

NIH PRE-REVIEW CERTIFICATION REGARDING CONFLICT OF INTEREST FOR REVIEWERS* OF NIH R&D CONTRACT PROPOSALS

(*Reviewers who are not Federal employees, including reviewers who are Federal employees but are not reviewing in their official Federal capacity, and those with dual appointments (Federal employee & non-Federal organization/institution) who are serving in their personal capacity or on behalf of their non-Federal organizations/institutions.)

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

The NIH peer review system relies on the professionalism of each reviewer to identify any conflict of interest (COI) or 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 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 and require that you not participate in the technical evaluation panel or, in rare cases, not be involved in the review of the proposal(s) in question.

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/Board.
- 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 a 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 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

being reviewed in the meeting.

- A proposal includes a letter of support or reference letter from you.
- You serve as a member of the Advisory Council/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 Federal employee not reviewing in your official Federal capacity, but you are using official duty time or the resources or supplies of your employing agency beyond what is permitted under your employing agency's applicable de minimis use policies.

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

- An R&D contract proposal originates from an organization where you have collaborators, but your collaborators are not listed on the R&D contract proposal.
- You have an indirect financial interest of less than \$10,000.
- You freely donate reagents or other materials to the proposed project/R&D contract proposal, 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 proposal, 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 proposal.
- 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/R&D contract proposal.

Pre-Meeting Certification of Reviewers* of Applications for NIH R&D Contract Proposals:

I certify that I have read and that I understand the [NIH Conflict of Interest Rules: Information for Reviewers of 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-partI-chap47-sec1001.pdf>), I have disclosed all conflicts of interest or appearance of conflict of interest that I may have with the R&D contract proposals and I fully understand the confidential nature of the review process.

Signature: _____

PI Lastname, Firstname M

Printed name: _____

Electronically signed by _____ [Lastname, Firstname M]

on _____ (Date and Time)

