



**Conflict of Interest Schedule**

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This procedure reflects legislation and official guidance at the time it was last reviewed. Any changes in legislation will take precedence over anything printed in this policy. Where other policies are referred to, they can be viewed at the Policy Library

## SCHEDULE

The Schedule must be read in conjunction with the Conflict of Interest Policy and Conflict of Interest Procedure

### Appendix I –Declaration of Interest Form

Part A is to be completed by the individual with the making the declaration of interest.

Part B is to be completed by the individual's line manager or equivalent.

Part C is to be completed by the Director of Operations, Human Resources.

#### Part A – To be Completed by the Relevant Individual

Name	
Section	
Line Manager (or equivalent)	
Date	
Conflict of Interest Details	
Date(s) of Conflict	
Parties Involved	
Potential Benefit	
Proposed Management	
Declaration	I acknowledge the Policy on Conflicts of Interest and declare the above interests. I confirm that I have no other activities, responsibilities or ownership entitlements that might lead to a conflict of interest situation.
Signature	

**Part B – To be Completed by the Relevant Line Manager (or equivalent)**

Line Manager Name	
Position	
Date of discussion with the individual	

Detail of the discussion with the individual	
Outcome of discussion	Is it determined that a conflict exists?
Management Plan	
Date	
Signature (line manager)	
Signature (relevant individual)	

**Part C – To be Completed by the Office the Director of Operations (Human Resources)**

Date notified	
Acknowledged by	
Any further detail or information	

## Appendix II – Examples of Conflicts of Interest

### Non-research related Conflicts of Interest

Potential Conflict	How it could be avoided or managed
A procurement exercise proceeds to an appeal because an unsuccessful bidder discovers that a member of the selection committee has a stake in a competing tenderer.	The committee member declares their interest in a competing organisation to their line manager in advance and is replaced on the selection committee.
A staff member uses their influence in the recruitment process.	The staff member declares the Conflict of Interest to their line manager and abstains from the recruitment process.
A staff member receives a gift, gratuity of favour from any third party engaged in or wishing to engage in transactions with the RSN	The staff member declines the gift, gratuity or favour and informs their line manager so as to ensure it does not affect the award of any contract for business.
A member of academic staff provides consultancy services to an entity in direct competition with the RSN	The staff member declares the consultancy to their line manager and ensures that the consultancy accords with the UL Policy for Private Consultancy and External Commercial Work.
A member of academic staff supervises a student/staff member who is also a Connected Person, such as a contractor.	The member of academic staff declares the Conflict of Interest to their line manager and a different arrangement is sought.
A member of the Finance Investment Committee uses their knowledge of the RSN's capital development objectives to further a political or personal purpose.	The committee member treats all information shared with the Committee with confidentiality and sensitivity. Should a conflict emerge between anything discussed at the Committee and the member's personal views, this is discussed with the Chair and appropriate mitigation is put in place, up to and including the resignation of the committee member.
An employee (or a Connected Person) has an interest in a company that may provide goods or services to the RSN.	The employee declares the Conflict of Interest to their line manager and excuses themselves from any decision relating to the supply of these goods or services.

## Research related Conflicts of Interest

Potential Conflict	How it could be avoided or managed
<p><b>Conflicts in the Educational Mission</b></p> <p>A student receives support from (is sponsored by) a company in which the proposed academic supervisor has a significant Financial Stake*</p>	<p>The individual with a Conflict of Interest should not be involved in the project. The conflict is declared and an alternative member of academic staff, with no interest in the sponsoring company, is appointed to act as the supervisor for the student.</p>
<p><b>Conflicts Related to Research Practice</b></p> <p>A researcher has a significant Financial Stake* in the company sponsoring the research; the value of the researcher's interest may be affected by the outcome of the research.</p> <p>A researcher holds a position in an enterprise (e.g. as a Director) that may wish to restrict (or otherwise manage) adverse research findings for commercial reasons.</p>	<p>Conflicts of these kinds could be managed or avoided by:  Declining the opportunity to conduct the research; instead arranging for the work to be carried out by another researcher or elsewhere as may be appropriate, or  Appointing an independent investigator who has control over the design and analysis of the research and its results.  In addition, researchers should comply with any additional requirements in the RSN Code of Conduct</p>
<p><b>Conflicts of Commitment / Loyalty</b></p> <p>A researcher is involved in founding a new company, the Policy must be complied with.</p>	<p>The policy applying to the acceptance of external appointments and the conduct of non-academic work, including limits on the amount of time that may be devoted to such activities</p>
<p>An employee is appointed to an external body e.g. Committee, Board, Advisory Group</p>	<p>for Private Consultancy and External Commercial Work.  The scheduling of commitments to such external bodies should be such that they do not result in significant rescheduling of lectures, tutorials or other supervisory or management duties.</p>

Conflicts of Financial Interest	
<p>A Researcher is involved with an external organisation (e.g. as a shareholder or consultant to a spin-out / campus, company or other commercial entity) which creates financial responsibilities to that organisation which conflict with his or her financial responsibilities to RSN</p>	<p>In the case of research contracts with external organisations (in which the researcher has or expects to have a financial interest) being negotiated by RSN, the researcher must have no involvement whatsoever in such negotiations.</p>
<p>A student starts a business whilst at RSN</p>	<p>Academic researchers in a position to judge the quality of that student's work or to evaluate the student in any way, should not take a Financial Stake, or hold a Formal Position** in such a student-run, owned or controlled venture whilst the student is enrolled at RSN.</p>

\*Financial stake means equity, share option or any form of financial interest in such venture.

\*\*Formal position means as member of the Board of Directors, or acting as a paid consultant, or employee or executive of the venture.