**NIH Pre-Review Certification for the Autism Data Science Initiative (ADSI)**

**Conflict of Interest Certification**

**and**

**Security, Confidentiality, and Nondisclosure Agreement**

Last Name:

First Name:

Organization:

**Conflict of Interest Rules:**

The objective review process for ADSI 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 review process. In alignment with the NIH COI rules based on federal regulations ([42 CFR Part 52h](https://ecfr.io/Title-42/Part-52h)), we ask that you review the rules below and contained within the “2025 ADSI OT Decision Tree for Evaluating Potential COIs” provided. Based on these rules, please screen the list of ADSI Key Personnel for COI or the appearance of COI for yourself. Notify the Scientific Review Officer immediately so a determination may be made regarding the following:

* If you have a COI or appearance of COI that prevents you from serving as a reviewer, or
* If you have a COI or appearance of COI that prevents you from reviewing an application.

Certify on the Pre-Review COI Form below that you have identified any application with which you have a COI or appearance of COI. If a COI is identified, then you may not serve as a reviewer for the associated application(s) and/or for the ADSI objective review.

**Pre-Review COI for a Reviewer Who Is Not A DHHS Federal Employee:**

* Do you have a personal relationship with anyone on the list of Personnel (e.g., close relative, member of your household, professional associate)?
* Do you have a major professional role in the application (e.g., Program Director/Principal Investigator [PD/PI], Senior/Key Personnel, Other Significant Contributor, Project/Site/Core Director collaborator, consultant, sponsor, mentor, or conference organizer)?
* Are you serving or have you served within the last year as a member of an Advisory Board for an applicant institution or for anyone on the list of Personnel?
* Do you stand to receive or have received within the last year direct financial benefit (>$10000 per year) from an applicant institution or anyone on the list of Personnel?
* Do you stand to receive or have received with the last year indirect financial benefit (>$10000 per year) from an applicant institution or anyone on the list of Personnel (e.g., honoraria, stocks, or fees)?
* Does someone with whom you have a personal relationship stand to receive/provide a financial benefit from/to an applicant institution or anyone on the list of Personnel?
* Are you employed by (e.g., full- or part-time), seeking employment from, or have an appointment with an applicant institution or anyone on the list of Personnel?
* Have you written a letter of support for anyone on the list of Personnel in the last year?
* Within the past three years, have you published with, collaborated with, been involved in the preparation of an application or proposal with, or been in a mentoring relationship with any person on the list of Personnel?

**Pre-Review COI for a Reviewer Who Is A DHHS Federal Employee:**

In addition to the guidance for non-DHHS Federal employees above, DHHS Federal employees participating in the ADSI objective review are subject to a comprehensive set of statutes and regulations governing your conduct, in addition to NIH policy regarding your selection and use in the review process. A DHHS Federal employee serving as a reviewer is responsible for obtaining any clearance required by your employing institute, agency, or office. In addition, the NIH may have determined that a particular situation involves a COI or the appearance of COI and require that you not be involved in the review of the application(s) in question.

*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 an NIH 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.

**Security, Confidentiality and Nondisclosure Rules**

I fully understand the confidential nature of the NIH peer review process and possible consequences for breaches of confidentiality, and agree:

* Not to share or assist in the sharing of government-issued login credentials and/or passwords with, or grant access to, or assist any individual, organization, or other entity in gaining access to, a secure government computer system used to support the ADSI objective review process;
* Not to engage in unauthorized or improper use of these systems, data or information contained therein, including communicating, delivering, transmitting, or causing to be communicated, delivered, or transmitted, or attempting to communicate, deliver, transmit or cause to be communicated, delivered or transmitted to any person not entitled to receive such information
* To destroy, delete, and/or eliminate applications and associated confidential information located, saved, stored and/or housed outside of my NIH Box folder;
* Not to disclose, transmit, or discuss the applications and associated confidential information with any other individual (including but not limited to colleagues, lab members, fellows, students, applicants, offerors or employees of an offeror), through any communication channel (including social media) except as authorized by the ADSI Review team;
* Not to disclose, in any manner, information about the committee deliberations, discussions, evaluations, or documents to anyone (including but not limited to a colleague, lab member, fellow, student, applicant, offeror or employee of an offeror), through any communication channel (including social media) other than as authorized during or for the ADSI objective review process;
* Not to upload or share content or original concepts from applications or any other associated confidential information with any unapproved third-party platforms, including generative artificial intelligence technologies;
* Not to disclose, transmit or discuss confidential information pertaining to an application to/with another member who has declared a real or apparent conflict of interest (consistent with the review regulations at [42 CFR 52h](https://ecfr.io/Title-42/Part-52h)) with that application or proposal;
* Not to record or transcribe committee deliberations, discussions, evaluations, or documents;
* Not to use information contained in an application or any other associated confidential information for my personal benefit or make such information available for the personal benefit of any other individual, organization, or entity;
* To refer all inquiries concerning the recruitment or review, including inquiries related to these Security, Confidentiality and Nondisclosure Rules and/or Certification, to the ADSI Review team (adsi-review@mail.nih.gov) managing the ADSI objective review process.

I understand that the NIH may take steps in response to a violation of the above rules, in order to preserve the integrity of the review process. Depending on the specific circumstances, such steps may include but are not limited to:

* Notifying or requesting information from my institution.
* Terminating my review service.
* Deferring or withdrawing an application submitted by my institution.
* Terminating grants, cooperative agreements, fellowships or R&D contract, Other Transaction awards to my institution.
* Notifying the NIH Office of Management Assessment (OMA) and other appropriate Department officials for review of the matter in accordance with applicable law, with possible referral to the U.S. Department of Health and Human Services Office of Inspector General (OIG) and the U.S. Department of Justice (DOJ) for further action, which may include pursuing criminal and civil penalties as allowable by law.
* Pursuing a referral for government-wide suspension or debarment.
* Notifying other, appropriate Federal agencies.

**Pre-Review COI Certification and Security, Confidentiality and Nondisclosure Agreement**

I certify that I have read and that I understand the ADSI Conflict of Interest and Security, Confidentiality and Nondisclosure Rules for reviewers of ADSI applications summarized above, and examined the list of ADSI Key Personnel. 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-2022-title18/pdf/USCODE-2022-title18-partI-chap47-sec1001.pdf), I have disclosed all conflicts of interest or the appearance of conflict of interest that I may have with the ADSI Key Personnel and I fully understand the confidential nature of the review process.

Signature: (right click on the “x” below and select “sign” from the popup menu to [sign the signature line](https://support.microsoft.com/en-us/office/add-or-remove-a-digital-signature-for-microsoft-365-files-70d26dc9-be10-46f1-8efa-719c8b3f1a2d))

