

Policies relating to Conflicts of Interest in Theory Fellow, Faculty Bridge and Early Achievement Award Selection processes

The FRIB-TA is responsible for selecting Theory Fellows, Faculty Bridge Institutions, and FRIB Theory Early Achievement awardees. These awards come with significant financial and/or career benefits to individuals and institutions. It is therefore incumbent on the FRIB-TA Executive Board and related search committees to adhere to transparent policies related to Conflicts of Interest (COI) to ensure that these processes are fair and avoid the appearance of a COI.

The FRIB theory community is reasonably small and tight-knit and it may not be possible to exclude all FRIB-TA EB members who have COIs from specific committees. This document covers what constitutes a COI and how they should be dealt with. The lists below should not be seen as exhaustive, rather search committee members should consider whether a reasonable person would judge the relationship they have with an applicant constitutes a COI.

Identifying COIs

During the first meeting after applications have been accepted of the Theory Fellow, Faculty Bridge, and Early Achievement Award committees the chair should read the relevant parts of this document and ask members to self-identify any COIs. The members should also be asked if they are concerned that other committee members have any COIs with any nominee. If members become newly aware of COIs during the committee work, they are expected to bring those to the attention of the chair. Any COIs that are discussed shall be recorded by the chair, along with the measures taken to eliminate or mitigate those COIs.

The following table provides a rubric for identifying conflicts regarding some of the main FRIB-TA committee decisions. The table is *not* meant to substitute for reading the full text below. The full text provides significantly more detail on how to handle such conflicts, and when exceptions to the standard practice listed in the table might be appropriate.

	Thesis or postdoc advisee in pool	Nominator or Rec Letter writer for candidate	At same institution	Collaborator
Early Achievement Award	Leave room for discussions of that candidate. Cannot vote on that candidate.	Leave room for discussions of that candidate. Cannot vote on that candidate.	Depends on closeness within institution	Depends on closeness of collaboration
Faculty Bridges	N/A	N/A	Removal from committee	N/A
Theory Fellows	Leave room for discussions of that candidate. Cannot vote on that candidate.	Leave room for discussions of that candidate. Cannot vote on that candidate.	Depends on closeness within institution	Depends on closeness within collaboration

If a COI is serious enough to warrant removal of a committee member the FRIB-TA director will identify a suitable replacement.

FRIB Early Achievement Award

Any candidate is a Thesis advisee or Postdoc advisee

Measure to be taken:

The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

Nominator or Writer of Letter of Recommendation for any candidate for this award

Measure to be taken:

The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

Any candidate is at the same institution

In this case the measures taken need to be judged depending on the level of financial, supervisory, and/or scientific interaction between the candidate and the member. For example, some institutions have many theory graduate students and postdocs in FRIB science, and it is possible that there was little interaction between the member and the candidate, or advantage to the member to be gained through promoting this candidate.

Measure to be taken:

A The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

B If the level of interaction is sufficiently weak, no action needs to be taken.

Collaborator

The degree of conflict for collaborators can vary greatly depending on the size of the collaboration and the level of interaction between the collaborators. Committee members need to make an honest appraisal and ask if a reasonable person would consider the relationship to be a COI. Examples that would be considered a COI include when there is a continuing collaboration, and when there have been one or more publications in common in the last four years and either both the member and the candidate made significant contributions, or the author list is short.

Measure to be taken:

A The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

B If the level of collaboration is sufficiently weak, no action needs to be taken.

Faculty Bridges

The bridge subcommittee selects the institutional partner for faculty bridge positions.

Committee member is affiliated with one of the potential institutional partners

Measure to be taken:

A Search committee member to be removed from the search committee

The FRIB-TA director will identify a suitable replacement, so that the committee maintains its initial size.

Theory Fellows

Any candidate is a Thesis advisee or Postdoc advisee

Measure to be taken:

The member with a COI shall leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

Nominator or Writer of Letter of Recommendation for any candidate for this award

Measure to be taken:

The member with a COI shall leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

Any candidate is at the same institution

In this case the measures taken need to be judged depending on the level of financial, supervisory, and/or scientific interaction between the candidate and the member. For example, some institutions have many theory graduate students and postdocs in FRIB science and it is possible that there was little interaction between the member and the candidate, or advantage to the member to be gained through promoting this candidate.

Measure to be taken:

A The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.

B If the COI is sufficiently weak, no action needs to be taken.

Collaborator

The degree of conflict for collaborators can vary greatly depending on the size of the collaboration and the level of interaction between the collaborators. Search committee members need to make an honest appraisal and ask if a reasonable person would consider the relationship to be a COI. Examples that would be considered a COI include when there is a

continuing collaboration, and when there have been one or more publications in common in the last four years and either both the member and the candidate made significant contributions, or the author list is short.

Measure to be taken:

- A The member with a COI should leave the room (physical or virtual) during any discussion of the candidate. They will not vote on that candidate.
- B If the level of collaboration is sufficiently weak, no action needs to be taken.

Committee member is affiliated with one of the candidate institutional partners

Measure to be taken:

- A The member will step down from their role as a voting member of the committee; they may then become an institutional-partner representative.

When a full committee member is removed because they have this COI the FRIB-TA director will identify a suitable full-committee-member replacement. In this situation the person with the COI could become the partner-institution representative on the committee, but their previous, full-voting, position would still need to be filled.

Final Discussions in the full FRIB-TA Executive Board

If any member of the FRIB-TA EB has a conflict of interest as noted in the relevant section above, or if they may reasonably be viewed as having a conflict of interest, they shall bring it to the board's attention. If the conflict is deemed significant the board member shall excuse themselves from any deliberations and voting to which their conflict pertains.