Form Instructions

This is an **electronic form**. All applicable fields must be typed. To advance to the next field, press the “Tab” key. To go back to the previous field, press the keys “Shift” and “Tab” simultaneously.

**Preamble**

The goal of the annual requirement to report and disclose real or potential Conflicts of Interest or Conflicts of Commitment is two-fold: to protect the interests and reputation of the University and to remind members of the academic staff to regularly think about real or potential conflicts of interest and commitment when undertaking activities outside the University for either their own benefit, the benefit of related persons or the benefit of related businesses, corporations or entities.

Where a conflict of interest is found to exist, the challenge is to avoid it or manage it in a way that does not detract from the interests or reputation of the University. The key is to understand the circumstances that give rise to conflicts of interest, to report real or potential conflicts in a timely and fulsome manner so that conflict may be addressed and resolved. **Staff members must report all circumstances which may give rise to a conflict of interest to their reporting officer. When in doubt a staff member must report so that it can be determined that the circumstances do not lead to a conflict of interest or that appropriate steps have been taken to manage or end the conflict.**

Reporting officers in each Faculty must see that staff members complete the Conflicts Report annually and where real or potential conflicts are identified work with the staff members to manage or eliminate the circumstances leading to the conflict in order to protect the interests, reputation and integrity of the University’s mission.

The University’s Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict and the related Procedures are found at:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=105>

**Reporting Individuals**

1. All Academic Staff appointed under the Trust/Research Academic Staff (TRAS) Agreementmust complete this Disclosure Report. This includes those staff members who are “active” but who may be off campus, such as those who are seconded to other organizations or on an approved leave of some sort.
2. Those Academic Staff appointed under the Temporary Administrative and Professional Staff (TAPS) and Academic Teaching Staff (ATS) Agreements who – (a) make financial or hiring decisions; (b) are employed in a unit which has as its primary function the creation of legal relationships with individuals or entities that are not part of the University; (c) as part of normal duties, have regular formal contact with individuals or entities that are not subject to the Conflict Policy; and/or (d) may have a research-related conflict – must complete this Report.
3. All Supplemental Professional Activity must be disclosed in this Disclosure Report. Reporting individuals must indicate this designation in their explanation of the conflict.
4. Reporting individuals no longer have the ability to only complete a “Part A”, i.e., where you checked a box YES or NO to indicate whether there were any changes in the facts from previous reports. Completion of a full Disclosure Report is required.

**What is a Conflict?**

A conflict may arise:

1. when as a result of a personal or family relationship, a staff member’s responsibility to instruct or supervise students in a fair, unbiased or effective manner is compromised;
2. when a staff member or a related person has a financial interest in the outcome of research;
3. when a staff member has a financial interest (royalties) in their teaching activities apart from their University salary, i.e., when assigning required materials and texts to students;
4. when a staff member has influence over or makes a decision concerning a relationship between the University and an external business or enterprise in which the staff member or a related person has a financial interest;
5. when a staff member assumes an executive position in or acquires a financial interest in a business in a relationship with the University and related to the staff member’s University responsibilities;
6. when a staff member is in a position to influence or direct human resource decisions (employment, appointment, promotion, tenure) or admissions decisions with respect to persons related to the staff member;
7. when a staff member accepts gifts or benefits with greater than a token value from a person or business with which the University does business;
8. when a staff member uses University resources and facilities for their own benefit or the benefit of family member or a person with whom the staff member is in a relationship. Occasional, incidental use will not constitute a conflict of interest;
9. when a staff member communicates private information, not available to the general public, obtained in the course of their duties to gain a private benefit for themselves or related persons or entities.

**Reporting Officers**

A Reporting Officer, or their official delegate, will:

1. ensure the receipts of all Disclosure Reports from Reporting Individuals within their unit;
2. assess the information that has been provided in accordance with the *Conflict of Interest and Conflict of Commitment Reporting and Assessment Procedure;*
3. refer the Disclosure Report to the next appropriate senior reporting officer if they have a financial benefit or personal benefit in the considerations being assessed;
4. acknowledge receipt of all Disclosure Reports and document, and advise Reporting Individual, or the assessment of the information provided; and
5. ensure that the information is available and accessible to University officials and/or auditors for a period of 3 years.

Completion Instructions for Reporting Individual and Reporting Officer

AUGUST 2017

Reporting Individual to:

1. completely fill out every applicable field in this Report.

2. print the Report (Pages 3, 4 and 5) and Sign.

3. send and/or deliver the Report to your Reporting Officer.

Reporting Officer to

4. complete Section 6 (Acknowledgement).

5. advise the Reporting Individual of your assessment.

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| Reporting Individual’s Information **(To Be Completed In Full)** |
| REPORTING INDIVIDUAL |
| POSITION |
| DEPARTMENT & FACULTY |
| DISCLOSURE PERIOD (or indicate alternative dates in space provided)  July 1,       to June 30, |
| **Are you disclosing a real or perceived Conflict within this Disclosure Report?** **Yes**  **No** |
| REPORTING OFFICER (must be completed and will normally be the Chair, Dean or Vice-President to whom you report) |
| POSITION |

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| 1. Conflict of Interest – Non-Financial | |
| A | WILL YOUR UNIVERSITY TEACHING, RESEARCH, OR ADMINISTRATIVE ACTIVITIES INVOLVE YOU IN DEALINGS WITH INDIVIDUALS, BUSINESSES, OR CORPORATIONS IN WAYS THAT MIGHT BE VIEWED BY A REASONABLE OBSERVER AS A CONFLICT OF INTEREST?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| State the names of the individuals, businesses or corporations, the nature of your involvement, and related particulars |
| Describe the benefits that the University will derive from these activities |
| B | academic staff frequently participate in activities of service (voluntary) to the community and society at large. Will you be involved in service activities, outside the University, that may give rise to conflicts of interest?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| State the name OF THE OUTSIDE PARTIES WITH WHOM YOU ARE INVOLVED AND THE NATURE OF YOUR INVOLVEMENT (*e.g*., A BOARD MEMBER, ADVISOR, DIRECTOR) |
| Describe the benefits that the University will derive from these activities OF SERVICE |
| 2. Conflict of Interest – Financial | |
| A | Will you or a member of your family or your corporation be the recipient(s) of financial interest or financial benefit from University funds over which you exercise influence?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE PARTICULARS OF THE FINANCIAL INTEREST OR BENEFIT |
| B | WILL YOU OR YOUR CORPORATION HAVE, OR ANTICIPATE HAVING, A FINANCIAL BENEFIT FROM THE UNIVERSITY IN THE FORM OF FEE-FOR-SERVICES OR OTHER REMUNERATION?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE PARTICULARS OF THE FEE-FOR-SERVICES OR OTHER REMUNERATION THAT YOU OR YOUR CORPORATION ANTICIPATES RECEIVING NOT INCLUDING YOUR NORMAL SALARY |
| C | TO THE BEST OF YOUR KNOWLEDGE, DOES OR WILL A MEMBER OF YOUR FAMILY HAVE A RELATIONSHIP (FINANCIAL or NON-FINANCIAL) WITH THE UNIVERSITY THAT MIGHT BE VIEWED BY A REASONABLE INDIVIDUAL TO CONSTITUTE A POTENTIAL CONFLICT OF INTEREST FOR YOU?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE PARTICULARS OF YOUR FAMILY MEMBER’S RELATIONSHIP WITH THE UNIVERSITY |

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| D | WILL YOU, YOUR FAMILY, OR YOUR CORPORATION HAVE, OR ANTICIPATE HAVING A FINANCIAL INTEREST IN, OR RECEIVE A FINANCIAL BENEFIT FROM, ANY OUTSIDE PARTY WHOSE ACTIVITIES ARE CONNECTED TO YOUR RESEARCH OBLIGATIONS TO THE UNIVERSITY?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE PARTICULARS OF THE FINANCIAL INTEREST OR FINANCIAL BENEFIT |
| 3. Conflict of Commitment | |
| A | ACADEMIC STAFF FREQUENTLY PARTICIPATE IN ACTIVITIES THAT ARE NOT INCLUDED IN THEIR TERMS OF EMPLOYMENT WITH THE UNIVERSITY. POTENTIALLY, WILL YOUR COMMITMENT TO THESE ACTIVITIES PLACE YOU IN A CONFLICT OF COMMITMENT TO THE UNIVERSITY?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE NATURE OF THE COMMITMENT AND YOUR TIME OF INVOLVEMENT IN THAT OUTSIDE ACTIVITY |
| HOW WILL THIS COMMITMENT AFFECT YOUR EMPLOYMENT OBLIGATIONS TO THE UNIVERSITY? |
| DESCRIBE THE BENEFITS THAT THE UNIVERSITY WILL DERIVE FROM YOUR COMMITMENT TO THIS UNDERTAKING |
| 4. Other Conflict | |
| A | DO YOU INTEND TO USE THE SERVICES OF UNIVERSITY STUDENTS, UNIVERSITY EMPLOYEES, OR OTHERS UNDER CONTRACT TO THE UNIVERSITY OVER WHOM YOU EXERCISE SUPERVISORY OR ACADEMIC RESPONSIBILITY, FOR A PURPOSE BEYOND THOSE DIRECTLY ASSOCIATED WITH YOUR EMPLOYMENT OBLIGATIONS TO THE UNIVERSITY?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| IDENTIFY THE NATURE AND DURATION OF THE SERVICES |
| B | WILL YOU MAKE SIGNIFICANT USE (MEANING A USE BEYOND THAT OF A PURELY INCIDENTAL NATURE WITH OR WITHOUT AN ATTRIBUTED OR ALLOCATED COST) OF UNIVERSITY SPACE, FACILITIES, GENERAL SUPPLIES, AND/OR EQUIPMENT, INCLUDING COMMUNICATION DEVICES, AND CONFIDENTIAL INFORMATION TO SUPPORT ANY ACTIVITIES THAT DO NOT DIRECTLY PERTAIN TO YOUR EMPLOYMENT OBLIGATIONS TO THE UNIVERSITY?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE NATURE OF THESE USES |
| DESCRIBE THE BENEFITS THAT THE UNIVERSITY WILL DERIVE FROM YOUR USE OF THE FACILITIES OR PROPERTY |
| C | ARE YOU AWARE OF ANY OTHER POTENTIAL CONFLICTS OF INTEREST OR CONFLICT OF COMMITMENT, REAL OR PERCEIVED, THAT WILL AFFECT YOU AS AN ACADEMIC STAFF MEMBER DURING THE UPCOMING REPORTING PERIOD?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE NATURE AND DETAILS OF THE POTENTIAL CONFLICT OF INTEREST AND/OR COMMITMENT |
| DESCRIBE THE BENEFITS THAT THE UNIVERSITY WILL DERIVE FROM THESE ACTIVITIES |
| D | OTHER THAN DISCLOSED ABOVE, DO YOU HAVE ANY RELATIONSHIPS OR OUTSIDE INTERESTS THAT COULD COMPROMISE OR BE PERCEIVED TO COMPROMISE YOUR ABILITY TO EXERCISE YOUR JUDGEMENT OR DECISION-MAKING INDEPENDENTLY OR OBJECTIVELY WITH THE PURPOSE OF PROTECTING AND PRESERVING THE INTERESTS AND REPUTATION OF THE UNIVERSITY?  **Yes  No** |
| ***IF YOU ANSWERED “YES,” PLEASE PROVIDE THE FOLLOWING INFORMATION:*** |
| STATE THE NATURE AND DETAILS OF THE POTENTIAL CONFLICT OF INTEREST AND/OR COMMITMENT |
|  | DESCRIBE THE BENEFITS THAT THE UNIVERSITY WILL DERIVE FROM THESE ACTIVITIES |

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| 5. Reporting Individual’s Declaration | | | | |
| I declare that the information contained in this Disclosure Report is true and correct to the best of my knowledge, information, and belief.  I will promptly submit a revised report if at any time during the disclosure period circumstances warrant a different response to any of the questions in this Disclosure Report.  I have read the University of Alberta’s *Conflict Policy* and understand this Disclosure Report is given in accordance with that *Policy*.  I understand that if I have indicated that I may become involved in activities which could give rise to a conflict of interest or a conflict of commitment, I shall not engage in these activities until such time as the conflict considerations are assessed and resolved. If I have indicated that I am presently involved in activities which could give rise to a conflict of interest or a conflict of commitment,  I understand that I may continue the activity until such time as the conflict considerations are assessed and resolved, unless I am ordered by the Conflict Review Officer (in consultation with the appropriate senior officials) to cease the activity.  I understand that the order to cease the activity shall stand until such time as the conflict considerations are assessed and resolved.  I understand that the personal information requested on this form is collected under the authority of Section 33 (c) of the Alberta *Freedom of Information and Protection of Privacy Act* for the purposes of determining possible conflict of interest. I hereby consent to the use of the information provided by the University for the purpose of assessing conflict.  I understand that I will be consulted if certain public disclosure of information is deemed appropriate in managing an assessed conflict. I understand that consent for any such public disclosure will be addressed at that time. | | | | |
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|  | **Signature of REPORTING INDIVIDUAL** |  | **DATE (Month, Day, Year)** |  |

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| 6. ACKNOWLEDGEMENT OF REPORTING OFFICER  (OR DELEGATE AS APPROPRIATE) | Initial  where applicable |
| No conflict reported or the identified conflict has been deemed insubstantial. |  |
| Conflict reported, and it is allowed - contact the Reporting Individual to indicate that they are free to proceed with the activity or engage in the situation. As described, the conflict presents a low risk activity or situation.  c |  |
| Conflict reported, and is not allowed - because the activity/situation does not sufficiently serve the interests of the University or is not appropriately manageable or not able to withstand the test of reasonable and independent scrutiny - contact the Reporting Individual to indicate that he or she is not free to proceed with, or continue to engage in, the activity or situation. |  |
| Conflict reported, and is allowed - a suitable method of monitoring and managing the allowed conflict will be determined and implemented before the Reporting Individual is free to proceed with, or continue to engage in, the activity or situation. |  |