

National Academy of Sciences
INVESTIGATOR CONFLICT OF INTEREST AND DISCLOSURE FORM
For Transportation Research Board (TRB) Cooperative Research Programs (CRP)

To meet institutional obligations and commitments and pursuant to Section 2-1 of the National Academy of Sciences (NAS) Procurement Supplement entitled "Identifying Conflicts of Interest," it is essential that any contractor, supplier, vendor, or subawardee which shall include any individual or entity who participates at any stage in a CRP procurement or subaward activity not be compromised by any conflict of interest or by the direct and substantial appearance of a conflict of interest ("Conflict of Interest"), with respect to such activities. The CRP Conflict of Interest Policy can be viewed and downloaded here.

The conclusion that an Investigator has conflict of interest on a Research project is not an assessment of the Investigator's behavior or character. The exclusion of an Investigator from participating on a CRP Research project is intended to avoid a potentially compromising situation, thereby protecting the Investigator, the CRP Program, and the public interest.

INSTRUCTIONS

- Please read this document in full and answer the questions to your best ability with all relevant information. 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 subject matter and issues to be addressed by the activity for which this form is being prepared. Consult the CRP RFP task for the scope of the research project.
- A copy of this form must be completed and submitted by all named members of the research team whether they are employed by the Prime Contractor or any of the subcontractors.
- Do not leave any questions unanswered.
- Return your dated form to the CRP Senior Program Officer (CRP SPO) with your proposal.
- ***Please retain a copy of your completed form for your records. The Academies will retain a copy of your form with the activity's project records for the duration of the research project.***
- Your form will be unique to the CRP research project for which you are proposing, but must be updated during the research project if there is any material change to the responses, as necessary. Make changes or additions throughout the form and provide a summary of changes and the date in the PI field at the end of the form before submitting a new copy to the CRP SPO.

INVESTIGATOR NAME:

NUMBER AND TITLE OF RESEARCH PROJECT:

DATE SUBMITTED:

A. FINANCIAL CONFLICTS OF INTEREST

An individual may not be an investigator on a research project if the Investigator has a current financial conflict of interest with respect to the Research to be conducted. There is a financial conflict of interest if the Investigator has a ***financial interest***, as described below, which could be affected directly and predictably by the outcome of the research project.

A ***financial interest*** includes stocks, bonds, and other financial instruments and investments; patents, copyrights and other intellectual property interests; and ownership interests in for profit business enterprises. It does not include any financial asset with a value of less than \$15,000 or diversified mutual funds and similarly diversified investments.

- (i) Do you currently have a ***financial interest*** that could be affected directly and predictably by the outcome of the research project?

Yes No

If yes, please list all relevant financial interests.

- (ii) Does your spouse, domestic partner, or dependent child currently have a ***financial interest*** that could be affected directly and predictably by the outcome of the research project?

Yes No

If yes, please list all relevant financial interests.

(iii) Do you currently have a relationship with an entity that has a **financial interest** that could be affected directly and predictably by the outcome of the research effort involving any of the following?

- a business partnership or employment;
- the provision of compensated advisory or consulting services, including compensated service on a scientific or technical advisory board;
- the provision of representation services or service as an expert witness, whether compensated or not;
- service as an officer, director, trustee, or other fiduciary of the entity, whether compensated or not; or
- research support, except for research support that is awarded on the basis of merit without restrictions on the conduct of the research or the publication of the results.

NOTE: *There is no minimum threshold for income or compensation that must be listed here.*

Yes No

If yes, please list all relevant relationships and entities.

B. DISCLOSURE OF OTHER RELEVANT INFORMATION

Is there any other information to disclose that could have a significant impact on public perception of the objectivity and value of the proposed Research project?

Example: In the case of a research project on facilitating balanced mix design, the fact that an adult daughter of a research team member is the vice president of an asphalt company should be disclosed.

Yes No

If yes, please provide a description of other relevant information.

Please remember to include your full name and date on the first page of your completed form before submitting.

During your period of performance in connection with the proposed Research project for which this form is being completed, any changes in the information provided, or any new information relevant to the Research team's effort must be reported promptly to the CRP SPO. Make updates or additions throughout your form as needed and provide the date and summary of the updates in the Investigator Updates section below. Submit the newly updated form to the CRP SPO when necessary. The Investigator Updates section can be overwritten anytime a new update occurs. Copies of your original form and any updates will be retained for the duration of the research project.

NOTE: Failure of the Investigator to disclose a relevant Financial Interest, or to update their Investigator Conflict of Interest and Disclosure Form, may result in termination of a subaward, at the sole discretion of NAS, and may result in a suspension or prohibition of receiving future CRP funding by the Investigator and the entity. Any false statement, misrepresentation, or material omission may also subject the Investigator and entity to liability for damages, and to prosecution to the fullest extent permitted under applicable laws.

Investigator UPDATES

Date of updates:

Update(s): Provide the section(s) (e.g., A.i., C.ii.) and describe the change(s)/addition(s).

FOR INTERNAL USE ONLY

Reviewed by:

Date:
