

BI/COI FORM A

The National Academies of
SCIENCES · ENGINEERING · MEDICINE

**BACKGROUND INFORMATION
AND
CONFLICT OF INTEREST DECLARATION**
For Institutional Oversight and Non-Advisory Program Activities

NAME: _____

TELEPHONE: _____

ADDRESS:

EMAIL ADDRESS:

CURRENT EMPLOYER: _____

Activity: _____

This form applies to individuals with respect to their participation in institutional oversight activities and their service on committees, boards, panels, etc. for non-advisory program activities (program activities not involving advice to sponsors). It does not apply to service by individuals on institutional committees used in the development of reports -- nor to employees, consultants, and subcontractors -- all of which are covered by separate institutional conflict of interest policies and forms.

There are two parts to this form, Part I: Background Information, and Part II: Conflict of Interest Declaration. Complete both parts, **sign** and **date** this form on the last page, and return the form to the responsible staff officer for the activity to which this form applies. **Retain a copy for your records.**

PART I: BACKGROUND INFORMATION

INSTRUCTIONS

Please provide the information requested below regarding **relevant** organizational affiliations, government service, public statements and positions, research support, and additional information (if any). Information is "relevant" if it is related to -- and might reasonably be of interest to others concerning -- your knowledge, experience, and personal perspectives regarding the institutional oversight and/or non-advisory program activities for which this form is being prepared. If some or all of the requested information is contained in your curriculum vitae, you may if you prefer simply attach your CV to this form, supplemented by additional responses or comments below as necessary.

I. ORGANIZATIONAL AFFILIATIONS. Report your relevant business relationships (as an employee, owner, officer, director, consultant, etc.) and your relevant remunerated or volunteer non-business relationships (e.g., professional organizations, trade associations, public interest or civic groups, etc.).

II. GOVERNMENT SERVICE. Report your relevant service (full-time or part-time) with federal, state, or local government in the United States including elected or appointed positions, employment (including employment as a special government employee), advisory board memberships, military service, etc.

III. RESEARCH SUPPORT. Report relevant information regarding both public and private sources of research support (other than your present employer), including sources of funding, equipment, facilities, etc.

IV. PUBLIC STATEMENTS AND POSITIONS. List your relevant articles, testimony, speeches, etc., by date, title, and publication (if any) in which they appeared, or provide relevant representative examples if numerous. Provide a brief description of relevant positions of any organizations or groups with which you are closely identified or associated.

V. ADDITIONAL INFORMATION. If there are relevant aspects of your background or present circumstances not addressed above that might reasonably be construed by others as affecting your judgment in matters within the assigned task of the activity for which you have been invited to serve, and therefore might constitute an actual or potential source of bias, please describe them briefly.

PART II: CONFLICT OF INTEREST DECLARATION

INSTRUCTIONS

The National Academies of Sciences, Engineering, and Medicine work together under the congressional charter of the National Academy of Sciences to provide independent, objective analysis and advice to the nation and conduct other activities to solve complex problems and inform public policy decisions. The academies also encourage education and research, recognize outstanding contributions to knowledge, and increase public understanding in matters of science, engineering, and medicine.

The actual expense of the Academies' activities may be paid through a variety of funding mechanisms, including private gifts and bequests, appropriations for the benefit of the institution directed to executive departments and agencies of the Government, and grants, contracts and other forms of financial agreement with such executive departments and agencies. Funding may also come from other private sources such as private foundations. In the management, investment, and disbursement of these and all other institutional funds, the institution is committed to the highest standards of fiduciary honesty and responsibility.

To meet these institutional obligations and commitments, it is essential that individuals who participate in institutional decision making processes not be compromised by any significant conflict of interest with respect to such decisions, or by the direct and substantial appearance of a conflict of interest. For this purpose, the term "conflict of interest" means any financial or other interest which conflicts with the participation of an individual in particular decisions of the institution because the interest (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.

In assessing potential conflicts of interest in connection with an individual's participation in decisions of the institution, particular attention will be given to the following kinds of financial interests if they are relevant to the functions to be performed: employment relationships (including private and public sector employment and self-employment); consulting relationships (including commercial and professional consulting and service arrangements, scientific and technical advisory board memberships, serving as an expert witness in litigation, and providing services in exchange for honorariums and travel expense reimbursements); stocks, bonds, and other financial instruments and investments including partnerships; real estate investments; patents, copyrights, and other intellectual property interests; commercial business ownership and investment interests; and research funding and other forms of research support.

The term "conflict of interest" applies not only to the personal interests of the individual but also to the *interests of others* with whom the individual has substantial common financial interests if these interests are relevant to the functions to be performed. Thus, in assessing an individual's potential conflicts of interest, consideration must be given not only to the interests of the individual but also to the interests of the individual's

spouse and minor children, the individual's employer, the individual's business partners, and others with whom the individual has substantial common financial interests. Consideration must also be given to the interests of those for whom one is acting in a fiduciary or similar capacity (e.g., being an officer or director of a corporation, whether profit or nonprofit, or serving as a trustee).

The conclusion that an actual or apparent conflict of interest exists is not intended to be an assessment of any individual's actual behavior or character. Rather it is a mechanism for identifying and eliminating certain potentially compromising situations from occurring, thereby protecting not only the institution but also the individual and the public interest.

The normal institutional response to a potential conflict of interest, or the direct and substantial appearance of a conflict of interest, is to remove or recuse the individual in question from particular institutional decisions to the extent necessary to eliminate the conflict. However, the institution reserves the right to take such other actions as may be necessary and appropriate in particular circumstances. Administration of this policy is the responsibility of the National Research Council Executive Office.

CONFLICT OF INTEREST DECLARATION: *During my period of service in connection with the institutional oversight activities and/or non-advisory program activities for which this form is being completed, I will not participate in any institutional decision for which I have a conflict of interest as defined above, and I will formally disclose for the record the fact that I am not participating. In cases of uncertainty about whether or not a conflict of interest exists, I will consult as necessary about the specific circumstances involved with the responsible staff officer for the activity.*

YOUR SIGNATURE

DATE

Reviewed by: _____

DATE

Executive Director or other Major Unit Head