

Certification of Compliance with the Policy on Conflict of Interest for Research FY2016 Instruction Sheet

1. This form is only required for investigators:

The term "Investigator" means the Project Director or Principal Investigator, Co-Investigators, and any other persons, regardless of title or position, who are responsible for the design, conduct, or reporting of proposed or funded research activities.

Compliance Guidance: Consider all personnel designing, conducting, or reporting research.

- Principal investigators, co-investigators, and key personnel listed on a proposal always meet this threshold.
- Other positions (for example: study coordinators, statisticians, and non-paid personnel) may also meet this threshold based on their role in the research.
- If you are a collaborator or sub-recipient/subcontractor engaged in research awarded to another institution, certification under the UH policy is required.

If you are not an investigator as defined above, you do not need to fill out this form. If you are not sure, please contact the PI of the proposed or funded research, or the COI office at coi@central.uh.edu.

2. Include all agencies on .pdf page 2 from which you receive funding or are proposing funding.

If you have NO funding or proposals, you do not need to fill out this form.

3. You should only answer the screening questions on .pdf page 3 as "yes" **IF:**

- The financial interest belongs to you, your spouse and/or dependent child(ren);
- The financial interest reasonably appears to be related to your institutional responsibilities¹ on behalf of the University of Houston; **AND**
- The financial interest may have the perceived potential to directly and significantly affect the design, conduct, or reporting of research¹

Otherwise, answer the questions "no."

4. You should only answer the Intellectual Property questions on .pdf 4 "yes" **IF:**

- You/your family receive royalties from licensed Intellectual Property rights that reasonably appear to be related to your research or research collaborations.

Note: This does not include book royalties or paid authorship. These should be disclosed as "remuneration" in the screening questions on .pdf page 3.

5. If you are PHS (i.e. NIH) funded:

- You must answer the questions related to "Third Party Travel" on .pdf page 4, unless you have previously disclosed the travel.
- You need to take the COI CITI training at least every 4 years.

6. If you have answered any of the screening questions as "yes," you will need to fill out the appropriate disclosure form:

- Significant Financial Interest Disclosure form
- Intellectual Property Disclosure form

1 Institutional Responsibilities - Investigators' professional responsibilities on behalf of the Institution (e.g. research, research consultation, teaching, professional practice, service on Institutional committees, panels, DSMB.) All duties outlined in the UH Faculty Handbook

- Travel Disclosure form

7. Acceptable methods for Adobe forms signature

- **Print the forms/sign by hand**

- a. Fill out the Certification of Compliance COI form electronically (we prefer no handwritten forms, as these are often difficult for the committee to read).
- b. If you answer “yes” to any question in the “Significant Financial Interests,” “Intellectual Property,” or “Third Party Travel” sections, one or more of the following [disclosure forms must be filled out, as applicable](#):
 - i. Significant Financial Interest (SFI) Disclosure Form – Non-IP
 - ii. COI Intellectual Property Disclosure Form
 - iii. COI Travel Disclosure Form
- c. Print and scan the complete packet (one or more forms) and provide the packet to your Chair/Dean/Center Director² for review and physical signature on the acknowledgement page of the certification form. *Check with your Department Business Administrator/Business Office, as they may have a routing process in place for your assistance.*
- d. Scan and upload to RD2K. See the instructions [here](#) (CougarNet credentials required). All Department Business Administrators have access to RD2K and you may request their assistance with the process. For individual access to upload your documents, please contact the DOR, Research Information Center personnel via email at dorapp@central.uh.edu.

- **Electronic signature**

- e. Fill out the Certification of Compliance COI form electronically and save the form on your desktop.
- f. If you answer “yes” to any question in the “Significant Financial Interests,” “Intellectual Property,” or “Third Party Travel” sections, one or more of the following [disclosure forms must be filled out, as applicable](#):
 - i. Significant Financial Interest (SFI) Disclosure Form – Non-IP
 - ii. COI Intellectual Property Disclosure Form
 - iii. COI Travel Disclosure Form
- g. *Combine the documents* in Adobe (Use the “Create” option to combine the files into a single .pdf – see detailed instructions below [for PC users](#) and [Mac users](#).)
- h. Sign the forms in the “Investigator Certification/Signature” section by using either of the following options:
 - i. Draw My Signature or Use a Webcam in Adobe Reader (see detailed instructions below [for PC users](#) and [Mac users](#).)
 - ii. Electronic Signature Capture Device

Note - the following signature options are NOT accepted:

- i. Adobe certificate
- ii. Adobe “use an image” or placement of a .pdf signature

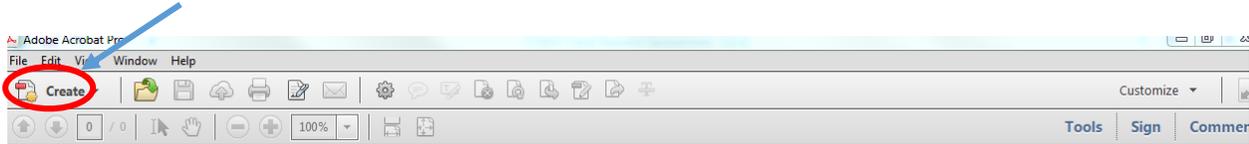
² For a complete list, see the table at http://www.uh.edu/research/compliance/coi/COI_Step_1/ under the section “How to certify and disclose.”

- iii. Adobe “type my signature”
- iv. Allowing a delegate to sign
- i. Email the combined file to your Chair/Dean/Center Director³, who can then sign the signature page of the certification form either in Adobe or by signature capture device. Check with your Department Business Administrator/Business Office, as they may have a routing process in place for your assistance.
- j. Upload signed packet to RD2K. See the instructions [here](#) (cougarnet credentials required). All Department Business Administrators have access to RD2K. For individual access to upload your documents, please contact the DOR, Research Information Center personnel via email at dorapp@central.uh.edu.

PC Users

How to Combine Documents in Adobe Reader Using a PC

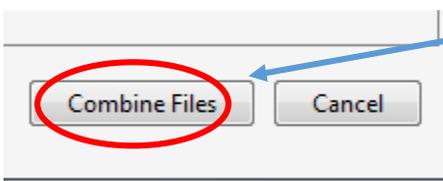
1. Click on “Create” to the left on the tool bar.



2. In the pop up window, select “Combine Files into a Single PDF...”
3. In the next pop up, select “Add Files...” and click on “Add Files” again from the next pop up



4. Select the files that you want to combine (you will need to select “Add Files” more than once).
5. Then, click the button at the bottom right that says “Combine Files.”

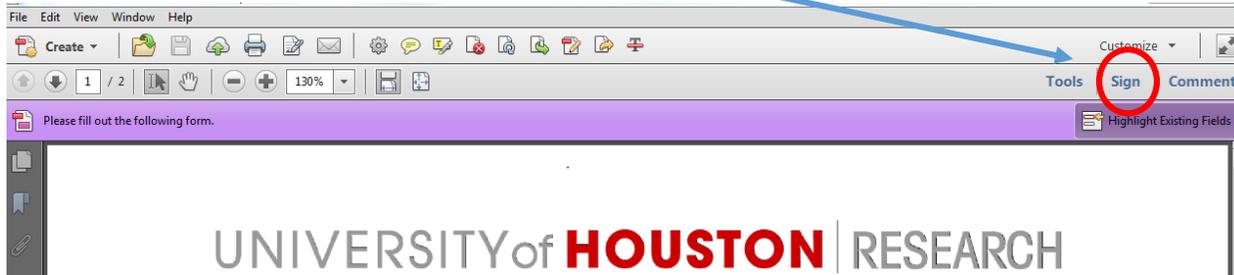


6. You will then need to save the combined file to your desktop.

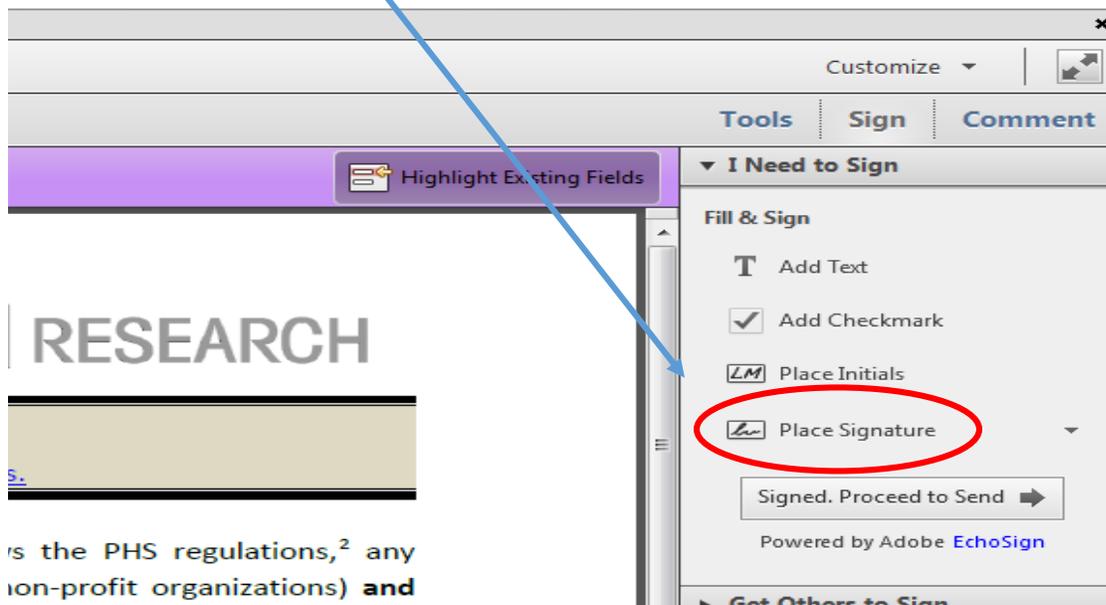
³ For a complete list, see the table at http://www.uh.edu/research/compliance/coi/COI_Step_1/ under the section “How to certify and disclose.”

How to Sign a Document in Adobe Reader Using a PC

1. After filling in the form, including all required fields, save to your desktop.
2. Select the “Sign” tab on the right hand side.



3. Click on “Place Signature.”



4. In the pop up window, select “Draw My Signature” and using your mouse, sign in the white area.



5. Then drag it into the signature line for the form.

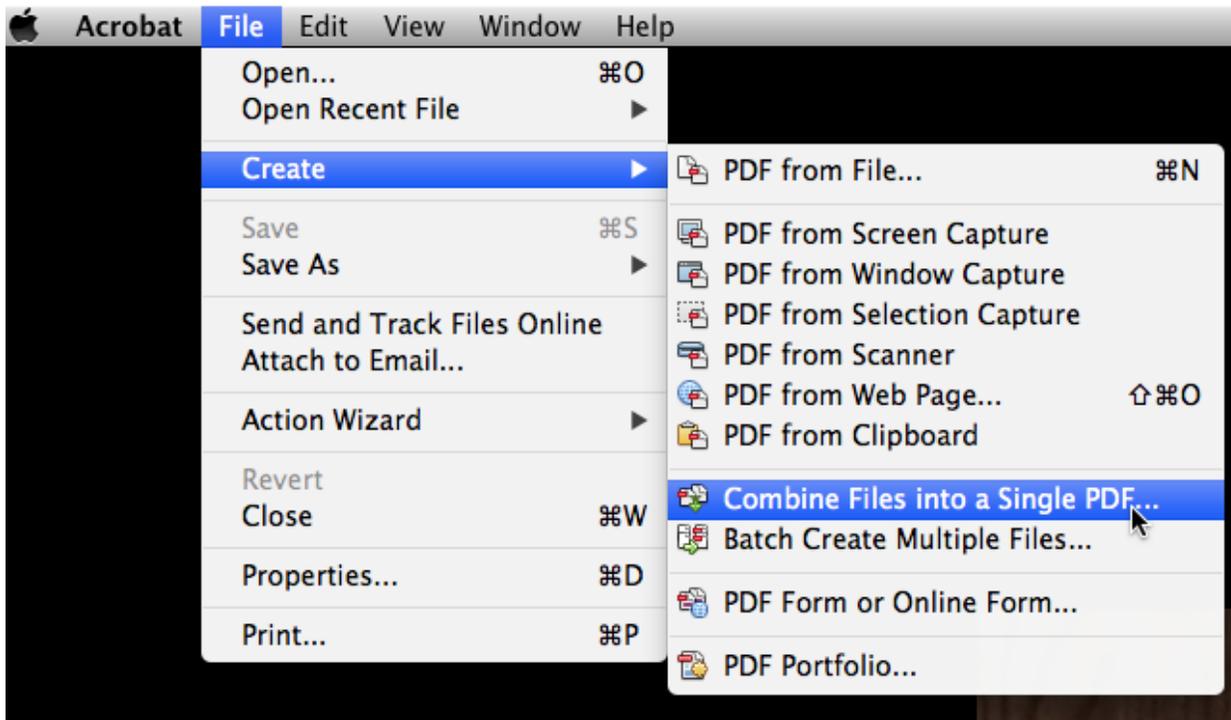


6. Save the document to your desktop.

Mac Users

How to Combine Documents in Acrobat Using a Mac

1. Go to main menu and select “File,” then “Create” and “Combine Files into a Single PDF...”

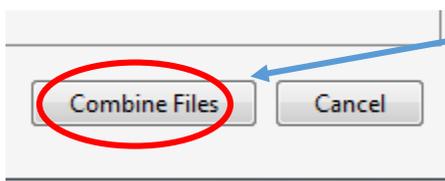


2. In the next pop up, select “Add Files...” and click on “Add Files” again from the next pop up



3. Select the files that you want to combine (you will need to select “Add Files” more than once).

4. Then, click the button at the bottom right that says “Combine Files.”



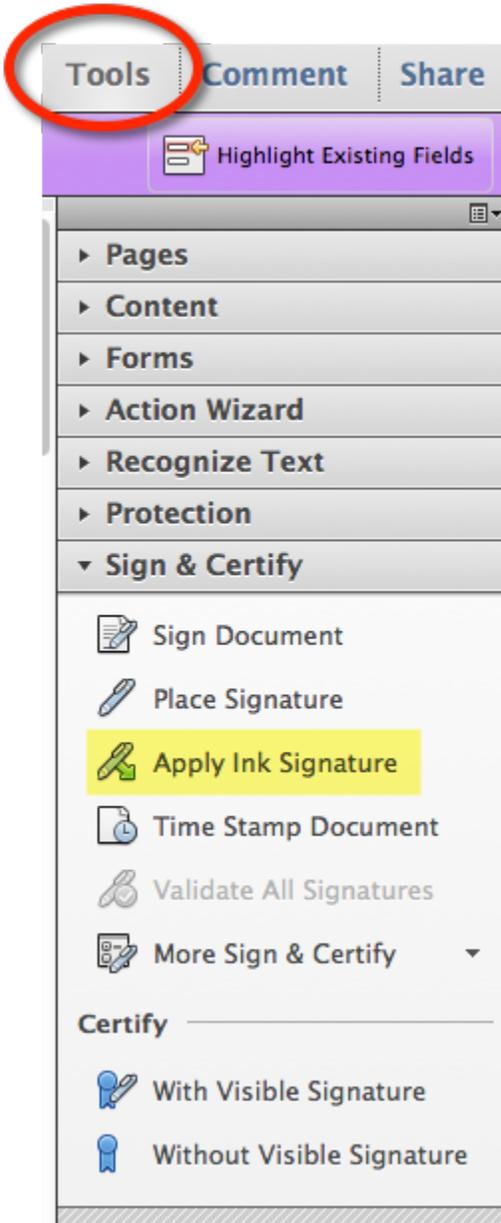
5. You will then need to save the combined file to your desktop.

OR

Use the Mac application “Preview” – instructions here: <http://chronicle.com/blogs/profhacker/combine-pdfs-in-5-seconds-with-macs-preview/49675>

How to Sign a Document in Acrobat Using a Mac

1. After filling in the form, including all required fields, save the form on your desktop.
2. Click on “Tools”, “Sign & Certify,” then “Apply Ink Signature.”



3. Sign your name with the pen that appears and save the document.