



Annual/New Certification of Compliance with the Policy on Conflict of Interest

Faculty Investigators and Academic Staff

September 1, _____ through August 31, _____

Name: _____

Department: _____ Title: _____

External Research Sponsor(s), if any: _____

If this is a subcontract, list original funding agency: _____

Research project title(s), if applicable:

The following questions apply to your situation as it currently exists. If there are any changes during the current fiscal year (i.e., September 1 through the following August 31) you must resubmit this form with the new information.

Definition of Significant Financial Interests (SFI):

- **From a publicly-traded entity:** Compensation in the preceding 12 months (includes payment for services such as consulting, advising, lectures, honoraria, paid authorship; reimbursed or sponsored travel; and royalties, fees, and rights to such interests) and the value of stock, stock options, or ownership interests held on the date of disclosure, that when aggregated exceeds \$5,000;
- **From a private entity:** Compensation (see above) in the preceding 12 months that when aggregated exceeds \$5,000;
- **From a private entity:** Any amount of stock, stock options, ownership interests, or rights to such interests;
- **From a foreign institution of higher education or the government of another country:** all financial interests;
- **From a non-publicly traded entity:** Remuneration that exceeds \$5,000 in the past 12 months, or
- **From any source other than UHD:** Intellectual Property Rights and interests (e.g., patents and copyrights), upon receipt of such income related to such rights and interests income related to intellectual property rights in excess of \$5,000

Do you or a member of your family¹ have any significant financial interest related to your institutional responsibilities (such as research, teaching, service on UHD committees, panels) ?

Yes No

If yes, please give more details and check all options that apply to this significant financial interest:

Compensation for an outside activity (consulting, advising, lectures, honoraria, paid authorship, sponsored travel etc.) from the research sponsor.

Any stock, stock options, business ownership, or rights to such interests in the research sponsor.

Ownership interest or rights to the technology that will be studied in the proposed research.

Financial interest in an entity that owns or licenses the technology that will be studied in the proposed research.

Any other personal relationship or financial interest that could appear to affect, or be affected by the proposed research.

Please describe the financial interest briefly. For sponsored travel, please provide details of purpose, sponsor, destination, and duration. If you require more room to describe the financial interest, please provide on a separate document:

Updates Disclosures: If this is an updated disclosure after the annual certification, please describe the novel aspects of the financial interests and specifically address why they were not previously present at the time of the most recent certification:

Financial Disclosures:

- A current conflict of interest disclosure statement must be on file by all investigators when research is proposed.
- If you have any questions about significant financial interests related to research, please contact ORSP or the COIC at orsp@uhd.edu; 713-221-8499) [Office of Research and Sponsored Programs | University of Houston-Downtown \(uhd.edu\)](#)

CERTIFICATION

In submitting this form, I certify that the above information is true to the best of my knowledge and that I have read the University’s policies related to conflict of interest as described in PS 06.A.09 “Financial Conflicts of Interest in Research and Scholarship.” I supply this information for confidential review by the University and I do not authorize release of any of it for any other use.

Signature: _____ Date: _____

Department Chair or Unit Head (signature as acknowledgment required on all forms):

Signature: _____

Print Name: _____ Date: _____

Dean (signature as acknowledgment required if any Significant Financial Interest is reported):

Signature: _____

Print Name: _____ Date: _____

Chair of the Conflict of Interest Committee (COIC)

Signature: _____

Print Name: _____ Date: _____

Distribution Instructions:

When no significant financial interest is reported: Copies of each annual Certification of Compliance will be submitted to the Office of Research & Sponsored Programs (ORSP) from the chairs or unit heads for retention.

When a significant financial interest is reported: The Dean will forward the certification to the Office of Research & Sponsored Programs (ORSP), who will provide the document to the Conflict of Interest Committee (COIC). The COIC will forward copies of all certification forms to ORSP after the conflict has been addressed.

Retention by Office of Research & Sponsored Programs: ORSP will retain those Certification of Compliance and ad hoc reports as required by the external agencies.

Role of Institutional Conflict of Interest Committee: If a potential or real SFI or FCOI is determined to exist, the COIC must provide a timely review and recommendation to the institution’s designated official(s).

The COIC will issue recommended guidance to the designated official(s) for the next steps in resolving the conflict.

- The COIC makes the determination whether the SFI is an FCOI (i.e., an SFI that could directly and materially affect the design, conduct, or reporting of the research).

For office use only:

Received by ORSP: _____

Date: _____

Has a conflict of interest been reported? Yes ___ No ___ (if Yes, forwarded to _____)

Are all required (original) signatures included? Yes ___ No ___

Date Entered into files: _____ by _____

1. Family: as defined in the University of Houston System - SAM 02.A.29: OFFICIAL (uhssystem.edu) this includes a family member related to an employee or official within the second degree by affinity or consanguinity. A family member under this definition includes the following relatives of the employee or official: child, parent, spouse, domestic partner, sister, brother, grandchild, grandparent, mother-in-law, father-in law, son-in-law, daughter-in-law, stepson, stepdaughter, stepmother, stepfather, brother-in-law, sister-in-law, spouse's grandparent, spouse's grandchild, grandchild's spouse, or the spouse of a grandparent.