

Annual Compliance Certifications

Revised 4/20/07

Each year, in accordance with MAPP Policy 04.00.00 and SAM policies 02.A.10 and 02.A.09, faculty and staff shall complete the following annual certifications:

Consulting and Professional Services Reporting Form

- Required for **full-time benefits eligible faculty** and **exempt staff**.
- To be completed at the beginning of each new fiscal year with information for the *prior* year reporting period.
- Effective FY07, this form is completed online via WebCT.

Related Party Disclosure Form

- Required for all faculty and staff who have authority to initiate purchase orders or influence purchasing decisions.
- Effective FY07, this form is completed online via WebCT.

Conflict of Interest Forms (COI)

- All **academic staff** members are required to annually complete the *Policy on Conflict of Interest for Academic Staff* form which can be downloaded from http://www.research.uh.edu/Online_Forms/coiform2006.doc. The policy is located at: http://www.research.uh.edu/Online_Forms/index_html/editor/coi_policy_99-2000.doc
 - An academic staff member means the principal investigator, co-principal investigator, and any other person at the University who is responsible for the design, conduct, or reporting of research or educational activities. This definition includes anyone who is paid by or whose work is supported by a grant or contract whether the support is internal or external (e.g., graduate students, postdoctoral fellows, but not technicians or clerical employees) and includes the immediate family of the academic staff member.
- **Non-academic staff** can go to <http://www.uh.edu/mapp/04/040000B.pdf> to download and complete the *Disclosure of Potential Conflict of Interest* form.
- The Department will create and maintain a checklist of all employees required to complete the form, and update the checklist as the completed forms are returned.
- The completed forms are to be reviewed for any possible conflicts.
- COI forms on which the PI answered yes to any of the questions need an accompanying memo of explanation. All forms must be signed by the Chair.
- The forms that indicate possible conflicts must be sent to the Dean for review and signature, then to the VP for Research.
- The Department will maintain a scanned copy of all forms with the checklist as the front page. Location: ChemAdmin/ChemScan/Annual Certifications.
- A copy of all COI forms must be sent to NSM. A scanned copy is acceptable.
- All original COI forms **with original signatures** must be sent to the CIP Research Compliance Specialist in the Division of Research. Research Division will process and scan the form into permanent database system (RD2K). The originals will be returned to the

Department. The Department will scan and replace the updated forms that contain all signatures. If any of the forms include a potential conflict of interest, a copy will also be placed in the faculty file.

- Record retention: The original COI forms must be maintained for a minimum of three years after completion of federal and non-federal projects. Scanned originals are acceptable.

State-Mandated Training

In accordance with Texas Labor Code 21.010, all new employees must be trained in Equal Employment Opportunity, including Sexual Harassment within 30 days of their employment. In addition, all state employees are required to have refresher training every 2 years.

This training is provided during *New Hire Orientation* for all benefits eligible staff. Departments must arrange for non-benefits eligible staff to receive the training.