



## CONFLICT OF INTEREST AND CONFIDENTIALITY POLICIES

October 2004

The *Northeast Consortium* applies the following **conflict of interest policy** to its Representatives, staff, Advisory Committee and other panel reviewers so that it can ensure as fair and objective a review process as possible.

NATURE OF RELATIONSHIP	RESPONSE TO POTENTIAL CONFLICT
<p><b>Direct Project Involvement</b></p> <ul style="list-style-type: none"> <li>• (Co-)Principal investigator.</li> <li>• Project participant – paid.</li> <li>• Project participant – unpaid.</li> </ul>	<p><u>Planning Letters:</u></p> <ul style="list-style-type: none"> <li>• Cannot obtain, review, or participate in a discussion about planning letters in the small group containing your letter (i.e., review letters within same topic area).</li> <li>• Should leave the room during the plenary discussion on the small group containing your letter.</li> <li>• May obtain, review and participate in small group and plenary discussion on planning letters in other small groups (i.e., different topic area).</li> </ul> <p><u>Full Proposals and Project Development Fund Proposal Letters:</u></p> <ul style="list-style-type: none"> <li>• Not eligible to review.</li> </ul>
<p><b>Professional Relationship - Direct</b></p> <ul style="list-style-type: none"> <li>• Current supervisor of a (Co-)PI or project participant.</li> <li>• Currently a Co-PI on a project or proposal.</li> <li>• Currently collaborating on a book, article, report or paper.</li> <li>• Current consulting or advisory arrangement.</li> </ul>	<p><u>Planning Letters:</u></p> <ul style="list-style-type: none"> <li>• May obtain, review, and provide written comments on the letter.</li> <li>• Should abstain from all discussion about planning letters in the small groups and plenary session.</li> </ul> <p><u>Full Proposals and Project Development Fund Proposal Letters:</u></p> <ul style="list-style-type: none"> <li>• May obtain, review, and provide written comments on the proposal.</li> <li>• Should abstain from all discussion about proposals in the small groups and plenary session.</li> </ul>
<p><b>Professional Relationship - Indirect</b></p> <ul style="list-style-type: none"> <li>• Past academic advisor or a student of a (Co-)PI or project participant.</li> <li>• Co-PI on a completed project within the last 3 years.</li> <li>• Co-author on a book, article, report or paper within the last 3 years.</li> <li>• Consulting or advisory arrangement within the last 3 years.</li> </ul>	<p><u>Planning Letters, Full Proposals and Project Development Fund Proposal Letters:</u></p> <ul style="list-style-type: none"> <li>• May obtain, review and participation in small group and plenary discussion.</li> <li>• If extent of past professional relationship is relatively significant (e.g., strong potential for future collaboration within 1 year), then it may be appropriate to disclose this fact when commenting in small group or plenary.</li> </ul>

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NATURE OF RELATIONSHIP	RESPONSE TO POTENTIAL CONFLICT
<p><b>Institutional Affiliation</b></p> <ul style="list-style-type: none"> <li>• Current employee of same institution as (Co-)PI or project participants.</li> <li>• Employment at same institution within last 12 months.</li> </ul>	<p><u>Planning Letters, Full Proposals and Project Development Fund Proposal Letters:</u></p> <ul style="list-style-type: none"> <li>• May obtain, review and participation in small group and plenary discussion.</li> <li>• If degree of institutional affiliation is relatively close (e.g., same academic department, governmental unit, fishermen association, etc.), then it may be appropriate to disclose this fact when commenting in small group or plenary.</li> </ul>
<p><b>Personal and Other Relationships</b></p> <ul style="list-style-type: none"> <li>• Known family or marriage relationship with (Co-)PI or project participants.</li> <li>• Close personal friendship or other relationship that may tend to affect your judgments or are seen as doing so by a reasonable person.</li> </ul>	<p><u>Planning Letters, Full Proposals and Project Development Fund Proposal Letters:</u></p> <ul style="list-style-type: none"> <li>• This situation would likely make you an ineligible reviewer, in part or completely. Please consult with the <i>Northeast Consortium's</i> director.</li> </ul>

The Northeast Consortium applies the following **confidentiality policy** to its Representatives, staff, Advisory Committee and other panel reviewers so that it can protect the ideas and approaches submitted by proposers and the identities and comments of reviewers.

RESPONSIBILITY OF:	RESPONSIBILITY TO:
<p><b>Reviewers</b></p>	<ul style="list-style-type: none"> <li>• Not share information about project proposals, research ideas, or other proposal documentation with anyone.</li> <li>• Return all planning letters, full proposals, and proposal letters and all review documentation (e.g., rating sheets, personal notes, evaluation forms) to the Northeast Consortium at the end of the panel meeting.</li> <li>• Not share information about panel discussions and recommendations with anyone.</li> </ul>
<p><b>Northeast Consortium</b></p>	<ul style="list-style-type: none"> <li>• Destroy all planning letters not recommended for development of full proposals and proposals and proposal letters not recommended for funding.</li> <li>• Maintain all program files in a locked, secure location.</li> <li>• Transmit response letters to proposers promptly (within 10 business days)</li> <li>• Encourage all proposers to contact Consortium staff if they have questions about their reviews or the comments of panel or representatives.</li> </ul>

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**CONFLICT OF INTEREST AND CONFIDENTIALITY  
STATEMENT**

I, \_\_\_\_\_, certify that with the exception of the conditions discussed below, I am free of conflicts and can serve as an eligible reviewer and that I have read, agree and will comply with the confidentiality responsibilities pursuant to the April 2004 Northeast Consortium Conflict of Interest and Confidentiality Policy.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Nature of Potential Conflict:** Below please describe the nature of any direct proposal involvement, professional relationship, institutional affiliation, or personal or other relationship that may reflect a conflict of interest.