

UTHSCH RESEARCH CONFLICTS OF INTEREST CERTIFICATION

(A separate, completed Research Conflicts of Interest Certification must be attached for all investigators responsible for the design, conduct, analysis, and/or reporting of the proposed research.)

Project Title: **REQUIRED FIELD (Please start typing to replace)**

HSC #: **REQUIRED FIELD (Please start typing to replace)**

Section A. Complete for Federal Grants or Proposals to other Non-Profit Entities

YES NO

- Do you or your immediate family (spouse, dependent children) have any significant financial interests¹ that would reasonably appear to be affected by the proposed research or educational activities?
- Do you or your immediate family (spouse, dependent children) have significant financial interests¹ in any entity² whose financial interests would reasonably appear to be affected by the proposed research or educational activities?

If you answered “yes” to either question in Section A, you must attach a completed [Research Conflicts of Interest Disclosure for Federal Grants and Proposals to other Non-Profit Entities](#).

Section B. Complete for Research Contracts/Grants with For-Profit Entities

YES NO

- Do you or your immediate family (spouse, dependent children) have significant financial interests¹ in the business entity² sponsoring the proposed research?

If you answered “yes” to the preceding question, you must attach a completed [Research Conflicts of Interest Disclosure for Research Contracts/Grants involving For-Profit Entities](#).

Section C. Certification

I certify the above information is complete and true to the best of my knowledge and that I have read The University of Texas Health Science Center at Houston’s (UTHSCH) [HOOP Policy 23.10](#) and [Guidelines](#) on conflicts of interest. I understand that the University may impose plans to eliminate or manage actual or potential conflicts of interest and I must submit an updated Research Conflicts of Interest Disclosure to the Executive Vice President for Research within 30 days if there are any significant changes in my financial interests (as defined above) during the contract period.

Investigator’s Signature

REQUIRED FIELD (Please start typing to replace)
Investigator’s Printed Name

Date

¹ *Significant financial interest* in research refers to anything of monetary value that would reasonably appear to be affected by the outcome of the proposed research, regardless of whether that entity is sponsoring the research. Such interests include, but are not limited to:

- Salary or other payments for services (e.g. consulting fees or honoraria) expected to exceed \$10,000 in the next 12 months from a single entity. This does not include salary, or other remuneration from UTHSC-H or, as applicable, other academic institutions.
- Equity interests (e.g. stocks, stock options, or other ownership interests) that exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value or represent more than a 5% ownership interest in any single entity. This does not include interest in mutual funds where the individual has no control over the selection of holdings.
- Intellectual property rights (e.g. patents, patents in which the investigator has a financial interest, copyrights, and royalties from such rights).
- Payments or entitlements paid by the sponsor in connection with the research, including bonus or milestone payments, that are not directly related to the reasonable costs of the research.
- Service as an officer, director, or fiduciary for a financially interested company.

In addition to the exceptions noted above, the term significant financial interest in research does not include:

- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities.
- Income from service on advisory committees or review panels for public or nonprofit entities.

Investigators should also disclose other significant financial interests not specifically required by the Policy if they have concerns the interests would reasonably appear to be affected by the proposed research (e.g. significant financial interests of family members other than a spouse or dependent children).

² Trust, organization, company, or other enterprise