

**DECLARATION OF CONFLICT OF INTEREST  
AND CONFLICT OF COMMITMENT FORM \***

To be submitted by the Member to the Supervisor  
(Chair/Director OR, in the Sprott School of Business, the Dean OR,  
in the MacOdrum Library, the University Librarian)

*Before completing this form, please consult the [Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment](#). The policy is posted on the website of the [University Secretariat](#).*

**MEMBER:**

\_\_\_\_\_ (Name)

\_\_\_\_\_ (Rank and Position, if applicable)

**DEPARTMENT/ACADEMIC UNIT:** \_\_\_\_\_

**FACULTY:** \_\_\_\_\_

<p>1. I am aware of the University's policy on conflict of interest and conflict of commitment and my obligations thereunder.</p> <p><b>NOTE: If "NO," please familiarize yourself with the Policy before proceeding. The policy is posted on the website of the <a href="#">University Secretariat</a>. Please indicate by writing YES below that you have read and are aware of the policy and associated obligations.</b></p> <p><b>I have now read the policy and am aware of my obligations:</b> _____</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>
<p>2. Explain the nature of any conflict(s) that will, or may be perceived to, arise:</p>   		
<p>3. List any persons, including "related parties", potentially impacted by the conflict:</p> <p><b>NOTE: The term "related party" includes, but is not necessarily limited to, (i) the immediate family of a Member; (ii) a person living in the Member's household; (iii) a person with whom a Member has, or had, a close or intimate personal relationship; (iv) a person or any business entity with whom the Member shares, directly or indirectly, a financial or other interest; or (v) a person or any business entity to whom the Member owes a financial or moral obligation.</b></p>   		
<p>4. List all persons (including students and trainees) who may be affected by the conflict:</p>   		

5. List all persons (including research subjects, students, trainees, co-investigators, journal editors, conference organizers, etc.) who should be made aware of the conflict:			
6. Have you already fully disclosed the actual or potential conflict in writing to the funding source (public or private) and/or University authorities? <b>NOTE: If “<u>YES</u>” attach a copy of the disclosure(s).</b>		YES <input type="checkbox"/>	NO <input type="checkbox"/>
7. Provide details concerning the nature and/or value of any advantage or benefit, direct or indirect, that may be derived by you or a “related party”:			
8. Explain the benefits, direct or indirect, that may be derived by the University by permitting the conflict:			
9. Explain how the proposed conflict may, or may be seen to, impact your judgment in fulfilling your responsibilities to the University:			
10. Explain the steps you propose to take to mitigate the conflict:			
11. Explain why you believe the conflict should be permitted:			

**I will promptly report in writing to my Supervisor (Chair/Director OR, in academic units without Departments, the Dean OR University Librarian) (as appropriate) any change in circumstances that may alter the nature or scope of the conflict or affect its management.**

\_\_\_\_\_ (Member signature)

\_\_\_\_\_ (Date)

**DECLARATION OF CONFLICT OF INTEREST  
AND CONFLICT OF COMMITMENT ASSESSMENT AND MITIGATION PLAN**

To be completed by the Member's Supervisor  
(Chair/Director OR, for the Sprott School of Business, the Dean, OR, for the MacOdrum  
Library, the University Librarian) and submitted to the Dean or Provost and Vice-President  
(Academic) as appropriate.

*Before completing this form, please consult the [Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment](#). The policy is posted on the website of the [University Secretariat](#).*

**SUPERVISOR:**

**NAME:** \_\_\_\_\_ **POSITION:** \_\_\_\_\_

**DEPARTMENT/ACADEMIC UNIT:** \_\_\_\_\_ **FACULTY:** \_\_\_\_\_

1. In your assessment of the information provided, is there a real or potential conflict of interest or conflict of commitment?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<u>Explain:</u>		
<b><i>If you respond "YES" to item 1 please respond to ALL of the following:</i></b>		
2. If the Member has made prior written disclosure, have you received a copy of that disclosure?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
3. If you have received a copy of the prior disclosure, is it sufficiently complete?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<u>If your response is "NO" explain:</u>		
4. Are there any persons, in addition to those identified by the Member, who should be made aware of the conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<u>If your response is "YES" list the additional persons:</u>		
5. In your assessment of the situation, will the University benefit from permitting this conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<u>Explain:</u>		

6. In your judgment, should the Member be permitted to engage in the conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<u>Provide reason:</u>		
7. If YES to item 6, describe how you propose to monitor and mitigate the conflict (i.e. Mitigation Plan)		
<u>Provide details:</u>		
8. Please specify the period for which permission should be granted for the Member to engage in this conflict.		
<u>Specify period:</u>		
9. Specify any additional conditions under which the conflict is to be permitted:		
<p>9.1 Member must ensure written disclosure of the conflict to all persons who would be affected by it (and provide evidence of such disclosure).</p> <p>9.2 Member must promptly report any change in circumstances that may change the nature or scope of the conflict or affect its management.</p> <p><b>(Specify and additional conditions where appropriate)</b></p> <p>9.3 Member must</p>		

**NOTE: Even if the Supervisor answers “NO” to item 1, this assessment form and the Member’s disclosure must be submitted to the Dean or the Provost and Vice-President (Academic), as appropriate, for review.**

\_\_\_\_\_  
(Supervisor signature)

\_\_\_\_\_  
(Date)

- cc. Dean (if applicable)  
Provost and Vice-President (Academic)  
Vice-President (Research & International) (for research-related conflicts)  
Member

**CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT REVIEW**

To be completed by Dean OR, in the Sprott School of Business, the Provost and Vice-President (Academic), OR in the MacOdrum Library, the Provost and Vice-President (Academic).

Before completing this form, please consult the [Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment](#). **The policy is posted on the website of the [University Secretariat](#).**

**DEAN/UNIVERSITY LIBRARIAN/PROVOST AND VICE-PRESIDENT (ACADEMIC):**

NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_

1. Do you agree with the Supervisor’s assessment as to the existence of a conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
2. Do you agree that the Member be permitted to engage in the conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
3. If the Member has made prior written disclosure of the conflict to others, is the disclosure sufficiently complete?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
4. Has disclosure been made to all persons who should be aware of the conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
5. Will the University benefit from permitting this conflict?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
6. Is the process for monitoring the conflict adequate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
7. Is the period for which permission is granted for the Member to engage in this conflict reasonable?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
8. Are the conditions under which the conflict is to be permitted satisfactory?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
<b><i>If you have answered “NO” to any of the preceding questions, please provide your reasons in each instance:</i></b>			

\_\_\_\_\_  
(Dean/University Librarian/Provost and Vice-President (Academic) signature)

\_\_\_\_\_  
(Date)

- cc. Supervisor (as appropriate)
- Provost and Vice-President (Academic)
- Vice-President (Research & International) (for research-related conflicts)
- Member

## GUIDELINES ON RECOGNIZING CONFLICTS

These Guidelines on Recognizing Conflicts provide an illustrative (non-exhaustive) list of situations in which a Conflict of Interest and/or Conflict of Commitment is present and which require compliance with a Member's obligation of disclosure under the [Policy and Procedures on Conflict of Interest and Conflict of Commitment](#).

### A. CONFLICTS IN RELATION TO STUDENTS

Without limiting the generality of the definition of conflict of interest or commitment, a conflict *prima facie* arises in relation to students whenever a Member:

- A.1 is involved in a teaching, supervisory or evaluative role with respect to a Related Party;
- A.2 participates in an admissions or any other decision relating to a Related Party;
- A.3 takes part in any proceedings at any level that affect the academic standing of a Related Party;
- A.4 assigns reading material, software or other teaching material to students, when the assignment will result in a benefit to the Member or a Related Party;
- A.5 seeks or accepts additional remuneration from students for tutoring or other services relating to the Member's course or program;
- A.6 employs, directly or indirectly, a student, other than as a research or teaching assistant, with whom the Member has a teaching, supervisory or evaluative relationship;
- A.7 employs or arranges the employment of a student by a third party in which the Member or Related Party has a financial interest;
- A.8 delays the publication of a student's thesis for other than academic reasons;
- A.9 invites a student registered in the Member's course to participate as a research subject as a course requirement;
- A.10 assigns a student to a research project in which the Member or a Related Party has an interest;
- A.11 initiates a research project that is substantially similar to student's thesis project;
- A.12 imposes research and publication requirements on a student in excess of formal degree requirements for the benefit of the Member or a Related Party;
- A.13 gives unreasonable priority to the Member's or a Related Party's research or other activities to the apparent detriment of his or her students;
- A.14 solicits or employs students for non-University activities in which the Member or a Related Party has an interest;
- A.15 asserts ownership of material in which a student is the holder of the copyright;
- A.16 charges a student a fee for writing a letter of recommendation.

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### B. CONFLICTS IN RELATION TO RESEARCH

Without limiting the generality of the definition of conflict of interest or commitment, a conflict *prima facie* arises in relation to a Member's research activities whenever a Member:

- B.1 is involved in a research contract with a Related Party;
- B.2 has any arrangement with a third party wherein advantages (including the payment of money, royalties, or grants, or the transfer of shares or options in the sponsor) are promised, formally or informally, to the Member or a Related Party;
- B.3 diverts any research resources for the personal use of the Member or a Related Party;
- B.4 enters into any commitments relating to proprietary research that is likely to interfere or be confused with the Member's duties to the University;
- B.5 receives, directly or indirectly, any payment, gift or other advantage or benefit from a third party in respect of the Member's research activities;

- B.6 uses for the personal benefit of the Member or that of a Related Party, research conducted at the University;
- B.7 recruits as a participant in medical testing or in clinical trials involving human subjects related to non-University research projects a member of the University community over who the Member or a Related Party has authority;
- B.8 influences any research activities at the University so as to advance the personal interests of the Member or a Related Party;
- B.9 enters into a licensing agreement with a Related Party for the development of intellectual property, generated as a result of University research;
- B.10 unreasonably delays publication of, or prematurely announces, research results for the benefit of the Member or a Related Party;
- B.11 accepts research funding on terms that compromise the Member's ability to conduct the research freely, and to promptly publish results, whether positive or negative;
- B.12 engages in consulting (as defined from time to time in University regulations or policies) for a third party with whom the University has a research contract, agreement or other arrangement under which the Member is a member of the research team;
- B.13 accepts to peer review a research proposal or funding application of another with whom the Member or a Related Party is in direct competition;
- B.14 fails to disclose in a research publication all sources of funding for the research.

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### **C. CONFLICTS IN RELATION TO HUMAN RESOURCES**

Without limiting the generality of the definition of conflict of interest or commitment, a conflict *prima facie* arises in relation to human resource matters whenever a Member:

- C.1 employs a Related Party in a position funded directly or indirectly by the University or a Member's research grant or contract;
- C.2 makes or contributes to the appointment, employment, evaluation, advancement, or supervision of a Related Party;
- C.3 makes or contributes to a decision on the appointment, advancement or evaluation of the performance and other activities of another who is competing with a Member or a Related Party;
- C.4 occupies a position in which a Related Party reports to the Member.

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### **D. CONFLICTS IN RELATION TO THE INSTITUTION**

Without limiting the generality of the definition of conflict of interest or commitment, a conflict *prima facie* arises vis-à-vis the institution whenever a Member:

- D.1 serves on a board of directors, advisory board, or the like, of an outside organization which does, or is proposing to do, business with the University;
- D.2 participates as a member of a board or committee of the University or of an institution affiliated with the University when the Member or a Related Party has an interest in the outcome of the deliberations of that board or committee;
- D.3 accepts employment with, or undertakes any activities on or off campus for, a third party at times during which the Member would normally be expected to be engaged in his or her duties to the University;
- D.4 engages in a course of studies, or any other program or activity, that calls for attendance at or participation in lectures or other events at times during which the Member would normally be expected to be engaged in his or her duties to the University;
- D.5 uses University facilities, equipment, personnel or services for non-University activities or for the benefit of the Member or of a Related Party;
- D.6 uses attributions or references to the name of the University, or of any member of the University, or of any affiliated institutions, associations or organizations (including the

- insignia of the University or of any unit or affiliated institution, association or organization), to promote the non-university activities of the Member or a Related Party;
- D.7 uses his or her official University position for publicity, endorsement or advertising purposes for a Related Party;
  - D.8 promotes or advertises his or her or Related Party's products or services at a University event;
  - D.9 uses information acquired as a result of the Member's University position, which information is not available to the general public, for purposes unrelated to that position;
  - D.10 commercializes intellectual property developed by the Member in the performance of his or her University duties;
  - D.11 receives, directly or indirectly, any payment, gift or other advantage or benefit (except of purely nominal value or social entertainment considered in keeping with good professional ethics and which do not obligate the Member) from a third party for the performance by the Member of his or her University functions or duties;
  - D.12 enters into any commitment with a third party that is likely to interfere or be confused with the Member's duties to the University;
  - D.13 competes with the University in any activity or matter.

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#### **E. CONFLICTS IN RELATION TO FINANCIAL MATTERS**

Without limiting the generality of the definition of conflict of interest or commitment, a conflict *prima facie* arises in relation to financial matters whenever a Member:

- E.1 influences, participates in or authorizes the acquisition or disposition by the University of any asset, equipment, materials or services from or to a third party in which the Member or a Related Party has a Financial Interest;
- E.2 influences the decisions of a third party doing business with the University, whether or not for profit, for the benefit of the Member's or a Related Party's activities at the University;
- E.3 associates, for the benefit of the Member or a Related Party, in any manner with a third party (including through its name, publicity or operations) which falsely implies that the third party is associated with or benefits from a relationship with the University;
- E.4 makes personal purchases, or purchases for a Related Party, through the University purchasing department or through other University services;
- E.5 diverts any University resources for personal use, the use of a Related Party or for any other unauthorized use;
- E.6 approves, or is in a position to approve, the expense claims of a Related Party;
- E.7 accepts to teach or perform other duties for remuneration at another institution while on sabbatical or other paid leave from the University;
- E.8 accepts payment from any third party for the performance activities that fall within his or her duties at the University.

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#### **F. OTHER POTENTIAL CONFLICTS**

- F.1 In addition to the above list, there may be other situations in which a conflict of interest or commitment may arise or be perceived to arise.
- F.2 Where a Member is not certain as to whether or not they may be in a conflict of interest or commitment they should complete the disclosure form to initiate the discussion with their relevant Supervisor.