

Conflict of Interest Declaration and Management Plan

Conflicts of Interest must be declared, appropriately managed and regularly reviewed. The following Conflict of Interest Management Plan is intended to assist with this and must be completed in accordance with the University's Conflict of Interest Policy.

This form is to be completed by any individual who is required to declare a real, potential or perceived conflict of interest in undertaking their La Trobe University (University') obligations. Information is collected in accordance with the [Staff Collection Notice](#).

Individual's Name: Click or tap here to enter text.	School/business unit: Click or tap here to enter text.
Position/title: Click or tap here to enter text.	Contact details: Click or tap here to enter text.
Manager/Supervisor's name and position: Click or tap here to enter text.	

Select the role below that best describes the capacity for your declaration:				
<input type="checkbox"/> Staff	<input type="checkbox"/> Volunteer	<input type="checkbox"/> Council Member	<input type="checkbox"/> Contractor	<input type="checkbox"/> Researcher (including HDR candidates)

INDIVIDUAL TO COMPLETE

Details of the possible COI issue(s)/situation being considered
Please note that Conflicts of Interest include actual, perceived or potential conflicts of interest. Please refer to the Conflict of interest Policy for further information.
<input type="checkbox"/> Actual <input type="checkbox"/> Potential <input type="checkbox"/> Perceived

<p>Please provide a detailed overview of the nature of the conflict (attach separately if appropriate).</p> <p>Click or tap here to enter text.</p> <p><i>To help identify and describe a possible Conflict of Interest, some useful questions include:</i></p> <ul style="list-style-type: none"> Does my private interest intersect with my role? If so, could this create a perception of bias or favouritism in the exercise of my duties? Putting aside the belief that I will always act with the best of intentions, could my involvement in this matter cast doubt on my integrity or that of the University? If I saw someone else in this situation, would I think they have a Conflict of Interest? What would a fair-minded member of the public make of the situation? If my actions were covered by the media, could it embarrass me or the University? In other words, does it pass the public perception test - the 'pub' test?
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Specific conflicts

Tick the applicable box in response to the following questions:

Do you have any real, potential or perceived conflict of interest involving the University's business partners, contractors or suppliers? *E.G. Personal Relationship / related with a contractor, Purchasing from a Family Company, amongst others).*:

☐ Yes ☐ No

If yes, please provide further details below:

[Click or tap here to enter text.](#)

Do you have any outside interest that could generate a real, potential or perceived conflict of interest?

E.G. (Second Employer, Board of Directors, contractual agreements, partnership, ownership and management of a company, outside work consultancies, amongst other examples)

☐ Yes ☐ No

If yes, please provide further details below:

[Click or tap here to enter text.](#)

Do you act for the University or represent the university in Boards, Trusts or other committees.

☐ Yes ☐ No

If yes, please provide further details below:

[Click or tap here to enter text.](#)

Do you hold office in any public or private company, trustee company, incorporate association, public agency or other statutory authority?

☐ Yes ☐ No

If yes, please provide further details below:

[Click or tap here to enter text.](#)

MANAGER/SUPERVISOR TO COMPLETE

Manager/Supervisor's determination as to whether a conflict exists

Tick the box that applies and briefly explain your reasons (Note – your reasons may be different to those of the individual concerned).

☐ Yes – The individual has a conflict of interest

[Click or tap here to enter text.](#)

☐ No – The individual does not have a conflict of interest

[Click or tap here to enter text.](#)

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INDIVIDUAL TO COMPLETE IN CONSULTATION WITH MANAGER/SUPERVISOR

Proposed action to be taken to resolve or manage the identified conflict of interest issue/s (may include one or more of the following conflict of interest management types):

☐ Record

☐ Restrict

☐ Recruit

☐ Remove

☐ Relinquish

Details of action to be taken:

To help identify and propose the Conflict of Interest management strategies, it is important to have regard to the risk of the Conflict of Interest. The management plan should be proportionate to the level of risk and address all potential avenues for the Conflict of Interest arise. For example, regard should be given to:

- *What is the individual's capacity to influence or act as a decision-maker?*
- *What are the possible consequences if not properly managed?*
- *What duties or work responsibilities could be influenced?*
- *What is the extent of the individual's private interests?*
- *What is the duration of the Conflict of Interest (this will assist in considering the length of the review plan)?*
- *What would a fair-minded member of the public think of the proposed risk mitigation strategy? Would they consider it adequate?*

Click or tap here to enter text.

Individual declaration:

I declare that:

☐ The information provided in this statement properly and fully reflects my personal interests and/or the interests of my family members and/or the interests of individuals with who I have a personal relationship and/or the interests of another organisation/third party to who I may owe a completing duty or have reason to seek to benefit.

☐ I will comply with the approved Conflict of Interest management plan.

☐ If I become aware of any changes affecting the plan I will update my existing COI declaration and management plan and submit the updated form to my manager/supervisor as soon as practicable.

Name: Click or tap here to enter text.

Signature:

Date: Click or tap to enter a date.

Manager/Supervisor declaration

I declare that:

☐ I have carefully considered the Conflict of Interest Management plan and endorse the management plan on the basis that I consider it to adequately address the risk(s) of the Conflict of Interest and will be monitored at least on an annual basis.

☐ I will review the management plan regularly in line with the review period noted below.

☐ If I become aware of any changes affecting the plan I will, in consultation with the individual concerned, update the management plan and submit it for approval to the Chief People Officer or the Executive Director – Research Office, as soon as practicable.

Name: Click or tap here to enter text.

Signature:

Date: Click or tap to enter a date.

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MANAGER/SUPERVISOR TO COMPLETE

Management plan review schedule

The management plan will be reviewed as follows: (*Manager to tick one box*).

- ☐ Not applicable, as the conflict is of short duration.
- ☐ Every months
- ☐ Other:

The plan will be reviewed if any change occurs that may affect the plan or its risk level.

APPROVALS: CPO or EDRO to complete

☐ Approved by Chief People Officer

Name: Click or tap here to enter text.

Signature:

Date: __/__/__

☐ Approved by the Executive Director, Research Office: __/__/__

Name: Click or tap here to enter text.

Signature:

Date: __/__/__

ESCALATION (*if applicable*): COO or DVCRIE to complete

Applicable only when an agreement cannot be reached, or the matter is considered particularly risky/sensitive

☐ Chief Operating Officer (non- research matters)

Name: Click or tap here to enter text.

Signature:

Date: __/__/__

☐ Deputy Vice-Chancellor (Research and Industry Engagement)

Name: Click or tap here to enter text.

Signature:

Date: __/__/__

Review of plan	Date of review	No change to plan	New/revised plan developed	Conflict of interest no longer exists
Review 01	Click or tap to enter a date.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Review 02	Click or tap to enter a date.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
[continue as needed]	Click or tap to enter a date.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>