

The conflict of interest policy for the JOIDES Resolution facility within the International Ocean Discovery Program (IODP) is to minimize both real and perceived conflicts of interest while maintaining the fullest possible involvement of knowledgeable scientists and other individuals in providing scientific and technical advice to the program.

## JOIDES Resolution Conflict of Interest Policy and Implementation Guidelines



The JOIDES Resolution Facility Board approved these guidelines on May 17, 2017

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# *JOIDES Resolution* Conflict of Interest Policy and Implementation Guidelines

Approved by *JOIDES Resolution* Facility Board: 17 May, 2017

Latest Revision: 28 April, 2017

## (1) General Purpose

The objective of the conflict of interest (COI) policy for the *JOIDES Resolution* Facility (JRF) within the International Ocean Discovery Program (IODP) is to minimize both real and perceived conflicts of interest while maintaining the fullest possible involvement of knowledgeable scientists and other individuals in providing scientific and technical advice to the program. The JRF operates under a comprehensive, effective, and to the maximum extent possible, flexible COI policy for the *JOIDES Resolution* Facility Board (JRFB) and the JRFB Advisory Panels.

The latest version of the ***JOIDES Resolution* COI Policy and Implementation** always can be downloaded from <http://iodp.org/jr-facility-policies-procedures-guidelines>.

## (2) Definition

A COI is defined as a situation in which the interests (whether personal, familial, professional, or commercial) of a JRFB member or liaison, or a JRFB Advisory Panel member or liaison, or a designated alternate, who are involved in proposal nurturing and evaluation, expedition scheduling, or in IODP-related financial or commercial enterprises, have a real or perceived impact, either positive or negative, on the recommendations or decisions of the JRFB or its Advisory Panels.

## (3) Principles

The COI policy is based on the following principles:

1. An individual can be a member of only one standing Advisory Panel or the JRFB.
2. No representative of the U.S. National Science Foundation (NSF) or the *JOIDES Resolution* Science Operator (JRSO) and its subcontractors can serve as a member on an JRFB Advisory Panel. These NSF and JRSO representatives, however, may serve as members on the JRFB and as liaisons to the JRFB Advisory Panels.
3. All potential conflicts of interest (e.g., being a co-proponent on a proposal, owing or participating in an IODP-related commercial or financial enterprise) are

declared at the start of every meeting, or at an otherwise appropriate time during the meeting. The JRFB Chair, or the JRFB Advisory Panel Chair or Co-Chairs, make(s) the determination whether the circumstances constitute a COI and take appropriate action (discussed below).

4. The JRFB is responsible for the overall functioning of the JRFB Advisory Panels and monitors compliance with this policy by receiving a brief annual report from the panel chairs on how conflicts of interest were dealt with in their meetings.

## **(4) Implementation**

Conflicts of interest are unavoidable. Potential conflicts should be identified as early as possible prior to a meeting, allowing sufficient time for the JRFB Chair, or the JRFB Advisory Panel Chair or Co-Chairs, to work with the JRFB and the various national and consortia offices to identify alternates with suitable scientific and technical expertise for conflicted members.

If a JRFB or Advisory Panel, member, liaison, designated alternate, or any other attendee of a panel or board meeting, has a direct interest that might be affected by, or might reasonably be perceived to be affected by, any action under consideration, that member, liaison, designated alternate, or attendee is required to make a public declaration of the existence of such interest to the JRFB Chair, or one of the JRFB Advisory Panel Chair or Co-Chairs.

The JRFB Chair, or its Advisory Panel Chair or Co-Chairs, make(s) a final determination whether the circumstances constitute a COI. All declared or proposed possible conflicts of interest, and the actions taken, are recorded in the minutes of the meeting at which the interest was considered, and the annual COI report prepared for the JRFB.

JRFB or Advisory Panel members, liaisons, designated alternates, or other attendees, who are determined by the Chair or Co-Chairs to have a COI with respect to an IODP or IODP-related proposal will not be present during any part of a meeting when that proposal is nurtured, evaluated, discussed, or scheduled. However, upon request by the JRFB Chair, or Advisory Panel Chair or Co-Chairs, a conflicted JRFB or Advisory Panel member, liaison, designated alternate, or other attendee may participate in general discussions regarding proposals (e.g., how proposals address long-range objectives) in order to provide a full range of expertise to the decision-making process.

JRFB or Advisory Panel members or designated alternates, who have a COI because of IODP-related financial or commercial enterprises, will not be present during discussions relevant to those financial or commercial enterprises.

## **(5) EPSP-specific COI Policy**

The nature of the JRFB Environmental Protection and Safety Panel (EPSP) review process requires a COI policy that is different than for the JRFB and the other JRFB Advisory Panels.

The EPSP provides independent advice to the appropriate IODP Science Operator and the JRFB with regard to safety and environmental issues that may be associated with the general and specific geologic circumstances of the proposed drill sites in IODP or IODP-related proposals. The EPSP also provides advice on appropriate drilling technologies for avoidance of drilling hazards and protecting the (marine) environment. This requires that a representative proponent, typically the designated data lead and/or the lead proponent, attend the EPSP meeting, make a presentation, and engage in discussions with the EPSP.

Panel members declare any COI at the start of the EPSP safety review meeting. Upon request by the JRFB or the EPSP Chair, conflicted panel members, their designated alternates, proponents, and other attendees having a real or perceived COI are invited to participate in the discussion of the proposed drill sites. However, when determining the fate of an individual drill site, EPSP members with a conflict are excluded from voting.