UTHEALTH NOTIFICATION TO COLLABORATORS, STAFF, AND TRAINEES
OF RESEARCH-RELATED FINANCIAL INTERESTS

Research Conflict of Interest Management Plans, recommended by the Research Conflicts of Interest Committee and approved by the Senior Executive Vice President for Academic and Research Affairs, require investigators to inform all research collaborators, staff, and trainees who work on research related to their financial interests about the nature of those financial interests. Submission of this completed form to document such discussions, one per collaborator/staff/trainee, fulfills this requirement.

Information about the financial interest is posted at the RCOI website (http://www.uthouston.edu/evpara/rcoi). The process that UTHealth utilizes to identify, review, and manage financial conflicts of interest in research is provided in the UTHealth Research Conflicts of Interest Policy (HOOP 94).

Forward completed/signed forms to the Conflict of Interest Office, campus mail route UCT 1510.

Investigator with Research-Related Financial Interests:
My signature below indicates that I and/or my covered family member(s) have significant financial interests that UTHealth has determined represent a financial conflict of interest in the research and for which a Management Plan has been implemented. I have discussed the financial interests and how they relate to the research with the individual for whom this form is submitted.

My Management Plan is for my outside activities/financial interests with: _________________________________.

Investigator’s Signature __________________________ Printed Name __________________________ Date ________________

Collaborator/Staff/Trainee Acknowledgement:
My signature below indicates that I have received this notification and have had an opportunity to discuss with the investigator the potential impact that his/her significant financial interests may have on the design, conduct, and reporting of the research, my participation in the research, and my degree program requirements (if applicable).

Signature __________________________ Printed Name __________________________ Date ________________

Faculty: __________________________ Staff: __________________________ Trainee: __________________________

My role in the related research: ________________________________________________________________

Organization if other than UTHealth: ________________________________________________________________

Definition of Significant Financial Interests:
- 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. (Does not include interests in mutual funds/retirement accounts, or royalties and other fees paid to the investigator by UTHealth.)
- 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.
- Service as an officer, director, or other fiduciary position for an outside entity from which the investigator received remuneration or payment for expenses in the preceding 12 months.
- Gifts received from an outside entity in the preceding 12 months that exceed $250 in value.