



Joint Center for Aerospace Technology Innovation Conflict of Interest Policy of External Reviews

The Joint Center for Aerospace Technology Innovation (JCATI) engages external experts to assist in evaluating grant applications, funded grants, and its own programs. Integral to the success of these reviews is the requirement that they be conducted without bias. Expert evaluators must not have personal, professional or financial interests that are likely to conflict with their ability to perform an unbiased review.

This conflict of interest policy is established to ensure that JCATI's external review contractors, including entities coordinating expert reviews, and reviewers (hereafter referred to jointly as "reviewers") perform their services in an impartial and unbiased manner. For the purposes of this policy, a "conflict of interest" is defined as any personal, professional or financial interest that may be reasonably perceived to bias the reviewer's judgment. Reviewers shall disclose any potential conflicts of interest they may have prior to performing reviews on behalf of JCATI. All conflicts of interest associated with a review must be disclosed at the time such conflicts are first recognized. When a conflict of interest has been declared, a reviewer must recuse themselves from further review of the conflicted subject matter unless otherwise authorized by JCATI.

To guide reviewers about whether or not they have a conflict of interest, the following non-exhaustive examples of conflicts are presented.

1. **Affiliations** with a grant application organization (*for university faculty: organization is defined as having a primary appointment in the same department as a grant applicant*); an organization listed as a co-applicant, collaborator or service provider in a grant application or funded grant; or an organization otherwise under review place a reviewer in a conflict of interest situation. A reviewer is deemed to have a conflict if he or she:

- Is currently employed at the organization
- Is currently providing service to the organization as a consultant or advisor
- Was previously employed by the organization within the last 12 months
- Is being considered for employment by the organization
- Has a formal or informal reemployment arrangement with the organization
- Is currently a member on a visiting committee or other advisory group at the organization
- Holds any office, governing board membership or relevant committee chairpersonship in the organization
- Is currently enrolled as a student at the organization or
- Has received an honorarium, award, gift or favor that is not insubstantial from the organization within the last 12 months.

2. **Relationships** with an investigator, project director or other person associated with a JCATI grant application, funded grant or program under review place a reviewer in a conflict of interest situation. A reviewer is deemed to have a conflict if he or she has one or more of such relationships:

- Family relationship such as spouse, child, sibling or parent
- Business or professional partnership relationships within the last 48 months
- Close personal friendships
- Relationships that have included long-standing personal or professional differences
- Past or present professional relationships such as thesis advisor or thesis student or
- Collaborative relationships on a project, book, article, report or paper with the last 48 months.

3. **Financial arrangements, regardless of their value**, that may reasonably be affected by the work underlying a proposal, funded grant, or program under review place a reviewer in a conflict of interest situation. Such arrangements may include stocks, bonds, investments, partnerships, royalties or intellectual property interests.

4. **Competing interests** arising from affiliations or financial arrangements with individuals or entities involved in solving a problem using an approach that may reasonably be deemed to be competitive with that of the grant applicant place a reviewer in a conflict of interest situation. A reviewer is deemed to have a conflict if he or she:

- Has an affiliation of any sort (see 1 above for examples) with an organization that is a commercial market competitor of an organization under review
- Has a financial arrangement (see 3 above for examples) with an organization that is a commercial market competitor of an organization under review
- Is personally involved with a technology, method, or other approach that may reasonably be deemed to be competitive with that of a grant applicant

For the purposes of this policy, interests of the following persons, to the extent the reviewer is aware of such interests, are to be treated as if they were those of the reviewer: spouse, partner, dependent child or relative living in a reviewer's immediate household.

Reviewers are required to report to JCATI any conflict of interest of which they are aware, including, but not limited to those described above. Except under unusual circumstances, any reviewer who has declared a conflict of interest may not participate in the review of the conflicted subject matter.

In exceptional cases, JCATI may decide that the need for special expertise of the reviewer outweighs any possible bias posed by a potential conflict of interest.

All reviewers must sign a pre-review statement indicating any conflicts of interest that they have, and must also sign a post-review statement that they did not participate in the discussion or review of any grant application, funded grant, or program with which they have a conflict of interest.

Conflict of Interest Declaration and Certification for Expert Reviewers

I have read and I understand the attached JCATI Conflict of Interest Policy on Expert Reviews.

I have read the examples of conflict of interest situations and I make the following conflict of interest disclosures (please list the application's principal investigator; enter NONE if you have no disclosures)

To the best of my knowledge beyond what I have disclosed above, I have no affiliation, relationship or financial arrangements that present a conflict of interest or would prevent me from performing my review duties in an impartial manner. I understand that I must contact JCATI if any additional conflict arises during my service. I further understand that I must sign and return this certification statement to JCATI before I serve.

Reviewer's Name (please print)_____

Reviewer's Signature_____

Date_____