

Conflict of Interest Review  
CRADA Principal Investigator's Certification

CRADA Principal Investigator: \_\_\_\_\_

IC: \_\_\_\_\_

CRADA ID Number: \_\_\_\_\_

Collaborating Organization: \_\_\_\_\_

CRADA Title:  
\_\_\_\_\_

Description: (provide below or attach a summary (up to one page in length) of the proposed research plan.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please carefully review the description of the proposed CRADA research and use it to assess whether there are any real or perceived conflicts of interest that could affect your impartiality in serving as the CRADA Principal Investigator for this CRADA. Real and perceived conflicts could arise in connection with individuals and organizations:

- Involved in carrying out the CRADA;
  - Whose products or services will be used or tested in the CRADA;
  - Whose products or services, or their relative marketability, would be directly and predictably affected by the CRADA outcome.
- I. I AM REQUIRED TO ABIDE BY THE CONFLICT OF INTEREST STATUTES, THE GOVERNMENT-WIDE STANDARDS OF ETHICAL CONDUCT, AND THE SUPPLEMENTAL STANDARDS OF ETHICAL CONDUCT APPLICABLE TO EMPLOYEES OF THE NIH, INCLUDING:
- The conflict of interest statute, 18 U.S.C. § 208, which prohibits me from personally and substantially participating in any particular matter, including this CRADA, in which I, my spouse, minor child(ren) or another whose interests are imputed to me have a financial interest;
  - The so-called appearance standard, 5 C.F.R. §2635.502, which indicates that I should not participate in a specific party matter, such as this CRADA, if it involves an entity with which I am deemed to have a “covered relationship” (such as a person or entity with which I have a business or contractual relationship, an entity which I served as employee, trustee, officer, director or other fiduciary within the past 12 months, an entity my spouse, dependent child or parent serves or seeks to serve as officer, director, agent, consultant,

contractor, employee or other fiduciary, a member of my household or with whom I have a close personal relationship, an organization in which I am an active participant), or when the circumstances are such that a reasonable person would question my impartiality; and

- The regulations that prohibit me from using or permitting another to use my title, office, position or an authority associated therewith for the private gain of any person or entity.

II. I AM RESPONSIBLE FOR IDENTIFYING CONFLICTS OF INTEREST AND INTERESTS THAT MAY APPEAR TO BE CONFLICTS NOW AND DURING THE ENTIRE DURATION OF THE CRADA:

- I will notify the Ethics Office promptly of any interest or relationship that may violate any of the applicable provisions of Article 1 above. In any such event, I will abstain from participating in the CRADA until instructed otherwise by the Ethics Office. When in doubt, I will seek a determination from the Ethics Office.

III. I AM RESPONSIBLE FOR maintaining the confidentiality of any non-public information of which I become aware through this activity and avoid use of such information for my personal benefit, the benefit of my associates, or the benefit of the organization with which I am connected or with which I have a financial involvement.

IV. I AM AWARE THAT information provided by the CRADA collaborator may comprise confidential business or trade secret information, and as a federal employee, the federal Trade Secrets Act binds me to such confidentiality.

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CRADA Principal Investigator

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Date

Based on my review of all ethics records regarding this Principal Investigator on file as of the date of my signature below, it does not appear that this Principal Investigator will violate any government ethics rule should the proposed CRADA be approved.

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Deputy Ethics Counselor

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Date