



BACKGROUND INFORMATION AND CONFLICT OF INTEREST DECLARATION

This form applies to individuals with respect to their participation in organizational oversight activities and their service on committees, boards, panels, etc.

NAME: _____ TELEPHONE: _____

ADDRESS: _____

EMAIL ADDRESS: _____

CURRENT EMPLOYER: _____

There are two parts to this form:

- Part 1: Background Information, and
- Part 2: Conflict of Interest Declaration.

Complete both parts, **sign** and **date** this form on the last page, and return the form to a SECOORA staff member. This form will be updated annually so that any changes in circumstances can be documented.

PART 1: BACKGROUND INFORMATION

INSTRUCTIONS

Please provide the information requested below regarding **relevant** organizational affiliations, government service, public statements and positions, research support, and additional information (if any). Information is “relevant” if it is related to - and might reasonably be of interest to others concerning - your knowledge, experience, and personal perspectives regarding the organizational oversight and/or non-advisory program activities for which this form is being prepared. **If some or all of the requested information is contained in your curriculum vitae, you may simply attach your CV to this form, supplemented by additional responses or comments below as necessary.**

1. ORGANIZATIONAL AFFILIATIONS. Report your relevant business relationships (as an employee, owner, officer, director, consultant, etc.) and your relevant remunerated or volunteer non-business relationships (e.g., professional organizations, trade associations, public interest or civic groups, etc.).

2. GOVERNMENT SERVICE: Report your relevant service (full-time or part-time) with federal, state, or local government in the United States including elected or appointed positions, employment (including employment as a special government employee), advisory board memberships, military service, etc.

3. RESEARCH SUPPORT. Report relevant information regarding both public and private sources of research support (other than your present employer), including source of funding, equipment, facilities, etc.

4. PUBLIC STATEMENTS AND POSITIONS. List your relevant articles, testimony, speeches, etc., by date, title, and publication (if any) in which they appeared, or provide relevant representative examples if numerous. Provide a brief description of relevant positions of any organizations or groups with which you are closely identified or associated.

5. ADDITIONAL INFORMATION. If there are relevant aspects of your background or present circumstances not addressed above that might reasonably be construed by others as affecting your judgment in matters within the assigned task of the activity for which you have been elected, appointed or invited to serve, and therefore might constitute an actual or potential source of bias, please describe them briefly.

PART 2: CONFLICT OF INTEREST DECLARATION

INSTRUCTIONS

SECOORA incorporated as a 501(c)(3) non-profit corporation in 2008. Its mission is to design, implement, operate, and improve the provision of ocean observing data, information, and products for southeastern U.S. marine and estuarine systems according to sound scientific practice and deemed necessary by stakeholders. A variety of funding mechanisms may support SECOORA's work. These may include membership dues, private gifts and bequests, appropriations for the benefit of the organization directed to executive departments and agencies of the Government, and grants, contracts and other forms of financial agreement with such executive departments and agencies. Funding may also come from other private sources such as private foundations. In the management, investment, and disbursement of these and all other organizational funds, SECOORA is committed to the highest standards of fiduciary honesty and responsibility.

To meet these organizational obligations and commitments, it is essential that individuals who participate in organizational decision making processes not be compromised by any significant conflict of interest with respect to such decisions, or by the direct and substantial appearance of a conflict of interest. For this purpose, the term "conflict of interest" means any financial or other interest which conflicts with the participation of an individual in particular decisions of the organization because the interest (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.

In assessing potential conflicts of interest in connection with an individual's participation in decisions of the organization, particular attention will be given to the following kinds of financial interests if they are relevant to the functions to be performed: employment relationships (including private and public sector employment and self-employment); consulting relationships (including commercial and professional consulting and service arrangements, scientific and technical advisory board memberships, serving as an expert witness in litigation, and providing services in exchange for honorariums and travel expense reimbursements); stocks, bonds, and other financial instruments and investments including partnerships; real estate investments; patents, copyrights, and other intellectual property interests; commercial business ownership and investment interests; and research funding and other forms of research support.

The term "conflict of interest" applies not only to the personal interests of the individual but also to the *interests of others* with whom the individual has substantial common financial interests if these interests are relevant to the functions to be performed. Thus, in assessing an individual's potential conflicts of interest, consideration must be given not only to the interests of the individual but also to the interests of the individual's spouse and minor children, the individual's employer, the individual's business partners, and others with whom the individual has substantial common financial interests. Consideration must also be given to the interests of

those for whom one is acting in a fiduciary or similar capacity (e.g. being an officer or director of a corporation, whether profit or nonprofit, or serving as a trustee).

The conclusion that an actual or apparent conflict of interest exists is not intended to be an assessment of any individual's actual behavior or character. Rather it is a mechanism for identifying and eliminating certain potentially compromising situations from occurring, thereby protecting not only the organization but also the individual and the public interest.

The normal organizational response to a potential conflict of interest, or the direct and substantial appearance of a conflict of interest, is to remove or recuse the individual in question from particular institutional decisions to the extent necessary to eliminate the conflict. However, the organization reserves the right to take such other actions as may be necessary and appropriate in particular circumstances. Administration of this policy is the responsibility of the SECOORA Executive Director.

CONFLICT OF INTEREST DECLARATION: *During my period of service in connection with the organizational oversight activities and/or non-advisory program activities for which this form is being completed, I will not participate in any organizational decision for which I have a conflict of interest as defined above, and I will formally disclose for the record the fact that I am not participating. In cases of uncertainty about whether or not a conflict of interest exists, I will consult as necessary about the specific circumstances involved with the responsible staff for the activity.*

Your Signature

Date

Reviewed by: _____

Date