**Template Management of Conflicts of Interest Form**

Name:

Email address

Theme/Work area:

Name of line manager:

Email address:

Having a conflict of interest does not, in itself, imply improper motivation or individual

wrongdoing. However, it is important that any conflict of interest is properly identified and

managed. This form takes you through a process of Disclosing, Identifying and Managing your Conflicts of Interest with your line manager/group leader.

Before completing this form, please read the [insert relevant internal policy or procedure]

For more information on Conflicts of interest please see the [insert relevant internal site], the [NHMRC guide](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018#download), or this short (3 min) [video](https://www.nhmrc.gov.au/guidelinesforguidelines/plan/identifying-and-managing-conflicts-interest) that takes you through the basics of disclosures and conflicts of interests and how to manage them. For any assistance, please contact Research Integrity: [insert email address]

*Please note that if you are a recipient of NIH/PHS funding additional funding-specific requirement apply. Please see Appendix 1 of the CoI policy and contact the Grants Office.*

1. Disclose relevant interests

Please disclose all relevant interests that you have. Below are prompts to help you consider your relevant interests. Please note, relevant interests are not only financial in nature, however if you are funded by NIH or PHS you have specific obligations as they relate to significant financial interest. See [here](https://grants.nih.gov/grants/policy/coi/index.htm) for more information.

Please review these examples of relevant interests below. If you are unsure of whether a matter constitutes a relevant interest, please consider just disclosing or contact Research Integrity [insert email]

|  |  |
| --- | --- |
| **Relevant Employment**  **(current or previous)** |  |
| **Relevant grants or funding (ie. NHMRC, philanthropic foundations)** |  |
| **Relevant Board Memberships**  **(paid and unpaid)**  **(current or previous)** |  |
| **Relevant fees paid for services (consultancy, expert testimony, speaking fees, panel payments)** |  |
| **Relevant indirect payments (funding of travel, accommodation, professional development)** |  |
| **Relevant patent applications, planned or pending, including for which you are a named inventor** |  |
| **Relevant stock ownership or options** |  |
| **Relevant royalties**  **(current or future)** |  |
| **Personal relationships with those with the above interests** |  |
| **Any other relevant interests** |  |

3.Manage conflict of interest

Not all relevant interests create a conflict of interest. For each of the interests disclosed in 1, please identify whether they constitute a conflict of interest and outline how you intend to manage these conflicts of interests. You may want to discuss this with your line manager who will be asked to endorse this management plan.

*For examples on how to manage conflicts of interest please see below.*

|  |  |  |
| --- | --- | --- |
| **Relevant interests (from above)** | **Conflict of Interest Overview** | **Management Plan** |
|  |  |  |
|  |  |  |

4. Disclosure statement [Optional]

You may wish to draft a disclosure statement that you can add to publications or presentations to help you disclose your conflicts of interest.

*For examples on disclosure statements please see below.*

4. Sign off

*Please discuss the information in this form with your line manager.*

*By submitting this form, you confirm that you agree to the below declarations and that your line manager has reviewed and endorsed this plan (signature of line manager not required)*

* *I declare that the above details of my private interests are correct to the best of my knowledge and am aware of my responsibilities to take reasonable steps update this disclosure periodically (as agreed with your line manager) throughout the period of my employment with* the organisation *or when new relevant interests arise to ensure they are up to date;*
* *I will co-operate in the formulation of a "conflict of interest management plan" as required;*
* *comply with any conditions or restrictions imposed by* the organisation *to manage, mitigate or eliminate any actual, potential or perceived conflict of interest and/or commitment.*
* *I agree that my conflict of interest management plan must be reviewed when any new relevant interests arise and annually.*

5. Endorsement by Line manager

The line manager listed above has reviewed the disclosure (and plan where applicable) and:

*believes that the plan outlined in form will mitigate or remove the conflict of interest but will continue to monitor the situation.*

*believes this cannot adequately resolve the conflict of interest with the staff member concerned and have referred the matter to the Research Integrity Unity for assistance.*

*By submitting this form to [*insert email address] *, you confirm that you agree to the below declarations and that your line manager has reviewed and endorsed this plan (signature of line manager not required)*

Examples

# RELEVANT INTERESTS

These are examples of potential relevant interests. These are interests that could materially impact your research or work at the organisation. Please note these relevant interests may not constitute a conflict of interest but it’s useful to disclose all relevant interests so you can identify whether these create a conflict down the track. These are indicative hypothetical examples and are not an exhaustive list but it might be useful to think about your own interests as you work down this list to help you identify your own relevant disclosures.

1. Competitive research funding (please note if you receive NIH/PHS funding specific requirements apply- please contact the grants office)
2. Consultancy work you undertake in your personal capacity either through other organisations or your own consultancy firm that relates to your work at the organisation
3. Directly providing scientific, marketing, and other consulting services to companies that relate to your work at the organisation
4. Paid and unpaid membership of boards or advisory committees that relate to your work at the organisation
5. Paid speaking engagements that relate to your work at the organisation
6. Personal relationships that could relate to your work at the organisation e.g
   * Spouse runs IT consultancy business that the organisation receives a tender from.
   * Best friend is Director of a spin off device company that your project/supervisor /colleague is trialling.
   * You are asked to peer review or provide advice on a project that is being run by a Principal Investigator (PI) you have a long-standing dispute with.
7. Direct payment to you by a sponsor or funder of research
8. Shareholdings that could relate to your work at the organisation (for example, if you or your family member owns shares in a company that is supporting your research)

# DEFINITIONS OF CONFLICTS OF INTERESTS

Under [the Code,](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018#download) a conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. 2

Financial Conflicts of interests are the most common and easiest to identify- such as financial relationships, including direct employment, stock ownership, access to grant funding, speaking fees, stipends, etc. This type of conflict includes the financial benefits of an individual that can help them in the future. 3

# MANAGEMENT STRATEGIES FOR CONFLICTS OF INTEREST

“Having a conflict of interest is not in itself unethical, and some are unavoidable. Full transparency is always the best course of action, and, if in doubt, disclose.” US Office for Research Integrity

Please note that simple disclosing the CoI or having a contract in place may not be enough to manage a CoI.

Examples on how to manage conflicts of interest are below. Please note these are indicative hypothetical examples and is not an exhaustive list:

|  |  |  |
| --- | --- | --- |
| **Example of Conflict of Interest** | **Type of Conflict of Interest identified** | **Management Plan (potential options only)** |
| Fauxsponsor are sponsoring a trial that I am PI on and wrote the protocol for. I am also doing some paid consultancy work as a scientific advisor and unpaid speaking tours for the company | Financial conflict of interest as you are paid directly by the company that is also funding your research  Perceived conflict of interest as you are providing scientific advice and doing unpaid speaking tours for a company that has now funded your research  Real conflict of interest- you are undertaking research that is funded by a company you have a pre-existing financial and working relationship with. This could impact the trials conduct and outcomes. | Disclosure of the CoI to all participants and review bodies and in all publications and presentation  Work with Legal and Grants to put in place agreements and funding arrangements that ensure you do not directly benefit from the research funding e.g. the funds go into a group cost centre to cover research costs rather than to you personally.  Take steps to minimise any unintentional bias that may have arisen due to this CoI   * Ensure you blinded to randomisation and data analysis if feasible * Request independent peer review of the protocol be undertaken specifically to examine whether the study design has merit and integrity and is unbiased. * Ensure full disclosure of the CoI at every stage of the research   If it is not feasible to remove your potential influence, consider recusing yourself as PI or terminating the paid appointment with the sponsor |
| Spouse runs IT consultancy that the organisation receives a tender from, and you are on the committee discussing and ultimately approving the tenders. | Financial conflict of interest -as your family may benefit from the tender being successful. | * Disclosure the CoI to the committee chair/ and remind them at committee meetings when relevant * Recuse yourself from the discussions and abstain from voting when your spouses’ company is being discussed * Consider delegating your position on the committee to someone else in your team entirely |
| You sit on a board or government advisory committee that is making decisions that might benefit the organisation future endeavours | Perceived CoI- as your advice may be impacted by your paid employment at the organisation | * Disclose the CoI to both parties and ask the chair of the advisory committee to whether any additional steps are required to manage your CoI |
| You are asked to peer review or provide advice on a project that is being run by a PI you have a long-standing dispute with. | Personal Conflict of interest as your dispute may bias your advice or peer review. Note that conflicts don’t always have to be beneficial! | * Disclose and recuse yourself. |

# EXAMPLE DISCLOSURES STATEMENT

John Trials declares that he has no conflict of interest.

Adam Researcher has received research grants from Drug Company A, NHMRC and the Gates Foundation.

Ibrahim Projects has received a speaker honorarium from Drug Company B and owns stock in Drug Company C.

Dr. Carolyn Doe receives research funding from XYZ, Inc., which is developing products related to the research described in this paper. In addition, Carolyn serves as a consultant/advisor to XYZ, Inc., and receives compensation for these services.

**References**

1. <https://ori.hhs.gov/conflicts-interest-and-commitment> accessed September 2025
2. [NHMRC Disclosure of interests and management of conflicts of interest](https://www.nhmrc.gov.au/file/14503/download?token=YtUTSjW4)
3. <https://ascholarship.com/conflict-of-interest-statement-definition-types-and-understanding/> accessed 17 August 2021



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