

# DEEP FOUNDATIONS INSTITUTE

## POLICIES AND PROCEDURES



**Policy and Procedure #D9**

**APPROVED: 11/14/2022**

### **DFI Journal Conflict of Interest Policy**

#### **A. Author Conflict of Interest**

A conflict of interest can occur when an author or an author's employer or sponsor have a financial, commercial, legal, or professional relationship with other organizations, or with the people working with them, that could influence your research.

All manuscripts submitted to the DFI Journal must be accompanied by a Conflict of Interest Disclosure Statement, which is required when you initially submit to the DFI Journal.

This disclosure statement must include all financial and non-financial interests and relationships, direct employment with a private sector entity (whether full- or part-time), and service on private sector and non-profit boards and advisory panels, whether paid or unpaid and any other relationships that are or may constitute potential or actual conflicts of interest or that may be perceived as a conflict of interest by others in relation to the subject research.

Authors should also disclose any conflict of interest that may have influenced either the conduct or the presentation of the research to the editors, including, but not limited to, relationships of any type, financial, professional, family, that may compromise the integrity of the research with those who might be helped or hurt by the publication, academic interests, rivalries, and any personal, political convictions relevant to the topic at hand.

The journal editor will firstly use this information to inform their editorial decisions. They may then publish such disclosures to assist readers in evaluating the article. The editor may alternatively decide not to publish your article on the basis of any declared competing interest.

If there are no competing interests to declare, authors should complete the conflict of interest disclosure statement confirming that there are no relevant competing interests to report.

The consequences of failing to disclose a conflict of interest and engaging in an unethical action for a manuscript are varied. An author can be "blacklisted" such that a journal or group of journals will decline to work with an author who is found

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to have engaged in misconduct. In more serious cases, relevant authorities may be informed so that they can perform an investigation and take any necessary action.

### B. Reviewer and Editor Conflict of Interest

Journal editors seek reviewers who work in the topical area related to the manuscript under review. In doing so, editors attempt to avoid conflicts of interest including, cases when a potential reviewer has published or worked with the author recently or is sponsored by a company related to the work under review. Such conflicts of interest must be avoided while conducting peer review.

Once manuscripts are sent for review, reviewers are expected to complete several tasks, including avoiding conflict of interest. Such conflicts can include financial interests, personal disagreements, or professional opportunism. Reviewers must disclose any conflicts of interest to the Editor-in-Chief and, if serious, abstain from reviewing. If there is any uncertainty over the need to recuse oneself from editing, the reviewer shall seek the advice of the Editor-in-Chief.

The consequences of failing to disclose a conflict of interest and engaging in an unethical review of a manuscript are varied. A reviewer can be precluded from working with DFI's journal or other journals may decline to work with a reviewer who is found to have engaged in misconduct. In more serious cases, relevant authorities may be informed so that they can perform an investigation and take any necessary action.

The following situations are examples of situations considered to be conflicts of interest and should be avoided:

- Being colleagues within the same company/organization in the past 5 years.
- Supervising/having supervised the work of the author(s) or being supervised/having been supervised by the author(s) within the last 5 years.
- Receiving professional or personal benefit resulting from the review.
- Competing interest in similar research, resulting in discriminatory behaviours.
- Having a personal relationship with the author(s).
- Having a direct or indirect financial interest in the paper being reviewed.

If any potential conflict of interest exists, the reviewer must inform the Editor-in-Chief of the situation via writing within 10 days of identification.

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### C. Complaints Regarding Conflicts of Interest

For any complaints that arise regarding conflicts of interest, please refer to the DFI Journal Complaints Policy for the procedure and complaint submission requirements.

Michael Wysocky, President

J. Erik Loehr, Secretary