

Health Effects Institute

CONFIDENTIAL CONFLICT OF INTEREST DISCLOSURE

Report title:

Principal investigator:

For all listed authors:

Please read the following statement about conflict of interest. Sign and date the last page. If there is a potential conflict of interest, please email a brief description of the circumstances to Ellen Mantus, HEI Director of Science (emantus@healtheffects.org). HEI will keep information provided on this form confidential.

CONFIDENTIAL CONFLICT OF INTEREST DISCLOSURE

INSTRUCTIONS

It is essential that the work of the scientific experts that HEI works with not be compromised by any significant conflict of interest. For this purpose, **the term "conflict of interest" means any *financial or other interest* which conflicts with the service of the individual because it (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.**

The term "conflict of interest" means something more than individual bias. There must be an *interest*, ordinarily financial, that could directly be affected by the HEI project. (For example, a financial interest in the development of an air pollution sensor vis a vis promoting the use of that particular sensor in an HEI project.)

Conflict of interest requirements are *objective* and *prophylactic*. They are not an assessment of one's actual behavior or character, one's ability to act objectively despite the conflicting interest, or one's relative insensitivity to particular dollar amounts of specific assets because of one's personal wealth. Conflict of interest requirements are objective standards designed to eliminate certain specific, potentially compromising situations from arising, and thereby to protect the individual, HEI and the work it supports, and the public interest. The individual and HEI should not be placed in a situation where others could reasonably question, and perhaps discount or dismiss, the work performed for HEI simply because of the existence of conflicting interests.

The term "conflict of interest," as used here applies to *current interests* as well as any such interests that may have existed during the past TWO years. It does not apply to possible interests that existed earlier than the past two years or that may arise in the future but do not currently exist, because such future interests are inherently speculative and uncertain. For example, a pending formal or informal application for a particular job is a current interest, but the mere possibility that one might apply for such a job in the future is not a current interest.

Please read the following questions and indicate your answers on the last page:

1. FINANCIAL INTERESTS.

(a) Taking into account stocks, bonds, and other financial instruments and investments including partnerships (but excluding broadly diversified mutual funds and any investment or financial interests valued at less than \$10,000), do you or, to the best of your knowledge others with whom you have substantial common financial interests (such as family members or business partners), currently have or, during the past one year have had, financial investments that could be affected, either directly or by a direct effect on the business enterprise or activities underlying the investments, by the outcome of the current HEI project?

(b) Taking into account real estate and other tangible property interests, as well as intellectual property (patents, copyrights, etc.) interests, do you or, to the best of your knowledge others with whom you have substantial common financial interests, currently have or, during the past one year, have had property interests that could be directly affected by the outcome of the HEI project?

(c) Could your employment or self-employment (or the employment or self-employment of your spouse), or the financial interests of your employer (for example, your department or university) or clients (or the financial interests of your spouse's employer or clients) be directly affected by the outcome of the HEI project?

(d) Taking into account research funding and other research support (e.g., equipment, facilities, industry partnerships, research assistants and other research personnel, etc.), could your current research funding and support (or that of your close research colleagues and collaborators) be directly affected by the outcome of the HEI project?

(e) Could your service as a consultant or investigator for HEI create a specific financial or commercial competitive advantage for you or others with whom you have substantial common financial interests?

2. OTHER INTERESTS

(a) To the best of your knowledge, will being a consultant for HEI enable you to obtain access to a competitor's or potential competitor's confidential proprietary information?

(b) If you are or have ever been a government employee in any country, state or province, or employed by an intergovernmental organization (either civilian or military), to the best of your knowledge are there any conflict of interest restrictions that may be applicable to your service in connection with this HEI project?

(c) If you are a U.S. Government employee, are you currently employed by a federal agency that supports HEI or are you an employee of any other current sponsor of HEI?

Authors:

Name	Financial interests? Y/N	Other interests? Y/N	signature	date

If the answer to either of the questions is yes, please email a brief description of the circumstances to Ellen Mantus, Director of Science, Health Effects Institute (emantus@healtheffects.org). HEI will keep information provided on this form confidential.

Reviewed by: _____
HEI Director of Science

_____ Date