

Merit Based Review

CONFIDENTIALITY AGREEMENT AND CONFLICT OF INTEREST DISCLOSURE

Re: Evaluation of (enter title of grant here)

I, the undersigned, as a member of grant evaluation committee will perform subject matter expertise grant evaluation for the benefit of the State (and if desired add in Agency name here) and in compliance with relevant law, rule, policy and directive, including but not limited to 18 U.S.C. 208, GATA 30 ILCS 708/35, 708/40, and 708/60 and 2 CFR 200, 5 CFR, and the specific CFR regulations that govern the program. I understand that this applies to me whether I am a full or part-time employee, contractor, volunteer or intern. See attached conflict of interest examples.

Evaluation committee members that include grant applicants must not have any conflicts of interest or apparent conflicts of interest with the evaluation for which a grantee has submitted an application or if they represent an entity that has submitted an application.

I certify that neither I, nor any relative or household member has a material, personal, financial or fiduciary interest that would affect my participation in this project.

I understand that my participation in this project will involve my knowledge of official information and may involve proprietary information of grantee(s) that is not publicly known. I will not disclose any information gained during the course of my service on this project, except to State employees who may in the normal course of State business have a need for such information, until such information becomes of public record.

I will keep all materials related to this grant evaluation confidential and in secure locations and follow Agency instructions for return and disposal of evaluation documents.

If I become aware of any situation that conflicts with any of the representations above, or that might indicate a conflict of interest or create the appearance of a conflict of interest or other impropriety, I will immediately notify the Agency grant evaluation contact (insert name and number here).

I have read and I understand the requirements for confidentiality and conflict of interest disclosure set forth herein and acknowledge that I am bound by these requirements for the evaluation of (enter grant title and identification number here).

Signature _____

Date _____

Name (print) _____

Title (print) _____

Agency / Entity _____

Awardee organizations must disclose in writing any potential conflict of interest to the Department awarding agency or pass-through entity in accordance with 2 CFR 200.112, Conflict of interest. Proposal evaluators and advisors, including members of evaluation committees, must render impartial, technically sound, and objective assistance and advice to protect the integrity of the proposal evaluation and award selection process.

Examples of situations which may be prohibited or represent a potential conflict of interest may include, but are not limited to:

- (1) Financial interest, including ownership of stocks and bonds, in a firm which submits, or is expected to submit, an application in response to the funding opportunity;
 - (2) Outstanding financial commitments to any applicant or potential applicant;
 - (3) Employment in any capacity, even if otherwise permissible, by any applicant or potential applicant;
 - (4) Employment within the last 12 months by any applicant or potential applicant;
 - (5) Any non-vested pension or reemployment rights, or interest in profit sharing or stock bonus plan, arising out of the previous employment by an applicant or potential applicant;
 - (6) Employment of any member of the immediate family by any applicant or potential applicant;
 - (7) Positions of trust that may include employment, past or present, as an officer, director, trustee, general partner, agent, attorney, consultant, or contractor;
 - (8) A close personal relationship that may include a spouse, dependent child or member of the proposal evaluator's household that may compromise or impair the fairness and impartiality of the proposal evaluator or advisor and grants officer during the proposal evaluation and award selection process, and the management of an award; and
 - (9) Negotiation of outside employment with any applicant or potential applicant.
- (e) Each proposal evaluator and advisor must immediately disclose in writing to the Grants Officer or the individual responsible for the review as soon as it becomes known that an actual or potential conflict of interest exists. The Grants Officer must obtain the assistance of the servicing Ethics Counselor in order to reach an opinion or resolution. A record of the disposition of all conflict of interest situations must be included in the award file.

State Employee Specific

A State employee is prohibited from participating in his or her government capacity in any particular matter when the employee, his or her spouse, minor child, outside business associate, or a person or organization with whom the employee is negotiating or has an arrangement for prospective employment, has a financial interest in the particular matter (see 18 U.S.C. 208).

Employees are prohibited from having a direct or indirect financial interest that conflicts substantially or appears to conflict substantially with his or her government duties and responsibilities (see 5 CFR 2635.402 and 5 CFR 2635.502). Employees are also prohibited from engaging in, either directly or indirectly, a financial transaction resulting from or primarily relying on information obtained through his or her government employment (see 5 CFR 2635.702 and 5 CFR 2635.703). In addition, 43 CFR 20.401-403 contains other regulations concerning conflicts of interest involving employees of specific bureaus and offices. Employee Responsibility and Conduct Regulations for the Department are contained in 43 CFR part 20, 5 CFR 2634, 5 CFR 2635, and 5 CFR 2640.