

GENERAL INFORMATION

As members of a public institution, McGill staff members are required to conduct their activities in a way that bears public scrutiny and maintains the trust and integrity of the University. This includes taking measures to ensure that our academic activities are guided, first and foremost, by McGill's academic mission rather than by our own self-interest.

A **non-financial conflict of interest** (COI) may arise when a reasonable person might perceive that a staff member's *actual or potential* interests or relationships (including relationships with private companies/industry) might compromise their professional judgment in relation to:

- conducting or reporting research;
- supervising students or trainees; or
- any other aspect of their academic duties.

It is important to note that, by itself, a COI is **not** necessarily misconduct. Rather, COIs are problematic when they are:

- unidentified
- undisclosed
- unmanaged or unmanageable

McGill expects faculty and staff to monitor their own activities and to be aware of actual and potential COIs. Where they perceive that a COI has arisen or may arise, they must immediately disclose this pursuant to the terms of the present form.

All of the foregoing is set out in the University's [Regulation on Conflict of Interest](#) ("Regulation").

This COI Reporting Form is divided into 4 Parts:

PART 1: Staff Member's Disclosure

Completion of this supplemental form is mandatory if you answered "YES" to question 1 on the [Statement of Conflict of Interest \(Short\) form](#).

Reporting Officers include Chairs/Directors for members of academic staff, and Deans for Chairs/Directors. See the Appendix at the end of this document for a complete list.

Note: *Please sign this disclosure, preferably with an electronic signature, and forward the electronically fillable version to your Reporting Officer.*

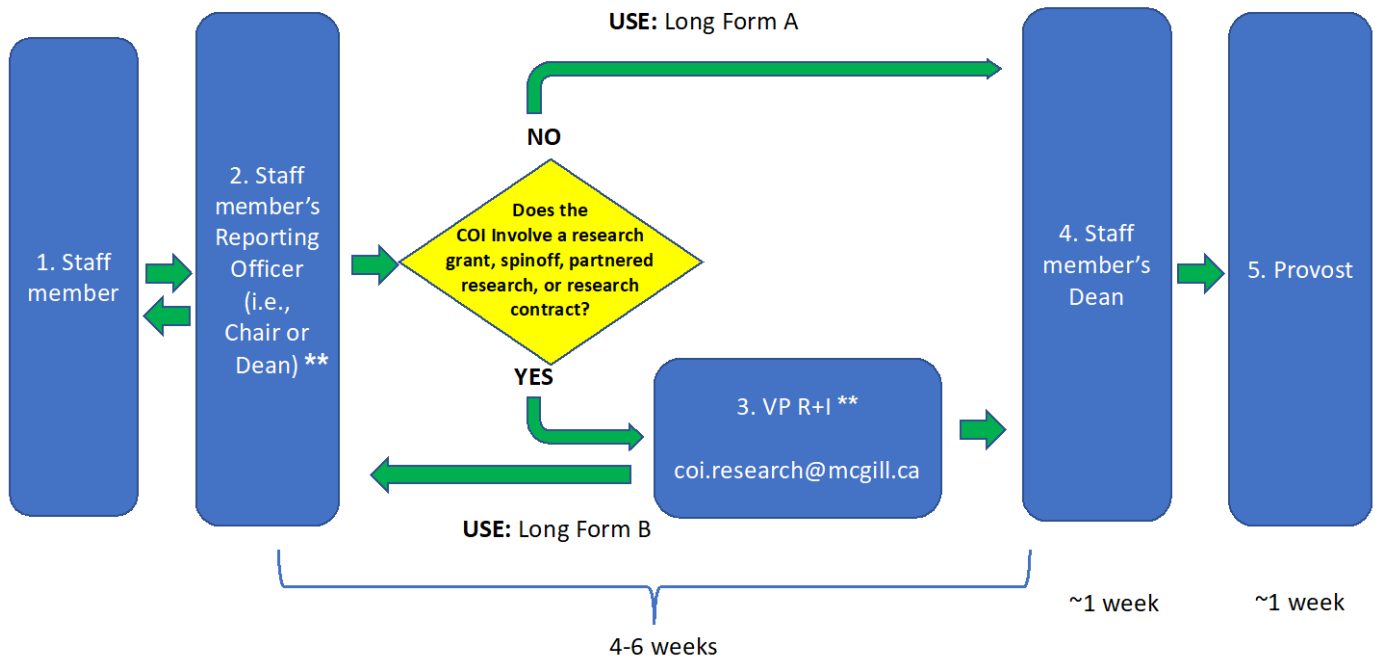
PART 2: Reporting Officer's Assessment

PART 3: Review by the Dean

PART 4: Review by the Provost' and VP (Academic)

Reporting Conflicts of Interest

This chart outlines the process for COI reporting:



** Bilateral arrows between steps 1 and 2, and between steps 2 and 3, reflect the potential requirement for multiple updates and exchanges, depending on complexity of the case.

PART 1: STAFF MEMBER'S DISCLOSURE

1 Explain the nature of any conflict of interest that has arisen or may arise:

2 List the persons, including “related parties”, involved in the conflict:

Note: The term “*related party*” includes: (i) immediate family; (ii) a person living in the staff member’s household; (iii) a person with whom a staff member has, or had, a close or intimate personal relationship; (iv) a person with whom the staff member shares, directly or indirectly, a financial or other interest; (v) a person whom the staff member owes a financial or moral obligation.

3 List all persons (including students or trainees) who may be affected by the conflict:

4 List all persons (including research subjects, students, trainees, co-investigators, journal editors, conference organizers, etc.) who should be made aware of the conflict:

5 Explain any benefits, direct or indirect, that may be derived by you or a related party if the conflict is permitted:

6 Explain how the conflict may directly affect – or reasonably appear to influence – your research, teaching, scholarly activities or administrative responsibilities:

7 Explain the steps you propose to take to mitigate/manage the conflict:

8 Explain why you believe the conflict should be permitted:

In submitting this form, I certify that the above information is true to the best of my knowledge, and that I am in compliance, to the best of my knowledge, with federal law, provincial law, and all University policies related to conflicts of interest. **I will promptly report in writing to my Reporting Officer any change in circumstances that may alter the nature or scope of the conflict of affect its management.**

(*Electronic) Signature of the Staff Member

Date

*In the event that an electronic signature is not available, please print this page, sign it, and append a scanned version to your Reporting Officer.

➔ Send your finalized disclosure (preferably with an electronic signature and the file electronically enabled) along with parts 2, 3 and 4 to your Reporting Officer.

***Note:** Part 1 is protected once electronically signed.
To edit the document once signed, remove e-signature, edit, and re-sign to finalize.

PART 2: REPORTING OFFICER'S ASSESSMENT

Note: Please sign this assessment, preferably with an electronic signature, and forward the finalized copy of the electronically fillable version to the Dean, the Provost & VP (Academic), and VP (RI), as applicable.

REPORTING OFFICER'S NAME _____

RO'S RANK/POSITION _____

RO'S DEPARTMENT/FACULTY or UNIT _____

1

a)	In your assessment of the information provided, is there an actual conflict of interest?	YES	NO	N/A
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OR

b)	In your assessment of the information provided, is there a potential conflict of interest?	YES	NO	N/A
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Explain.

If you responded "YES" to (1a or 1b), please respond to ALL of the following:

2	Are there any persons, in addition to those identified by the staff member, who should be made aware of the conflict? <i>Please list additional persons:</i>	YES	NO
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- | | | | |
|----------|---|-----|----|
| 3 | In your assessment of the situation, will the University be adversely affected by permitting this conflict?
<i>Explain.</i> | YES | NO |
| 4 | In your assessment of the situation, will the University benefit by permitting this conflict?
<i>Explain.</i> | YES | NO |
| 5 | In your judgement, should the staff member be permitted to engage in the conflict?
<i>Explain.</i> | YES | NO |
| 6 | Please specify the period for which permission should be granted for the staff member to engage in this conflict.
<i>Specify period.</i> | | |
| 7 | How do you propose to monitor the conflict?
<i>Details.</i> | | |

8 Conditions under which the conflict is to be permitted:

- 8.1 Staff member must ensure written disclosure of the conflict to all persons who would be affected by it (and provide evidence of such disclosure).
- 8.2 Staff member must promptly report any change in circumstances that may change the nature or scope of the conflict or affect its management.
- 8.3 Staff member must (*specify additional conditions, where appropriate*):

(*Electronic) Signature of the Reporting Officer

Date

*In the event that an electronic signature is not available, please print this page, sign it, and append a scanned version.

➔ Send the staff member's disclosure (Part 1) and your assessment (Part 2 – ***preferably with an electronic signature and he file electronically enabled***) along with parts 3 and 4 to the Dean.

***Note:** Part 2 is protected once electronically signed.
To edit the document once signed, remove e-signature, edit, and re-sign to finalize.

PART 3: REVIEW BY DEAN

Note: *Deans must sign this assessment, preferably with an electronic signature, and forward the finalized copy of the electronically fillable version to the Provost & VP (Academic), and if applicable to the VP-RI.*

NAME _____

POSITION _____

FACULTY _____

1	Do you agree with the Reporting Officer’s assessment as to the existence of a conflict?	YES	NO	
2	Do you agree that the staff member be permitted to engage in the conflict?	YES	NO	N/A
3	Will the University be adversely affected by permitting this conflict?	YES	NO	N/A
4	Will the University benefit by permitting this conflict?	YES	NO	N/A
5	Is the process for monitoring the conflict adequate?	YES	NO	N/A
6	Is the period for which permission is granted for the staff member to engage in this conflict reasonable?	YES	NO	N/A
7	Are the conditions under which the conflict is permitted satisfactory?	YES	NO	N/A

If you have answered “NO” to any of questions 1, 2, 4, 5, 6, or 7, or “YES” to question 3, please provide reasons:

(*Electronic) Signature of the Reporting Officer

Date

*In the event that an electronic signature is not available, please print this page, sign it, and append a scanned version.

Send a copy of all parts of the finalized form (*preferably with an electronic signature and he file electronically enabled*) to the Provost & VP (Academic).



cc: Staff Member
Reporting Officer

***Note:** Part 3 is protected once electronically signed.
To edit the document once signed, remove e-signature, edit, and re-sign to finalize.

PART 4: REVIEW BY PROVOST & VP (ACADEMIC)

Comments:

(*Electronic) Signature of the Reporting Officer

Date

***Note:** Part 4 is protected once electronically signed.
To edit the document once signed, remove e-signature, edit, and re-sign to finalize.

APPENDIX**Extract from the Regulation on Conflict of Interest***Revised:*

Senate	September 22, 2011	Minute IIB7
Board of Governors	September 27, 2011	Minute 6

1.9 “Reporting Officer” means:

- (i) for the Principal, the Chair of the Board of Governors;
- (ii) for the Provost, Deputy-Provost or a vice-principal, the Principal;
- (iii) for an assistant or associate provost, the Provost;
- (iv) for an assistant or associate vice-principal, that vice-principal to whom the Member reports;
- (v) for the Director or Dean of Libraries, the Provost;
- (vi) for a dean, the Provost;
- (vii) for the Secretary-General, the Principal;
- (viii) for an assistant or associate dean, the dean;
- (ix) for the chair of a department or director of a centre, institute or school, the dean;
- (x) for the director of an administrative unit, the Provost, Deputy-Provost or vice-principal responsible for that unit;
- (xi) for a Member of the academic staff of a faculty having departments, centres, institutes or schools, the chair of the department or the director of the centre, institute or school to which the member has been appointed in his or her official letter of appointment;
- (xii) for a Member of the academic staff of a faculty without departments, centres, institutes or schools, the dean of the faculty to which the member has been appointed in his or her official letter of appointment;
- (xiii) for a Member of the librarian staff, the Director or Dean of Libraries;
- (xiv) for a postdoctoral fellow, the supervisor of the postdoctoral fellow;
- (xv) for a graduate student, the student's supervisor;
- (xvi) for any other Member, the holder of the office to whom the Member reports or who has supervisory responsibility over the Member;
- (xvii) for a Member of a committee other than a committee of the Board of Governors, the chair of the committee;
- (xviii) for the chair of a committee other than a committee of the Board of Governors, the individual or the chair of the body to which the committee reports;
- (xix) in the event that a Reporting Officer is also implicated in the Conflict of Interest situation, the first Reporting Officer's Superior not so implicated.