

NIH PRE-REVIEW CERTIFICATION REGARDING CONFLICT OF INTEREST FOR

DHHS FEDERAL EMPLOYEES WHO ARE REVIEWERS OF NIH R&D CONTRACT PROPOSALS

Reviewer Name: _____ Lastname, Firstname M

Address (employment): _____

Address Line 1 _____

Address Line 2 _____

City, State Zip Code _____

Scientific Review Group: _____

Date(s) of review: _____

NIH Conflict of Interest Rules: Information for Reviewers of NIH R&D Contract Proposals (DHHS Federal Employees)

The NIH peer review system relies on the professionalism of each reviewer to identify any conflict of interest (COI) or the appearance of COI that may affect or appear to affect the integrity of the NIH peer review process.

The NIH COI rules for initial peer review for technical evaluation of R&D contract proposals are based on federal regulations ([42 CFR Part 52h](#)) and presented in detail in NIH Guide Notice [NOT-OD-14-069](#), as clarified in NIH Guide Notice [NOT-OD-21-019](#).

In order to participate in the technical evaluation meeting, you must:

- Review the rules below and screen the R&D contract proposals for COI or the appearance of COI for yourself.
- Notify the Designated Federal Officer/Scientific Review Officer *immediately* if you have a COI or the appearance of COI with any proposal in this meeting.
- Certify on the *pre-meeting* Conflict of Interest Certification below that you have identified any proposal with which you have a COI or appearance of COI. In addition, the NIH may determine that a particular situation involves a COI or the appearance of COI and require that you not participate in the technical evaluation meeting or, in rare cases, in the evaluation of a particular proposal.

DHHS Federal employees participating in NIH peer review are subject to a comprehensive set of statutes and regulations governing their conduct, in addition to NIH policy regarding their selection and use in the peer review process. A DHHS Federal employee serving as an NIH peer reviewer is responsible for obtaining any clearance required by his/her employing institute, agency, or office.

You **may not be** on the technical evaluation panel if:

- You are named on a proposal in a **major professional role** (Program Director/Principal Investigator [PD/PI], Senior/Key Personnel, Other Significant Contributor, Project/Site/Core Director, collaborator, consultant).
- You are a member of an NIH Advisory Council.
- You have a direct financial interest: you or a close family member would receive a direct financial benefit if a proposal is funded.

- You are employed by an offeror organization.
- You are from an organization that is included as a subcontractor of an R&D contract proposal.
- Within the past three years, you have been a collaborator or have had any other professional relationship (e.g., served as a mentor or have been involved in the preparation of an application or proposal) with any person who has a major professional role on an R&D contract proposal to be reviewed in the meeting.
- A proposal includes a letter of support or reference letter from you.
- You serve as a member of the Advisory Board for a project under review.
- You have an indirect financial interest from the offeror organization or person with a major professional role of over \$10,000 in honoraria, stocks, and fees during the last year or during the contract period.
- You are a non-DHHS Federal employee participating in NIH peer review while on official duty time or administrative leave or while using the resources or supplies of your employing agency.

You **may be** on the technical evaluation panel and **may review** specific proposals (not considered a COI) if:

- A proposal originates from an organization where you have collaborators, but your collaborators are not listed on the proposal.
- You have an indirect financial interest of less than \$10,000.
- You freely donate reagents or other materials to the proposed project, and these reagents or materials would also be available to other researchers.
- You, as well as a person with a major role on the proposed project/R&D contract, contribute data, reagents, specimens, etc., to the same repository or database.
- You are a member of a research network that involves a person with a major role on the proposed project/R&D contract.
- You are a co-author of a non-research publication (e.g., review, commentary) or a mega- or multi-authored publication with a person with a major role on the proposed project.

Pre-Meeting Certification: Reviewer Who Is a DHHS Federal Employee

I hereby certify that, based on the information provided:

I have complied with my agency's financial disclosure and ethical conduct requirements associated with service as a reviewer and understand I must recuse from any review if I have a conflict of interest or the appearance of conflict of interest unless a waiver or authorization is granted by or in consultation with my ethics official.

I certify that I have read and that I understand the [NIH Conflict of Interest Rules: Information for Reviewers of NIH R&D Contract Proposals](#) summarized above, and examined the list of contract proposals to be reviewed. I hereby certify that to the best of my knowledge and consistent with my understanding of potential consequences, including the prospect of penalties for falsification, concealment, fraud, and other actions as authorized by US Code Title 18 chapter 47 section 1001 (<https://www.govinfo.gov/content/pkg/USCODE-2014-title18/pdf/USCODE-2014-title18-part1-chap47-sec1001.pdf>), I have disclosed all conflicts of interest that I may have with the R&D contract proposals and I fully understand the confidential nature of the review process.

Printed Name: _____

PI Lastname, Firstname M

Signature: _____

Electronically signed by _____ [Lastname, Firstname M]

on _____ (Date and Time)