



NORTHEAST CONSORTIUM CONFLICT OF INTEREST AND CONFIDENTIALITY POLICIES

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 proposal review process as possible.

| NATURE OF RELATIONSHIP | RESPONSE TO POTENTIAL CONFLICT |
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| <p>Direct Project Involvement</p> <ul style="list-style-type: none"> • (Co-)Principal investigator. • Project participant – paid. • Project participant – unpaid. | <p><u>Full Cooperative Research and Project Development Award Proposals:</u></p> <ul style="list-style-type: none"> • Not eligible to review. |
| <p>Professional Relationship - Direct</p> <ul style="list-style-type: none"> • Current supervisor of a (Co-) PI or project participant. • Currently a Co-PI on a project or proposal. • Currently collaborating on a book, article, report or paper. • Current consulting or advisory arrangement. | <p><u>Full Cooperative Research and Project Development Award Proposals:</u></p> <ul style="list-style-type: none"> • May obtain, review, and provide written comments on the proposal. • Should abstain from all discussion about proposals in the small groups and plenary session. |
| <p>Professional Relationship - Indirect</p> <ul style="list-style-type: none"> • Past academic advisor or a student of a (Co-)PI or project participant. • Co-PI on a completed project within the last 3 years. • Co-author on a book, article, report or paper within the last 3 years. • Consulting or advisory arrangement within the last 3 years. | <p><u>Full Cooperative Research and Project Development Award Proposals:</u></p> <ul style="list-style-type: none"> • May obtain, review and participation in small group and plenary discussion. • 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. |

| NATURE OF RELATIONSHIP | RESPONSE TO POTENTIAL CONFLICT |
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| <p>Institutional Affiliation</p> <ul style="list-style-type: none"> • Current employee of same institution as (Co-)PI or project participants. • Employment at same institution within last 12 months. | <p><u>Full Cooperative Research and Project Development Award Proposals:</u></p> <ul style="list-style-type: none"> • May obtain, review and participation in small group and plenary discussion. • 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. |
| <p>Personal and Other Relationships</p> <ul style="list-style-type: none"> • Known family or marriage relationship with (Co-)PI or project participants. • Close personal friendship or other relationship that may tend to affect your judgments or are seen as doing so by a reasonable person. | <p><u>Full Cooperative Research and Project Development Award Proposals:</u></p> <ul style="list-style-type: none"> • This situation would likely make you an ineligible reviewer, in part or completely. Please consult with the <i>Northeast Consortium's</i> Executive Director. |

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



NORTHEAST CONSORTIUM 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 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.