**CONFIDENTIAL CONFLICT OF INTEREST AND DISCLOSURE FORM**

**For Committees used in the Development of Findings, Conclusions, and Recommendations**

Every year thousands of scientists, engineers, health professionals and other experts are appointed to National Academies’ committees charged with developing findings, conclusions and recommendations regarding a wide range of national and international problems, needs, and opportunities. The quality and integrity of the work of these committees is essential to the reputation of the National Academies and to the continuation of the institution’s role as an advisor to the government and the nation on matters involving science, engineering and medicine.

This standard of high quality and integrity requires that staff ensure the membership of these committees be qualified, appropriately balanced, and independent from sponsors. Appointed members must be **(A)** free of financial conflicts of interest with rare exception, **(B)** transparent about their relevant relationships, and **(C)** transparent about their relevant publications. This form will walk you through questions pertaining to these three requirements.

The conclusion that an individual has conflict of interest is not an assessment of the individual’s behavior or character. The exclusion of an individual from service on a committee is intended to avoid a potentially compromising situation, thereby protecting the individual, the National Academies, and the public interest. The full Policy on Composition and Balance, Conflicts of Interest, and Independence can be read [***here***](https://www.nationalacademies.org/about/institutional-policies-and-procedures/conflict-of-interest-policies-and-procedures).

**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 committee activity for which this form is being prepared. Consult the activity’s statement of task for the scope of the committee’s work.
* Do not leave any questions unanswered.
* Please provide all relevant information directly in this form and avoid referencing and submitting attachments like CVs.
* Return your dated form to National Academies’ staff once completed. No signature is required.
* ***Please retain a copy of your completed form for your records.*** *The Academies will only retain a copy of your form with the activity’s membership records for the duration of the activity. It will not be applicable to other activities or available to other staff.*

**NAME:** Please enter full name as you would like it to appear when posted.

**ACTIVITY NAME:** Staff to enter committee or activity name.

**DATE SUBMITTED:** Click or tap to enter a date.

1. **FINANCIAL CONFLICTS OF INTEREST**

An individual may not be appointed to a committee if the individual has a currentfinancial conflict of interest with respect to the issues to be addressed by the committee. There is a financial conflict of interest if the individual has a ***financial interest***, as described below, which could be affected directly and predictably by the outcome of the committee’s work.

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.

1. Do you currently have a ***financial interest*** that could be affected directly and predictably by the outcome of the committee’s work?

Yes  No

If yes, please list all relevant financial interests.

Tap or click to enter text. Complete sentences are not necessary.

1. 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 committee’s work?

Yes  No

If yes, please list all relevant financial interests.

Tap or click to enter text. Complete sentences are not necessary.

1. 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 committee’s work 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.

Tap or click to enter text. Complete sentences are not necessary.

1. **DISCLOSURE OF RELEVANT RELATIONSHIPS**

Separate from any relationships you provided in Section A that constitute a financial conflict of interest, there may be other relationships that do not constitute a financial conflict of interest, but are relevant to your service on the committee and therefore will be disclosed when the committee’s membership is announced and in any publication resulting from the committee’s work. When disclosing a relationship, please provide a start and end date to the extent possible.

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.

1. In the last 5 years have you had a pastrelationship with an entity that has a ***financial interest*** that could be affected directly and predictably by the outcome of the committee’s work involving any of the following?
   * a business partnership or employment;
   * the provision of compensatedadvisory 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 was 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.*

***NOTE:*** *This question only applies to past relationships. If the relationship is current, it must be entered in Section A(iii) and not here.*

Yes  No

If yes, please list all relevant past relationships and provide a start and end date, to the extent possible.

Tap or click to enter text. Complete sentences are not necessary.

1. In the last 5 years have you had anyrelationship (past or current) with an entity that has a ***financial interest*** that could be affected directly and predictably by the outcome of the committee’s work involving uncompensatedadvisory or consulting services, including service on a scientific or technical advisory board?

***NOTE:*** *This question only applies to an uncompensated advisory or consulting service. If the service is compensated, it must be entered in Section A(iii) for current service or Section B(i) for past service and not here.*

Yes  No

If yes, please list all relevant service and provide a start date and end date, if applicable.

Tap or click to enter text. Complete sentences are not necessary.

1. In the last 5 years have you had any relationship (past or current) with an entity that has taken a ***public position*** on an issue that is central to the work of the committee involving any of the following?
   * a business partnership or employment;
   * the provision of advisory or consulting services, including service on a scientific or technical advisory board, whether compensated or not;
   * 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 provide a start date and end date if applicable. Please also describe the public position in each case.

Tap or click to enter text. Complete sentences are not necessary.

1. In the last 5 years has your spouse, domestic partner, or dependent child had any relationship (past or current) with an entity that has a ***financial interest*** that could be affected directly and predictably by the outcome of the committee’s work involving any of the following?
   1. a business partnership or employment;
   2. the provision of compensated advisory or consulting services, including compensated service on a scientific or technical advisory board;
   3. the provision of representation services or service as an expert witness, whether compensated or not;
   4. service as an officer, director, trustee, or other fiduciary of the entity, whether compensated or not; or
   5. 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 provide a start date and end date if applicable.

Tap or click to enter text. Complete sentences are not necessary.

1. **DISCLOSURE OF RELEVANT PUBLICATIONS AND PUBLIC STATEMENTS**

Relevant publications will be disclosed at the time of committee formation and in any report of the committee. A relevant publication includes any published or otherwise public statement authored by you alone or with others within the last five years that takes a position on an issue central to the work of the committee.

Examples of relevant ***public statements*** include testimony, speeches, and social media posts taking a position on the issues central to the work of the committee.

Examples of relevant ***publications*** include published journal articles, books, op/eds, and commentaries that take a position on the issues central to the work of the committee.

1. In the last 5 years have you made any relevant ***public statements*** taking a position on an issue central to the work of the committee?

Yes  No

If yes, please provide a title or description, date, and a web link if available for each relevant instance. If too numerous, please include representative examples.

Tap or click to enter text. Complete sentences are not necessary.

1. In the last 5 years have you authored any relevant ***publications*** taking a position on an issue central to the work of the committee?

Yes  No

If yes, please provide a title or description, date, and a web link if available for each instance.

Tap or click to enter text. Complete sentences are not necessary.

1. **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 committee’s work?

***Example****:* In the case of a committee studying opportunities for mandating improved motor vehicle fuel efficiency, the fact that an adult daughter of a committee member is the vice president for engineering of a major vehicle manufacturer should be disclosed.

Yes  No

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

Tap or click to enter text. Complete sentences are not necessary.

*During your period of service in connection with the activity for which this form is being completed, any changes in the information provided, or any new information relevant to the committee’s work should be reported promptly to the project staff in writing.*

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

**FOR INTERNAL USE ONLY**

Reviewed by:

Date: