



GENERAL INFORMATION

PART 1: Staff Member’s Disclosure:

Completion of this supplemental form is mandatory if you answered “YES” to any part of question 2 on the [Statement of Conflict of Interest \(Short\) form](#). **Complete a separate form for each outside entity.** The completed form is to be submitted to your Reporting Officer

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 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). **STAFF MEMBER INFORMATION**

NAME :

RANK / POSITION TITLE:

DEPARTMENT:

This Disclosure:

Annual Disclosure Statement
DD-MMM-YYYY

Date : _____

Revised/Updated Disclosure Statement
DD-MMM-YYYY

Date : _____

Funded Project (if applicable)

Date : _____
DD-MMM-YYYY

Title and Funding Source (if applicable) _____

Part 1: STAFF MEMBER’S DISCLOSURE

NOTE: External funding (such as honoraria, fees, travel expenses) paid for by an institution of higher education, an affiliated research institute, an academic teaching hospital, a medical centre, or by a federal, provincial, or local government agency does not place a person in a conflict of interest and does not have to be disclosed.

NOTE: If this disclosure relates to a conflict of interest that was reported last year and the circumstances of last year’s filing have not changed, please tick the box below and submit this document, as well as a copy of last year’s Disclosure Report, to your Reporting Officer.

The information pertaining to this year’s circumstances are identical to those reported in last year’s Disclosure Report. **1 Explain the conflict of interest that has arisen or that may arise. This section should indicate the type of interest concerned (e.g., income, equity, gift, sponsored travel, intellectual property) and the financial scope of the interest. This description should also include the name of the outside entity concerned, the**



type of business that it conducts, and the nature and scope of the interest that you or a related party hold in this entity:

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

NOTE: The term “*related party*” includes, but is not necessarily limited to, (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 or any business entity with whom the staff 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.

3 List all persons (including students and trainees) who may be affected by the conflict and explain how they will be affected (e.g., restrictions on dissemination of research by individuals involved with this project, ownership of intellectual property by a company in which you hold equity):

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 If you hold equity in a company, indicate whether the company sponsors or supports your research and/or whether the company employs graduate students:

6 MANAGEMENT OF CONFLICT

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

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



- c)) Explain the steps you propose to take to mitigate/manage the conflict:
- d)) Explain why you believe the conflict should be permitted:

CERTIFICATION

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 financial 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 or 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 (along with parts 2, 3 and 4 to your Reporting Officer. *preferably with an electronic signature and the file electronically enabled*)

*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 and VicePrincipal (Academic), and Vice-Principal (RIR), 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 Yes No N/A
- b) In your assessment of the information provided, is there a potential conflict of interest? Yes No N/A



OR

Explain.

If you responded “YES” to (1 a 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 Yes be made aware of the conflict? No

Please list additional persons:

- 3) In your assessment of the situation, will the University be adversely affected
 by permitting this conflict? Yes No *Explain.*

- 4) In your assessment of the situation, will the University benefit by permitting this conflict?
 Yes No *Explain.*

- 5) In your judgment, should the staff member be permitted to engage in the conflict? *Explain.* Yes
 No

- 6) How do you propose to monitor the conflict?
Details.

- 7) Please specify the period for which permission should be granted for the staff member to engage in this conflict.
Specify period:



- 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*)

NOTE:

In the event that you deem there to be a conflict of interest, this assessment form and the Staff Member's disclosure must be submitted to the Dean or the Provost, as appropriate, for review, as well as the VP (Research and International Relations) for cases with implications for research.

(*Electronic) Signature of 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 **signature and the file electronically enabled**(part 1) and your assessment along with parts 3 and 4 to the Dean. (part 2) (**preferably with an electronic**

***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 and Vice-Principal (Academic), and if applicable, to the Vice-Principal (RIR). **NAME :** _____

POSITION : _____

FACULTY: _____

- 1) Do you agree with the Reporting Officer’s assessment as to the existence of a 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 Yes No N/A
 - 7) Are the conditions under which the conflict is to be permitted satisfactory? Yes No N/A
- conflict? this conflict

reasonable?

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 Dean

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 the file electronically*



enabled) implications for research. to the Provost and Vice-Principal (Academic), and if applicable, to the Vice-Principal

(RIR) for cases with

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.

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PART 4: REVIEW BY Provost and Vice-Principal (Academic)

COMMENTS

(*Electronic) Signature of the Provost & VP (Academic)

Date

AND (WHERE APPLICABLE)

REVIEW by the Vice-Principal (Research & International Relations)



COMMENTS

(*Electronic) Signature of the VP (RIR)

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
Board of Governors

September 22, 2011
September 27, 2011

Minute IIB7
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.

And the Vice-Principal (RIR).