~ University Members are required to submit and maintain an updated ~~electronic Conflict of Interest d~~Disclosure ~~through the Kuali Conflict of Interest system (KCOI).~~ This ~~d~~Disclosure is reviewed by the University’s ~~Conflict of Interest (COI)~~ **Disclosure** Office.

1. When real or perceived OCIs are identified, the OCI ~~Committee~~ Administrator flags the ~~d~~Disclosure for additional review by the OCI Committee.
 2. ~~Organizational conflicts~~ OCIs identified via an individual's ~~d~~Disclosure must also be managed by a ~~Mitigation~~ **Management** Plan and administered by an ~~O~~versight ~~O~~fficial.
- E. New faculty and staff that participated in ~~A~~activities before becoming a member of the University that may give rise to an OCI at the University, must disclose these activities on any federal ~~grant or contract~~ **Sponsored Project** submission ~~through KCOI.~~
~~University Members must disclose any activities that may give rise to an OCI on any federal grant or contract submission through KCOI.~~

VI. ORGANIZATIONAL CONFLICT OF INTEREST (OCI) COMMITTEE

- A. In accordance with the provisions of the COI/COC Policy ~~and Procedures~~ and the Federal Acquisition Regulations Subpart 9.5 - Organizational and Consultant Conflicts of Interest, the Vice President for Research (**VPR**) appoints the Advisory Committee on Organizational Conflict of Interest (**"the OCI Committee"**) for the University ~~of Maryland.~~
- B. The OCI Committee is composed of nine (9) voting members of the University community including: five (5) faculty, one of whom is the Chair of the OCI Committee, one (1) representative each from the Office of the Senior Vice President and Provost, the Office of Research Administration (ORA), the Applied Research Laboratory for Intelligence and Security (ARLIS), and the Graduate School, along with two (2) ex-officio members, one (1) each from the Office of General Counsel and the Assistant Vice President for the Office of Procurement and Business Services, or their designees. The ex-officio members shall serve as advisory members and do not vote on matters presented to the OCI Committee. Members of the OCI Committee will serve for a three-year (3) term with the potential for renewal for an additional term.
- C. The OCI Committee is charged with reviewing any disclosed OCIs or potential OCIs to determine whether the conflicts can be mitigated, reduced, or managed and make recommendations to the ~~Vice President for Research (VPR),~~ including any required conditions or circumstances designed to mitigate **or manage** these conflicts. Following a review by the VPR, the applicable management measures will be outlined in the OCI ~~Mitigation~~ **Management** Plan, ~~that~~ **which** is provided to the ~~sponsor~~ **Funding Agency** for final approval.
- D. The procedures for identification, management, and mitigation of ~~Organizational Conflicts of Interest (OCIs)~~ utilized by the OCI Committee will be maintained and periodically adjusted, as needed, by the OCI ~~Committee~~ Administrator following a review by the OCI Committee.

**Submitted on: September 26, 2025**

Amendment to Policy III-7.00(A): Replacement of Scholarly Paper/Exam with Culminating Project

NAME/TITLE	Jason Farman		
EMAIL	jfarman@umd.edu	PHONE	301-405-4901
UNIT	The Graduate School	CONSTITUENCY	

DESCRIPTION OF ISSUE

An increasing number of Master's programs at UMD are introducing a non-thesis option. For Master of Arts and Master of Science degrees, however, the current policy limits the culminating project to one or more scholarly papers and a final examination, "a portion of which must be written." This framework poses three challenges. First, it restricts the scope of possible culminating projects to written work, rather than allowing formats better aligned with disciplinary practices and career outcomes. Second, the requirement of a scholarly paper often creates the perception of a "thesis light," rather than recognizing it as a rigorous stand-alone project. Third, the policy offers little guidance for programs on how to differentiate a non-thesis track from the thesis option. Revising the language would allow programs to design culminating projects that are both meaningful within their disciplines and better tailored to students' professional trajectories.

DESCRIPTION OF CHANGE YOU WOULD LIKE TO SEE

We are seeking removal of the "scholarly paper" limitation and final examination in Policy Number III-7.00(A), *University of Maryland, College Park Degree Requirements*, under the Non-Thesis Option in the Graduate School Degree Requirements, section D.2.b, to be replaced with language requiring a "culminating project that reflects disciplinary and professional mastery." Culminating projects may take a variety of forms—including but not limited to a portfolio, applied or client-based project, scholarly paper, performance or exhibition, capstone course project, or comprehensive examination—and should be defined by the program in ways that best align with the field's practices and career pathways.

SUGGESTION FOR HOW YOUR PROPOSAL WOULD BE PUT INTO PRACTICE

As part of the PCC process, programs will be responsible for establishing the scope of their culminating projects and set clear standards of evaluation for the culminating project to ensure that students demonstrate scholarly and professional rigor appropriate to the discipline. While the format may vary, all culminating projects must synthesize advanced knowledge, apply appropriate methods or creative practices, and demonstrate mastery of the field. Once approved through the Graduate PCC and Senate PCC processes, programs will publish their specific requirements, evaluation criteria, and expectations for the culminating project in their graduate handbooks or on their websites.

ADDITIONAL INFORMATION

In reviewing the current policy, the Graduate School consulted with the following stakeholders: the Council of College Associate Deans for Graduate Education (CADGE), Directors and Coordinators of Graduate Studies, the Associate Provost for Academic Planning (William Reed), and the Graduate Council. The Graduate Council met on September 11, 2025, to discuss and vote on the proposed changes, resulting in 17 approvals and 1 opposition. The opposing vote raised concerns about potential implications for professional master's degrees, such as the MPS or MBA; however, this policy applies only to the Master of Arts and Master of Science degrees. The appropriate stakeholders have been consulted in the development of this revision, and the Graduate Council has formally approved the proposed changes through the shared governance process. Because the revision pertains to graduate academic policy, we request that the Senate Executive Committee approve this proposal for placement directly on the Senate floor for consideration.



University Policies

[Section III: Academic Affairs](<https://policies.umd.edu/academic-affairs>)

Policy Number: III-7.00(A)

UNIVERSITY OF MARYLAND, COLLEGE PARK DEGREE REQUIREMENTS

(APPROVED BY THE PRESIDENT August 01, 1991, AMENDED November 19, 2009, AMENDED EFFECTIVE FALL 2012)

A. Policy

General requirements for undergraduate and graduate degree programs at UMCP are outlined below. Requirements for graduation at UMCP vary according to the character of work in the different colleges, schools, departments, and other academic units. It is the responsibility of the colleges, schools, departments, and other academic units to establish and publish clearly defined degree requirements. These requirements must be approved by the President. The responsibility for knowing and meeting all degree requirements for graduation in a particular curriculum rests with the student. Specific degree requirements are listed in the **Undergraduate Catalog** and **University of Maryland at College Park Graduate School Catalog** with the description of each program.

B. Undergraduate Degree Requirements

1. Residency Requirement

- a. All candidates for undergraduate degrees from UMCP must take a minimum of 30 credits at UMCP. These must include a minimum of fifteen credits in courses numbered 300 or above, including at least twelve credits in the major field.
- b. Normally these 30 credits will be the final 30 credits counted toward the degree. However, credits from University-approved study abroad and internship programs, and a maximum of 6 credits that are not part of such programs, may be included in the final 30 if approved in advance by the dean of the academic unit from which the student expects to receive the degree.

2. Enrollment in Majors

A student must be enrolled in the major program from which he or she plans to graduate when registering for the final fifteen hours of the baccalaureate program. The requirement applies to the third year of the combined pre-professional degree programs.

3. Credit Requirements

No baccalaureate degree will be awarded in instances where fewer than 120 credits have been earned. Many undergraduate curricula at UMCP require more than 120 credits. It is the responsibility of the student to become familiar with the requirements of particular curricula.

*To earn a baccalaureate degree at UMCP a minimum of thirty credits must be taken in residence.

4. Grade Point Average

A minimum 2.00 grade point average is required for graduation in all curricula. A higher average may be required by the individual department, college, school, or program.

Beginning with students matriculating in Fall 2012, to be awarded a baccalaureate degree, students must have a minimum C (2.00) cumulative

grade point average across all courses used to satisfy major degree requirements, minor requirements, and undergraduate certificate requirements. Individual department, college, school, or program requirements may exceed this minimum.

C. Second Degrees and Second Majors

1. Second Degree Taken Sequentially

A student who has completed requirements for, and who has received one baccalaureate degree and who wishes to earn a second baccalaureate degree from UMCP must satisfactorily complete the requirements of the second degree and enough additional credits so that the total including all applicable credits earned at UMCP, or elsewhere is at least 150 credits. In no case will a second baccalaureate degree be awarded to a student who has not completed thirty credits in residence at UMCP. Approval of the second degree will not be granted when there is extensive overlap between the two programs.

2. Second Degree Taken Simultaneously

A student who wishes to receive simultaneously two baccalaureate degrees from UMCP must satisfactorily complete a minimum of 150 credits (180 credits if one of the degrees is in Special Education). The regularly prescribed requirements of both degree programs must be completed. As early as possible, and in any case, no later than one full semester before the expected date of graduation, the student must file with the departments or programs involved, as well as with the appropriate deans, formal programs showing the programs to be offered to meet the major, supporting area, college, and general education program requirements. If two colleges are involved in the double degree program, the student must designate which college is responsible for the maintenance of records. Approval of the second degree will not be granted when there is extensive overlap between two programs.

3. Second Major

A student who wishes to complete a second major concurrently with a primary major of record must obtain written permission in advance from the appropriate deans. As early as possible, but in no case later than one full semester before the expected date of graduation, the student must file with the department or programs involved and with the appropriate deans, formal programs showing the courses to be offered to meet requirements in each of the majors and supporting areas as well as the college and general education program requirements. Approval will not be granted if there is extensive overlap between the two programs. Courses taken for one major may be counted as part of the degree requirements of the other and toward general education requirements as appropriate. If two colleges are involved in the double major program, the student must designate which college is responsible for the maintenance of records.

D. Graduate School Degree Requirements

1. Requirements Applicable to All Master's Degrees

a. **Programs**

The entire course of study undertaken for any master's degree must constitute a unified, coherent program which is approved by the student's advisor and graduate director, and which meets Graduate School requirements.

A minimum of thirty semester hours in courses acceptable for credit towards a graduate degree is required (some degree programs require more than thirty credits); in certain cases, six of the thirty semester hours must be thesis research credits. The graduate program must include at least twelve hours of course work at the 600 level or higher. If the student is inadequately prepared for the required graduate courses, additional courses may be required, which may not be considered as part of the student's graduate program. With the exception of pre-approved Combined Bachelor's/Master's programs, credits to be applied to a student's graduate program for a master's degree cannot have been used to satisfy any other previously earned degree.

b. **Grade Point Average**

A student seeking a master's degree at UMCP must maintain an overall GPA of 3.0 for courses taken for graduate credit.

c. Time Limitation

All requirements for the master's degree must be completed within a five year period. This time limit applies to any transfer work from other institutions to be included in the student's program.

d. Additional Requirements

In addition to the above requirements, special departmental or collegiate requirements may be imposed, especially for degrees which are offered only in one department, college, or division.

2. Graduate School Requirements for the Degree of Master of Arts and Master of Science

a. Thesis Option

Course Requirements - A minimum of thirty semester hours including six hours of thesis research credit is required. A minimum of twelve of the twenty four hours earned in graduate courses must be in the major subject; and a minimum of twelve credits must be selected from courses numbered 600 or above.

Thesis Requirements - A thesis must be submitted for the Master of Arts and Master of Science degrees except for those programs in which a nonthesis option has been approved by the dean in conformity with the policy of the Graduate Council.

Oral Examination - A final oral examination on the thesis shall be held when the student has completed the thesis to the satisfaction of the student's advisor, provided all other requirements for the degree have been completed, and a 3.00 grade point average has been earned.

b. Non-Thesis Option

The quality of work expected is identical to the thesis program. The general requirements for those in a non-thesis program are a minimum of thirty semester credit hours in courses approved for graduate credit. In addition, there must be a minimum of eighteen credit hours in courses numbered 600 or above, ~~the submission of one or more scholarly papers, the completion of a comprehensive final examination, a portion of which must be written~~ a culminating project that reflects disciplinary and professional mastery, and an overall GPA of 3.0.

3. Requirements for the Degree of Master of Education

- a. A minimum of thirty semester hours in coursework with an overall GPA of 3.0. Grades for courses not a part of the program but taken in graduate status will be computed in the GPA;
- b. A minimum of fifteen hours in courses numbered 600-800 with the remainder at least in the 400 series;
- c. A comprehensive written examination taken at the end of coursework or a professional portfolio (depending on the specialization); and
- d. One or two seminar papers, depending on the coursework taken.

4. Graduate School Requirements Applicable to all Doctoral Degrees

a. Credit Requirements

The Graduate School requires that every student seeking the doctoral degree register for a minimum of twelve research credits, but the number of research and other credit hours required in the program varies with the degree and program in question.

b. Admission to Candidacy

Preliminary examinations, or such other substantial tests as the department may elect, are frequently prerequisite for admission to candidacy.

A student must be admitted to candidacy for the doctorate within five years after admission to the doctoral program and at least one academic year before the date on which the degree will be confirmed.

c. Time Limitation

The student must complete the entire program for the degree, including the dissertation and final examination, during a four year period after admission to candidacy. Extensions of time are granted only under the most unusual circumstances. If students fail to complete all requirements within the time allotted, they must submit another application for admission to the Graduate School and, if readmitted, another application for Advancement to Candidacy, after satisfying the usual program prerequisites prior to Advancement to Candidacy.

d. Dissertation

A dissertation or its equivalent is required of all candidates for a doctoral degree. The topic of the dissertation must be approved by the department or program committee.

During the preparation of the dissertation, all candidates for any doctoral degree must register for the prescribed number of semester hours of Doctoral Dissertation Research (899) at University of Maryland.

5. Graduate School Requirements for the Degree of Doctor of Philosophy

The Doctor of Philosophy is granted only upon sufficient evidence of high attainment in scholarship and the ability to engage in independent research. It is not awarded for the completion of course and seminar requirements no matter how successfully completed. In addition, a number of departments have a foreign language requirement for the Doctor of Philosophy Degree. There is no Graduate School requirement stipulating a specific number of course credits in either a major or minor subject. It is the policy of the Graduate School to encourage the development of individual programs for each student who seeks the Ph.D.

Dissertation

The ability to do independent research must be demonstrated by an original dissertation on a topic approved by the department or program.

6. Graduate School Requirements for the Degree of Doctor of Education

The requirements for the Doctor of Education (Ed.D) degree are for the most part the same as those for the Doctor of Philosophy degree in the College of Education. The Ed.D. requires a minimum of six semester hours of dissertation credit.



Deactivation to the University of Maryland Procedures on Conflicts of Interest and Conflict of Commitment (II-3.10[B])

NAME/TITLE	Sarah Hughes, Assistant Director of Research Policy Compliance		
EMAIL	sehughes@umd.edu	PHONE	301-405-9238
UNIT	Division of Research, Office of Research Transparency & Outreach	CONSTITUENCY	Staff

DESCRIPTION OF ISSUE

The University of Maryland Procedures on Conflict of Interest and Conflict of Commitment (II-3.10[B]) (“the Procedures”) were developed and instituted in 2003 to support the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10[A]) (“the COI/COC Policy”), which was instituted at the same time. When the COI/COC Policy was updated through the years, the COI/COC Procedures were updated as well. Since the Procedures are codified as a University Policy, modification of the Procedures must follow University policy approval pathways.

In May 2025, the Office of the President and the Division of Research created and approved revisions to the COI/COC Policy, rendering the Procedures out of date. Instead of creating modifications to the Procedures, the Division of Research recommended to the Office of the President that the Procedures be deactivated as University policy and be replaced by the new Disclosure and Conflict Management Guidelines (“the Guidelines”), which will be overseen by the Conflict of Interest (COI) Committee with the support of the Disclosure Office in the Division of Research. Future revisions will be led by the COI Committee with broad oversight by the University’s Research Council, as needed, and the assistance of the Disclosure Office.

DESCRIPTION OF CHANGE YOU WOULD LIKE TO SEE

The Division of Research proposed deactivating the current COI/COC Procedures and replacing them with the Disclosure and Conflict Management Guidelines in order to meet the University’s federal compliance needs and enhance the University’s ability to be more responsive to future federal mandates.

Federal expectations, rules, regulations, and policies related to federally-funded research have been changing rapidly over the past five years. The University of Maryland needs to adapt its policies and practices in order to ensure that it is in compliance with all federal laws, federal regulations, funding agency requirements, and federal guidance to receive funding and to maintain current funding.

- In 2021, the National Security Presidential Memorandum 33 (NSPM-33) was issued with the intent of strengthening protections on U.S. R&D from foreign influence, Conflicts of Interest, and Conflicts of Commitment.
- The subsequent NSPM-33 Implementation Guidance, released in January 2022, and the CHIPS and Science Act of August 2022 added additional requirements and restrictions on federally-funded research.
- Since 2022, there has been a flood of new rules and policies from the White House Office of Science and Technology Policy (OSTP) and federal agencies coming out piece by piece.

- The research landscape has been continually evolving with new federal laws, funding agency requirements, and policy announcements, which makes it difficult to create and implement coherent policies at the University, and to align our implementation with these mandates
- It is difficult to know what the final rules/expectations will be or when they will be finalized.

Because of the shifting nature of federal expectations and the significant increase of audits and investigations initiated by the federal government and federal funding agencies in order to seek out non-compliance, the University needs to be able to react quickly and efficiently to changes. UMD's processes need to be flexible in order to adapt to changes more rapidly. Instituting Guidelines will enhance the University's ability to respond, in that the Guidelines can be more easily modified, and changes in implementation and new requirements can be added to the Guidelines on a rolling basis.

As indicated in the revised COI/COC Policy as of May 2025, the Guidelines provide more detailed information about the implementation and procedures associated with the COI/COC Policy and related University policies on different types of COIs, COCs, and Consulting. The Guidelines include extensive resources such as tables, examples, hyperlinks, information on the review process, etc., that policy language does not allow. In addition, the Guidelines centralize information about implementation procedures; all procedural elements were removed from the COI/COC and Consulting Policies and moved into the Guidelines so that the policies could focus on high-level principles.

SUGGESTION FOR HOW YOUR PROPOSAL WOULD BE PUT INTO PRACTICE

On May 22, 2025, the President approved of the deactivation of the Procedures, and they were removed from the Consolidated USM and UMD Policies and Procedures website with a note explaining that they were deactivated and referring to the Disclosure and Conflict Management Guidelines instead. The Guidelines are active and can be found online at:

<https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/coi-policies-and-procedures>.

ADDITIONAL INFORMATION

The Disclosure and Conflict Management Guidelines were initially created and approved by the Disclosure Office. The Guidelines include:

- Procedural elements for all types of COI (FCOI, OCI, ICOI) and COC reviews,
- Information on how disclosures will be submitted through the inTERP system,
- Examples to help illustrate key concepts or processes,
- Plain-language explanations of rules and special considerations, and
- Charts that help represent the process.

To support the request to deactivate the Procedures, the Division of Research developed and shared with the Office of the President the attached document that shows in color-coding the pieces of the prior COI/COC Procedures that have been moved into the revised May 2025 COI/COC Policy or the Disclosure and Conflict Management Guidelines, as well as text that no longer aligns with the current processes and workflows.



~~II-3.10(B) — UNIVERSITY OF MARYLAND PROCEDURES ON CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT~~

~~(Approved by the President May 20, 2003; Amended and approved on an interim basis by the President February 4, 2021, pending University Senate Action)~~

~~I.—Purpose~~

~~These procedures implement the Board of Regents (BOR) Policy on Professional Commitment of Faculty (II-3.10), the Board of Regents Policy on Conflicts of Interest in Research or Development (III-1.11); the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II-3.10[A]); and the University of Maryland Policy and Procedures on Financial Conflicts of Interest in Public Health Funded Research (II-3.10[C]). These procedures outline the mechanisms by which the University will manage the process of identifying, assessing, and responding to potential conflicts of interest or commitment, consistent with State Ethics Law¹ and University policies. They are intended to guide officers and other Employees at the University of Maryland, College Park (“University”) in reviewing and managing the disclosure and resolution of conflicts of interest and commitment—real, apparent, or potential.~~

~~Neither these procedures, nor the law and Board of Regents’ policies under which they have been adopted, exempt any University official or employee from any provision of State Ethics Law, except as specifically provided. Approvals granted under these procedures do not affect the application of other University and BOR policies or the obligation to adhere to other provisions of State Ethics Law.~~

~~These procedures do not apply to relationships of the President, Vice Presidents, or similar official designated by the Board of Regents. Such relationships must be approved by the Board of Regents in accordance with its Policy on Conflicts of Interest in Research or Development.~~

¹ ~~Among other things, State Ethics Law generally prohibits University Employees from having financial interests in or employment relationships (including consulting) with entities under the authority of the University or entities that have or are negotiating contracts or subcontracts with the University. Other employment relationships (including consulting) prohibited under State Ethics Law include those which would impair the impartiality or independent judgment of the Employee and those involving an entity which is a party to a State contract (greater than \$1000) if the Employee’s duties include matters which substantially relate to the subject matter of the contract. State Ethics Law also prohibits State Employees from: participating in matters in which they (or certain family members or business entities) have an interest; soliciting and accepting gifts, including payment of travel and lodging expenses; using the prestige of their office or confidential information for private gain; and representing parties in State matters for contingent compensation. The conflict of interest provisions of Maryland State Ethics Law are codified in Maryland Code Annotated, General Provisions Article, Title 5, as amended from time to time. (To find this online, go to <http://www.lexisnexis.com/hottopics/mdcode/>.)~~

II. Definitions

- A. Unit Head.** The term “Unit Head” typically means the chair or director in an academic department, or a similar official in a non-academic unit, unless a different individual is designated by proper authority.
- B. Relationship.** The term “Relationship” includes any interest, activity, service, employment, gift, or other benefit or relationship with an individual or entity not part of State government that would be prohibited by State Ethics Law if not disclosed and approved pursuant to UMD and Board of Regents policy and these procedures. An interest or relationship of the spouse or other relative (e.g., parent, child, or sibling) of an officer or Employee is included if it would create restrictions on the officer or Employee under the conflict of interest provisions of State Ethics Law.
- C. Research or Development.** The term “Research or Development” means basic or applied research or development, and includes the development or marketing of University-owned technology, the acquisition of services of an official or Employee by an entity for research and development purposes, or participation in State economic development programs.
- D. Employee.** The term “Employee” means all University personnel, including faculty, staff, and graduate research assistants except for the President, Vice Presidents, or similar officials designated by the Board of Regents.
- E. Significant University Resources.** The term “Significant University Resources” means gifts received by the University or an affiliated foundation or corporation, funds received by the University or an affiliated foundation or corporation under a contract or grant, direct or indirect support from other funds administered by the University or an affiliated foundation or corporation, assistance of Personnel or Students from outside one’s home department or unit, assistance of Personnel or Students in one’s home department or unit or specialists (e.g., graphic designers, instructional designers, multimedia and other specialists) beyond the level of support that is generally provided to Personnel in one’s home department or unit. In general, salary, office space, use of University Libraries, personal computers and facsimile machines that are customarily provided campus wide or are typically made available to all Personnel in one’s home department will not qualify as Significant University Resources.

III. Disclosure Procedures

University Employees are required to disclose outside activities and potential conflicts of interest or commitment through three means, as expressed in the University’s Conflict of Interest and Conflict of Commitment Policy.

First, Employees must timely disclose in writing to their Unit Heads any professional activities they intend to undertake outside the University or outside the unit; disclosure is required whenever there is the potential for a conflict or the perception of a conflict. This disclosure

should be made before participating in the outside activity. This mechanism provides an opportunity to protect both the University and the Employee from adverse consequences that conflicts of interest or commitment can produce.

Second, Employees who are faculty or exempt staff must complete an Annual Report on Outside Professional Activities (“OPA”), which provides appropriate context in which the Unit Head can evaluate individual conflict issues and from which the University can gauge broader trends.

Third, during the proposal process for sponsored research grants and contracts, the Principal Investigator, Co-Investigator, or senior personnel (if required by sponsor) must certify that no conflicts exist in the routing certification process and/or disclose required information about commitments or conflicts and certify the proposal contents, as required by the sponsor, in sponsored research proposals.

The following sections describe how the University will resolve any concerns related to conflicts of interest or commitment; note that the procedures for conflicts of commitment are different than the procedures for conflicts of interest and may vary based on different types of conflicts.

IV. Resolving Conflicts of Commitment

Questions about potential conflicts of commitment (not conflicts of interest) will normally be resolved at the level of the Unit Head, who is best prepared to judge whether the outside activity may jeopardize the Employee’s ability to perform their University responsibilities. If the Unit Head is unable to resolve the conflict, the Unit Head should elevate the question to the next higher level of supervision for resolution.

V. Mitigating Conflicts of Interest

A. Initial Determination by Unit Head

Based upon an Employee’s written disclosure to the Unit Head of an intended outside professional activity or other possible conflicts of interest, the Unit Head typically will determine whether there are any concerns about possible conflicts of interest. If neither the Unit Head nor the Employee identify potential, real or apparent conflicts of interest, the Employee may not need to take further action. If the existence of a potential, real, or apparent conflict of interest is uncertain, Employees and Unit Heads may consult informally with appropriate administrators (e.g., the Conflicts of Interest (COI) Administrator, the Chair of the COI Committee, and/or the Office of General Counsel). Whenever there is reason to believe an activity, Relationship, or other situation may involve potential, real, or apparent conflicts of interest, the University must take appropriate action to resolve such conflicts, in accordance with the procedures below.

B. Resolving Conflicts of Interest Not Involving Research or Development

When a conflict of interest not involving Research or Development arises (e.g., having a financial interest in a business supply company that provides goods to the University), University policies and procedures do not apply, and the Employee must consult with the State Ethics Commission. The State Ethics Commission has the sole authority to interpret State Ethics Law outside of the Research and Development exception. At the request of

~~the Unit Head or State Ethics Commission, the Employee's consulting work or other activities may be suspended pending an opinion from the State Ethics Commission. Employees or a Unit Head may seek guidance about consulting with the State Ethics Commission from the University's Office of General Counsel.~~

C. ~~Resolving Conflicts of Interest Involving Research or Development~~

1. ~~Activities Related to Research or Development~~

~~In recognition of the University's role in promoting economic and technological development in the State, the Maryland General Assembly has authorized the University (under State law and BOR policy) to consider and approve certain Research or Development activities, notwithstanding State Ethics Law conflict of interest constraints.~~

~~Thus, certain Relationships that would otherwise violate conflict of interest provisions of State Ethics Law (and/or University policies) may be permitted under certain circumstances.² First, the Relationships must involve entities engaged in, or having an interest in the outcome of, Research or Development. Second, they must have been disclosed in writing, reviewed, and approved in accordance with University policy and the following procedures.~~

2. ~~Conflict of Interest Form~~

~~If the Unit Head, the potentially conflicted Employee, or another University Employee expresses a concern, or if there is reason to believe that an activity, Relationship, or other situation may involve or appear to involve a conflict of interest in Research or Development, the potentially conflicted individual(s) involved must submit a Conflict of Interest Disclosure Form (<https://research.umd.edu/sites/default/files/documents/coi/COI%20Disclosure%20Form%20101519-0.docx>). Additional information regarding the form and conflicts of interest can be found at <https://research.umd.edu/coi>. The Employee must submit a complete, signed disclosure form to the Unit Head and then to the Dean of the College/School, who each review and sign the form before forwarding to the President's Advisory Committee on Conflict of Interest ("COI Committee"), a group composed of University faculty and administrators that report to the Vice President for Research.~~

~~Please note that submitting a disclosure form is in the best interests of the Employee concerned, as well as the University. In an era of increasing levels of outside-professional activity and interaction with non-University entities, complicated situations can arise with regard to possible conflicts of interest. In some cases, review~~

² The State Ethics Law that exempts institutions of higher education from certain conflict of interest provisions is codified at §15-523 of the State Government Article of the Annotated Code of Maryland. Maryland Code Annotated, General Provisions Article, § 5-525(e). (To find this online, go to <http://www.lexisnexis.com/hottopics/mdcode/>.)

of a disclosure form by the Conflict of Interest Committee may serve to guide and protect the Employee while they pursue outside interactions and Relationships.

If an activity or Relationship has been approved by the University's Conflict of Interest Committee, the Employee must timely submit a follow-up report whenever circumstances concerning the activity or Relationship change in a manner that impacts the earlier disclosure. The University will request annual confirmation of any activity or Relationship that remains in place from year to year.

3.—Review

a.—General Background

After the disclosure form is submitted, the COI review and evaluation process may require additional involvement of the Employee(s) whose activities are being assessed. The Employee may be asked to provide further information to clarify the situation or may be asked to assist the University in exploring avenues to manage the conflict.

The COI evaluation process culminates in a written recommendation from the COI Committee, which may determine that (1) no conflict exists, (2) a conflict exists but can be managed via a proscribed management plan, or (3) a conflict exists and cannot be managed. The final approval of a waiver is made by the President. Copies of approvals and supporting documentation are forwarded by the University to the State Ethics Commission.

Because the University expects its Employees to disclose new outside professional activity or Relationship before commencing the activity, it is important that the disclosure be made in a timely fashion to allow sufficient time for consideration by the Unit Head and, if necessary, the COI Committee and the President. The University also expects the Unit Head and the COI Committee to provide timely feedback and action so as not unreasonably delay action by the Employee in pursuing the new outside activity.

b.—Unit Heads

Unit heads are responsible for conducting the initial review of the disclosure forms submitted by Employees within their unit. As part of that initial review, a Unit Head should review the proposed conflict management plan, which should include any mechanisms that the Unit Head deemed appropriate for managing, reducing, or eliminating potential, real, or apparent conflicts of interest.

The Unit Head shall sign and forward the disclosure form and proposed management plan to the appropriate dean for review and signature and then to the Conflict of Interest Administrator (COI Administrator). The COI Administrator is appointed by the Vice President for Research.

c.—President's Advisory Committee on Conflict of Interest

~~The COI Administrator or their designee shall forward the disclosure documents for consideration to the COI Committee. The COI Committee shall have at least nine voting members: seven faculty members appointed by the President, one of whom shall be appointed by the President to Chair the COI Committee; the Director of UM Ventures, College Park, and the Director, Office of Research Administration. Additional members may include individuals with relevant expertise affiliated or unaffiliated with the University.~~

~~The COI Committee may require the disclosing Employee to provide further information, and the COI Committee is encouraged to seek information, advice and input from appropriate University personnel, including Unit Heads, deans, the University Office of General Counsel, and the conflicted or potentially conflicted Employee(s). The COI Committee may also consult, as appropriate, with the Maryland Department of Business and Economic Development and with federal agencies that have imposed regulatory requirements on federally funded research as well as with individuals unaffiliated with the University.~~

~~4.—Recommendation by the COI Committee~~

~~The COI Committee shall review the disclosure form and accompanying documents and recommend to the President whether the University should approve the disclosed Relationship. The COI Committee may not recommend approval of any Relationship that would:~~

- ~~• give improper advantage to the outside entity with whom the Employee has a Relationship;~~
- ~~• lead to misuse of University students or Employees for the benefit of such outside entities;~~
- ~~• otherwise interfere with the University duties and responsibilities of the Employee maintaining a Relationship with the outside entity;~~
- ~~• be so influential as to impair impartiality in conducting research, interpreting research results, or determining research or other professional and employment priorities;~~
- ~~• present an unmanageable or otherwise unacceptable conflict of interest or the appearance of an unmanageable or otherwise unacceptable conflict of interest; or~~
- ~~• otherwise violate state or federal laws, regulations, policies, or procedures, or create a situation that is not in the best interests of the University.~~

~~A recommendation for approval indicates the COI Committee's conclusion that any conflict or potential conflict is manageable, in accordance with these procedures and any approved management plan. A decision not to recommend approval indicates the Committee's conclusion that a conflict of interest exists that cannot be properly managed, and that the Employee should refrain from participating in the activity or Relationship.~~

~~The COI Committee's recommendations shall be forwarded through the Vice President for Research to the President.~~

5. ~~Final Action by the President~~

~~The President shall review the recommendations of the COI Committee and make a written determination. Approval may be subject to such conditions or restrictions as the President requires. The President's determination is final.~~

~~Notice of the President's decision will be provided in writing to the Employee(s), Unit Heads and deans or similar officials involved. Among other things, any notice of approval should inform Employees of their continuing obligations to:~~

- ~~• comply with any approved management plan;~~
- ~~• ensure that their activities, statements, evaluations, recommendations, and judgments do not improperly give advantage to an outside entity;~~
- ~~• ensure that unauthorized statistics, documents, reports, comparison information, and other data are not disclosed that would improperly give advantage to an outside entity;~~
- ~~• be aware that legal restrictions regarding misusing their position for personal gain or gain of another, soliciting or accepting improper gifts, and representing a party before the Board of Regents or the Board of Public Works, or other State or local agency for a contingent fee, continue to apply, notwithstanding any approval under these procedures; and~~
- ~~• continue to adhere to all University policies and procedures, including those concerning conflicts of commitment and professional commitment of faculty.~~

~~The President may withdraw approval if an employee misrepresented the nature of a Relationship, activity, interest in an entity, or other situation, or fails to comply with any management plan or any other conditions or restrictions on approval, or if circumstances change in such a way as to create an unacceptable conflict of interest or a violation of University policy or applicable legal requirements.~~

6. ~~External Reporting Procedures and Record Retention~~

~~The COI Administrator shall submit quarterly reports of all approvals granted under these procedures to the Chancellor of the University System of Maryland. The COI Administrator shall assist the University System, as requested, in providing supplemental information or developing additional reports or analyses needed for compliance with the reporting requirements of State Ethics Law.~~

~~Upon completion of the process, the University shall file with the State Ethics Commission copies of all disclosure forms submitted in connection with Research and Development Relationships. The University, through the COI Administrator, will develop and maintain a file, available for public review, that will contain all such approved Relationships with applicable disclosure forms.~~

~~The COI Administrator is responsible for providing written notice, as appropriate, to the awarding agency in those cases involving sponsored projects. Information regarding all conflicts of interest identified by UMD will be made available to sponsors upon request, as required by agency regulations or other sponsor~~

requirements. Conflicts that cannot be satisfactorily resolved must be disclosed to as required by agency regulations. In the case of Public Health Service ("PHS") awards, or any awards where the agency so requires, the University must give notice to the agency for all conflicts of interest.

The COI Administrator will maintain records of all conflicts of interest disclosures and of all actions taken to resolve actual or potential conflicts of interest at least three (3) years after termination or completion of the sponsored project or after resolution of any government action involving those records or as required by applicable state and federal regulations whichever is longer.

VI. Effect of Non-Compliance

A. In General

Non-compliance with the University's Conflict of Interest and Conflict of Commitment policy or these procedures may be a violation of State Ethics Law and may result in disciplinary action and/or other sanctions in accordance with University policies, State Ethics Law, or other applicable State or federal laws and regulations.

Failure to properly disclose outside professional activities when required on sponsored research proposals funded by the U.S. government could also result in a violation of U.S. federal law.

B. Additional Considerations for Conflicts of Interest in Research or Development

All identified conflicts of interest must be satisfactorily managed, reduced or eliminated prior to the University's expenditure of any funds under an award for any sponsored project. In addition to disciplinary action and/or other sanctions, non-compliance with the conflicts of interest policy or these procedures may result in the suspension or termination of a sponsored project. Non-compliance could also result in restrictions on Employees with respect to future proposal submissions.

Non-compliance, or questions and/or concerns about possible non-compliance, in connection with any conflict of interest in research or development should be reported in writing to the Associate Vice President for Research Administration, who will review the report and confer with other University personnel, including the Chair of the COI Committee, as needed, to determine whether further action is warranted including, but not limited to, referring the matter to a Compliance Subcommittee of the COI Committee (consisting of the Chair and two designees of the Chair) and/or invoking other University policies and procedures and implementing sponsor requirements, as appropriate.

If the failure of an investigator to comply with conflict of interest policies or procedures has biased the design, conduct, or reporting of funded research, the University must promptly notify the sponsoring agency of the corrective action taken or to be taken. The sponsoring agency will consider the situation and may take further action, which may include directions to the University on how to maintain appropriate objectivity in the funded project.



**[Section II: Faculty
(<https://policies.umd.edu/faculty>)**

Text in Black was not incorporated
Text in Red was not incorporated because the process changed
Text in Purple has been incorporated into the Policy
Text in Green has been incorporated into the Guidelines
Text in Pink is covered in the ICOI Policy

Policy Number: II-3.10(B)

UNIVERSITY OF MARYLAND PROCEDURES ON CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT

(Approved by the President May 20, 2003, Approved by the President February 4, 2021, pending University Senate Action, Technical amendments approved by the President December 16, 2022)

I. Purpose

These procedures implement the Board of Regents (BOR) Policy on Professional Commitment of Faculty (II-3.10), the Board of Regents Policy on Conflicts of Interest in Research or Development (III-1.11); the University of Maryland Policy on Conflict of Interest and Conflict of Commitment (II- 3.10[A]); and the University of Maryland Policy and Procedures on Financial Conflicts of Interest in Public Health Funded Research (II-3.10[C]).

These procedures outline the mechanisms by which the University will manage the process of identifying, assessing, and responding to potential conflicts of interest or commitment, consistent with State Ethics Law¹ and University policies. They are intended to guide officers and other Employees at the University of Maryland, College Park (“University”) in reviewing and managing the disclosure and resolution of conflicts of interest and commitment—real, apparent, or potential.

Neither these procedures, nor the law and Board of Regents’ policies under which they have been adopted, exempt any University official or employee from any provision of State Ethics Law, except as specifically provided. Approvals granted under these procedures do not affect the application of other University and BOR policies or the obligation to adhere to other provisions of State Ethics Law.

These procedures do not apply to relationships of the President, Vice Presidents, or similar official designated by the Board of Regents. Such relationships must be approved by the Board of Regents in accordance with its Policy on Conflicts of Interest in Research or Development.

II. Definitions

A. **Unit Head.** The term “Unit Head” typically means the chair or director in an academic department, or a similar

official in a non-academic unit, unless a different individual is designated by proper authority.

B. Relationship. The term “Relationship” includes any interest, activity, service, employment, gift, or other benefit or relationship with an individual or entity not part of State government that would be prohibited by State Ethics Law if not disclosed and approved pursuant to UMD and Board of Regents policy and these procedures. An interest or relationship of the spouse or other relative (e.g., parent, child, or sibling) of an officer or Employee is included if it would create restrictions on the officer or Employee under the conflict of interest provisions of State Ethics Law.

C. Research or Development. The term “Research or Development” means basic or applied research or development, and includes the development or marketing of University-owned technology, the acquisition of services of an official or Employee by an entity for research and development purposes, or participation in State economic development programs.

D. Employee. The term “Employee” means all University personnel, including faculty, staff, and graduate research assistants except for the President, Vice Presidents, or similar officials designated by the Board of Regents.

E. Significant University Resources. The term “Significant University Resources” means gifts received by the University or an affiliated foundation or corporation, funds received by the University or an affiliated foundation or corporation under a contract or grant, direct or indirect support from other funds administered by the University or an affiliated foundation or corporation, assistance of Personnel or Students from outside one’s home department or unit; assistance of Personnel or Students in one’s home department or unit or specialists (e.g., graphic designers, instructional designers, multimedia and other specialists) beyond the level of support that is generally provided to Personnel in one’s home department or unit. In general, salary, office space, use of University Libraries, personal computers and facsimile machines that are customarily provided campus wide or are typically made available to all Personnel in one’s home department will not qualify as Significant University Resources.

III. Disclosure Procedures

University Employees are required to disclose outside activities and potential conflicts of interest or commitment through three means, as expressed in the University’s Conflict of Interest and Conflict of Commitment Policy.

First, Employees must timely disclose in writing to their Unit Heads any professional activities they intend to undertake outside the University or outside the unit; disclosure is required whenever there is the potential for a conflict or the perception of a conflict. This disclosure should be made before participating in the outside activity. This mechanism provides an opportunity to protect both the University and the Employee from adverse consequences that conflicts of interest or commitment can produce.

Second, Employees who are faculty or exempt staff must complete an Annual Report on Outside Professional Activities (“OPA”), which provides appropriate context in which the Unit Head can evaluate individual conflict issues and from which the University can gauge broader trends.

Third, during the proposal process for sponsored research grants and contracts, the Principal Investigator, Co-Investigator, or senior personnel (if required by sponsor) must certify that no conflicts exist in the routing certification process and/or disclose required information about commitments or conflicts and certify the proposal contents, as required by the sponsor, in sponsored research proposals.

The following sections describe how the University will resolve any concerns related to conflicts of interest or commitment; **note that the procedures for conflicts of commitment are different than the procedures for conflicts of interest and may vary based on different types of conflicts.**

IV. Resolving Conflicts of Commitment

Questions about potential conflicts of commitment (not conflicts of interest) will normally be resolved **at the level of the Unit Head, who is best prepared to judge whether the outside activity may jeopardize the Employee's ability to perform their University responsibilities.** **If the Unit Head is unable to resolve the conflict, the Unit Head should elevate the question to the next higher level of supervision for resolution.**

V. Mitigating Conflicts of Interest

A. Initial Determination by Unit Head

Based upon an Employee's written disclosure to the Unit Head of an intended outside professional activity or other possible conflicts of interest, the Unit Head typically will determine whether there are any concerns about possible conflicts of interest. If neither the Unit Head nor the Employee identify potential, real or apparent conflicts of interest, the Employee may not need to take further action. **If the existence of a potential, real, or apparent conflict of interest is uncertain, Employees and Unit Heads may consult informally with appropriate administrators (e.g., the Conflicts of Interest (COI) Administrator, the Chair of the COI Committee, and/or the Office of General Counsel).** Whenever there is reason to believe an activity, Relationship, or other situation may involve potential, real, or apparent conflicts of interest, the University must take appropriate action to resolve such conflicts, in accordance with the procedures below.

B. Resolving Conflicts of Interest Not Involving Research or Development

When a conflict of interest not involving Research or Development arises (e.g., having a financial interest in a business supply company that provides goods to the University), University policies and procedures do not apply, and the Employee must consult with the State Ethics Commission. The State Ethics Commission has the sole authority to interpret State Ethics Law outside of the Research and Development exception. At the request of the Unit Head or State Ethics Commission, the Employee's consulting work or other activities may be suspended pending an opinion from the State Ethics Commission. **Employees or a Unit Head may seek guidance about consulting with the State Ethics Commission from the University's Office of General Counsel.**

C. Resolving Conflicts of Interest Involving Research or Development

1. Activities Related to Research or Development

In recognition of the University's role in promoting economic and technological development in the State, **the Maryland General Assembly has authorized the University (under State law and BOR policy) to consider and approve certain Research or Development activities,** notwithstanding State Ethics Law conflict of interest constraints.

Thus, **certain Relationships that would otherwise violate conflict of interest provisions of State Ethics Law (and/or University policies) may be permitted under certain circumstances.**² **First, the Relationships must involve entities engaged in, or having an interest in the outcome of, Research or Development. Second, they must have been disclosed in writing, reviewed, and approved in accordance with University policy and the following procedures.**

2. Conflict of Interest Disclosure

If the Unit Head, the potentially-conflicted Employee, or another University Employee expresses a concern, or if there is reason to believe that an activity, Relationship, or other situation may involve or appear to involve a conflict of interest in Research or Development, the potentially-conflicted individual(s) involved must submit a Conflict of Interest Disclosure through the Kualu COI (KCOI) system at

[\[https://usmd.kuali.co/coi.\]\(h_ttps://usmd.kuali.co/coi.\)](https://usmd.kuali.co/coi.](h_ttps://usmd.kuali.co/coi.)) Additional information regarding how to submit a disclosure and conflicts of interest can be found at

~~<https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/co>~~
~~[mplete-disclosure.\] \(](https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/co)~~
~~<https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/co>~~
~~[mplete-disclosure.\)](https://research.umd.edu/resources/research-compliance/conflicts-interest-coi/co)~~

Please note that submitting a disclosure is in the best interests of the Employee concerned, as well as the University. In an era of increasing levels of outside professional activity and interaction with non-University entities, complicated situations can arise with regard to possible conflicts of interest. In some cases, review of a disclosure by the Conflict of Interest Committee may serve to guide and protect the Employee while they pursue outside activities and Relationships.

If an activity or Relationship has been approved by the University's Conflict of Interest Committee, **the Employee must submit an updated KCOI disclosure within 30 days whenever circumstances concerning the activity or Relationship change in a manner that impacts the earlier disclosure.** The University will request annual confirmation of any continuing activity or Relationship.

3. Review

a. General Background

After the disclosure is submitted, the COI review and evaluation process may require additional involvement of the Employee(s) whose activities are being assessed. The Employee may be asked to provide further information to clarify the situation or may be asked to assist the University in exploring avenues to manage the conflict.

The COI evaluation process culminates in a **written recommendation from the COI Committee**, which may determine that (1) no conflict exists, (2) a conflict exists but can be managed via a proscribed management plan, or (3) a conflict exists and cannot be managed. **The final approval of a waiver is made by the President.** Copies of **approvals and supporting documentation are forwarded by the University to the State Ethics Commission.**

Because the University expects its Employees to disclose new outside professional activity or Relationship before commencing the activity, it is important that the disclosure be made in a timely fashion to allow sufficient time for consideration by the Unit Head and, if necessary, the COI Committee and the President. The University also expects the Unit Head and the COI Committee to provide timely feedback and action so as not unreasonably delay action by the Employee in pursuing the new outside activity.

b. Unit Heads

Unit heads are responsible for conducting the initial review of the disclosure submitted by Employees within their unit. As part of that initial review, a Unit Head should review the proposed conflict management plan, which should include

any mechanisms that the Unit Head deemed appropriate for managing, reducing, or eliminating potential, real, or apparent conflicts of interest.

The Unit Head shall complete their review and the system will route the disclosure and proposed management plan to the appropriate dean for review and then to the Conflict of Interest Administrator (COI Administrator). The COI Administrator is appointed by the Vice President for Research.

c. President's Advisory Committee on Conflict of Interest

The COI Administrator or their designee shall forward the disclosure documents for consideration to the COI Committee. The COI Committee shall have at least nine voting members: seven faculty members appointed by the President, one of whom shall be appointed by the President to Chair the COI Committee; the Director of UM Ventures, College Park; and the Assistant Vice President of the Office of Research Administration. Additional members may include individuals with relevant expertise affiliated or unaffiliated with the University.

The COI Committee may require the disclosing Employee to provide further information, and the COI Committee is encouraged to seek information, advice and input from appropriate University personnel, including Unit Heads, deans, the University Office of General Counsel, and the conflicted or potentially-conflicted Employee(s). The COI Committee may also consult, as appropriate, with the Maryland Department of Business and Economic Development and with federal agencies that have imposed regulatory requirements on federally funded research as well as with individuals unaffiliated with the University.

4. Recommendation by the COI Committee

The COI Committee shall review the disclosure and accompanying documents and recommend to the President whether the University should approve the disclosed Relationship. The COI Committee may not recommend approval of any Relationship that would:

- give improper advantage to the outside entity with whom the Employee has a Relationship;
- lead to misuse of University students or Employees for the benefit of such outside entities;
- otherwise interfere with the University duties and responsibilities of the Employee maintaining a Relationship with the outside entity;
- be so influential as to impair impartiality in conducting research, interpreting research results, or determining research or other professional and employment priorities;
- present an unmanageable or otherwise unacceptable conflict of interest or the appearance of an unmanageable or otherwise unacceptable conflict of interest; or
- otherwise violate state or federal laws, regulations, policies, or procedures, or create a situation that is not in the best interests of the University.

A recommendation for approval indicates the COI Committee's conclusion that any conflict or potential conflict is manageable, in accordance with these procedures and any approved management plan. A decision not to recommend

approval indicates the Committee's conclusion that a conflict of interest exists that cannot be properly managed, and that the Employee should refrain from participating in the activity or Relationship.

The COI Committee's recommendations shall be forwarded through the Vice President for Research to the President.

5.Final Action by the President

The President shall review the recommendations of the COI Committee and make a written determination. Approval may be subject to such conditions or restrictions as the President requires. The President's determination is final.

Notice of the President's decision will be provided in writing to the Employee(s), Unit Heads and deans or similar officials involved. Among other things, any notice of approval should inform Employees of their continuing obligations to:

- comply with any approved management plan;
- ensure that their activities, statements, evaluations, recommendations, and judgments do not improperly give advantage to an outside entity;
- ensure that unauthorized statistics, documents, reports, comparison information, and other data are not disclosed that would improperly give advantage to an outside entity;
be aware that legal restrictions regarding misusing their position for personal gain or gain of another, soliciting or accepting improper gifts, and representing a party before the Board of Regents or the Board of Public Works, or other State or local agency for a contingent fee, continue to apply, notwithstanding any approval under these procedures; and
- continue to adhere to all University policies and procedures, including those concerning conflicts of commitment and professional commitment of faculty.

The President may withdraw approval if an employee misrepresented the nature of a Relationship, activity, interest in an entity, or other situation, or fails to comply with any management plan or any other conditions or restrictions on approval, or if circumstances change in such a way as to create an unacceptable conflict of interest or a violation of University policy or applicable legal requirements.

6.External Reporting Procedures and Record Retention

The COI Administrator shall submit quarterly reports of all approvals granted under these procedures to the Chancellor of the University System of Maryland. The COI Administrator shall assist the University System, as requested, in providing supplemental information or developing additional reports or analyses needed for compliance with the reporting requirements of State Ethics Law.

Upon completion of the process, the University shall file with the State Ethics Commission copies of all disclosures submitted in connection with Research and Development Relationships. The University, through the COI Administrator, will develop and maintain a file, available for public review, that will contain all such approved Relationships with applicable disclosures.

The COI Administrator is responsible for providing written notice, as appropriate, to the awarding agency in those cases involving sponsored projects. Information regarding all conflicts of interest identified by UMD will be made available to

sponsors upon request, as required by agency regulations or other sponsor requirements. Conflicts that cannot be satisfactorily resolved must be disclosed as required by agency regulations. In the case of any awards where the agency so requires, the University must give notice to the agency for all conflicts of interest.

The COI Administrator will maintain records of all conflicts of interest disclosures and of all actions taken to resolve actual or potential conflicts of interest at least three (3) years after termination or completion of the sponsored project or after resolution of any government action involving those records or as required by applicable state and federal regulations whichever is longer.

VI. Effect of Non-Compliance

A. In General

Non-compliance with the University's Conflict of Interest and Conflict of Commitment policy or these procedures may be a violation of State Ethics Law and may result in disciplinary action and/or other sanctions in accordance with University policies, State Ethics Law, or other applicable State or federal laws and regulations.

Failure to properly disclose outside professional activities when required on sponsored research proposals funded by the U.S. government could also result in a violation of U.S. federal law.

B. Additional Considerations for Conflicts of Interest in Research or Development

All identified conflicts of interest must be satisfactorily managed, reduced or eliminated prior to the University's expenditure of any funds under an award for any sponsored project. In addition to disciplinary action and/or other sanctions, non-compliance with the conflicts of interest policy or these procedures may result in the suspension or termination of a sponsored project. Non-compliance could also result in restrictions on Employees with respect to future proposal submissions.

Non-compliance, or questions and/or concerns about possible non-compliance, in connection with any conflict of interest in research or development should be reported in writing to the Associate Vice President for Research Administration, who will review the report and confer with other University personnel, including the Chair of the COI Committee, as needed, to determine whether further action is warranted including, but not limited to, referring the matter to a Compliance Subcommittee of the COI Committee (consisting of the Chair and two designees of the Chair) and/or invoking other University policies and procedures and implementing sponsor requirements, as appropriate.

If the failure of an investigator to comply with conflict of interest policies or procedures has biased the design, conduct, or reporting of funded research, the University must promptly notify the sponsoring agency of the corrective action taken or to be taken. The sponsoring agency will consider the situation and may take further action, which may include directions to the University on how to maintain appropriate objectivity in the funded project.

¹ Among other things, State Ethics Law generally prohibits University Employees from having financial interests in or employment relationships (including consulting) with entities under the authority of the University or entities that have or are negotiating contracts or subcontracts with the University. Other employment relationships (including consulting) prohibited under State Ethics Law include those which would impair the impartiality or independent judgment of the Employee and those involving an entity which is a party to a State contract (greater than \$1000) if the Employee's duties

include matters which substantially relate to the subject matter of the contract. State Ethics Law also prohibits State Employees from: participating in matters in which they (or certain family members or business entities) have an interest; soliciting and accepting gifts, including payment of travel and lodging expenses; using the prestige of their office or confidential information for private gain; and representing parties in State matters for contingent compensation. The conflict of interest provisions of Maryland State Ethics Law are codified in [Maryland Code Annotated, General Provisions Article, Title 5](#), as amended from time to time. (To find this online, go to <http://www.lexisnexis.com/hottopics/mdcode/>(<http://www.lexisnexis.com/hottopics/mdcode/>)).

² The State Ethics Law that exempts institutions of higher education from certain conflict of interest provisions is codified at §15-523 of the State Government Article of the Annotated Code of Maryland. Maryland Code Annotated, General Provisions Article, § 5-525(e). (To find this online, go to <http://www.lexisnexis.com/hottopics/mdcode/>(<http://www.lexisnexis.com/hottopics/mdcode/>)).