Disclosure of Interest Procedure

Section 1 - Introduction

(1) This Procedure must be read in conjunction with the Disclosure of Interest Policy. This Procedure supports the Policy in:

a. protecting the best interests of the University and individuals; and
b. maintaining public trust and confidence in our integrity, professionalism, operations, and activities.

Section 2 - Identifying Conflicts of Interest

(2) To determine whether a conflict of interest exists, individuals must take each of the following elements into consideration:

a. if a personal interest exists;
b. if a public duty exists;
c. if there is a connection between the personal interest and the public duty; and
d. if a reasonable person could perceive that the personal interest may be favoured over the public duty. This is an objective test that considers how a hypothetical individual, who exercises sound judgment and common sense, would act under the same circumstances as the person being assessed.

(3) The Guidance Note – Identifying Conflicts of Interests has been developed to assist with identifying conflicts of interest.

(4) Individuals should also carefully consider the following personal interests from which conflicts commonly arise:

Personal Interests	Examples of how a conflict may arise
Personal Relationships: Individuals must carefully consider how their personal relationships may interact with their University obligations and duties. Personal relationships include: a. familial relationships: including parents, partner, siblings, nieces, nephews, mixed families, spouse/partners family; b. other close personal relationships: close friends, long-term colleagues, intimate personal relationships; c. financial relationships: persons with whom an individual has a commercial relationship and/or from whom the individual benefits financially; d. clubs/associations/organisations: sporting, social, community, or recreational groups with whom the individual has an ongoing relationship.	Example 1: A College member serves on a grant review committee and has to evaluate a research proposal submitted by a close friend.
	Example 2: A staff member is involved in the procurement of a new computer system. The staff member's partner works for one of the tenderers and will receive a bonus if the tender is successful.
	Example 3: A senior manager in a University department is currently in, or has previously had, an intimate relationship with a staff member who reports directly to them.
	Example 4: A staff member is part of a recruitment panel for a research position. One of the applicants is a former student they supervised.
	In these examples, the individual's personal relationship could influence their decision-making that may be required as a University staff member.

Personal Interests	Examples of how a conflict may arise
Significant negative relationships or interactions between individuals may also create a conflict of interest, for example, if a person has made serious allegations about the other person's conduct.	A staff member is a member of a recruitment panel and one of the applicants for the role has previously made a series of complaints about the staff member on the recruitment panel.
Private interests: Individuals will have a range of financial and non-financial private interests which may interact with their University obligations and duties. These can include: a. board memberships; b. shares or investments; c. loans or debts; d. intellectual property; e. personal contracts or agreements; f. donations or philanthropy.	Example 1: A University staff member has a significant shareholding in a private tutoring company. They use their position in Student Central to promote the company's services to students, which could directly benefit their investment.
	Example 2: A University staff member is involved in philanthropic work for an organisation with which the University is considering partnering on a campaign. The staff member is part of the committee making this decision.
	Example 3: A staff member identifies valuable intellectual property developed at the University and recommends to their partner or family member to consider funding commercialisation of the associated research.
Outside work: Whether paid or unpaid, outside work has the potential to conflict with an individual's obligations and duties for the University. Potential sources or future outside work or income may also create a potential conflict of interest.	Example 1: A University staff member engages in paid consulting work for a company that is also a supplier to the University. Their outside employment could influence their decisions in procurement and other University matters. Any University employee in paid outside work must comply with the University's Outside Work Policy.
	Example 2: A University material sciences professor is engaged as a consultant by a private nanotechnology company that has commenced research and development of a new material that is relevant to the professor's research and is in direct competition with the University's research initiatives. This conflict of interest raises concerns about the potential for biased decision-making, misallocation of University resources, or the sharing of confidential research findings to benefit the private nanotechnology company.
Commercialisation: Commercialising research into a product or service, such as starting a private company or patenting a technology, may create complex potential conflicts of interest, such as interfering with academic duties and objectivity.	A University professor is involved in research that leads to the development of a new technology. With the support of the Knowledge Exchange & Enterprise team and in accordance with the provisions of the Intellectual Property Policy and other applicable processes, the professor starts a private company to commercialise the technology. Their role in the company may compromise their objectivity and commitment to their research on the viability of the new technology.
Personal Benefits: When an individual receives personal advantages (such as discounts or incentives) or avoids disadvantages (such as late fees or penalties) this may create a potential conflict of interest in some circumstances.	Example 1: A Researcher receives a personal discount on equipment from a supplier. They then recommend that supplier to their department for the purchase of lab equipment, which could result in further personal benefits for the Researcher. Example 2: A tenderer offers a significant discount on personal services to a staff member who sits on the tender evaluation panel.
Financial: Accepting grants or funding from external organisations has the potential to create a conflict of interest.	A University staff member receives a research grant from an organisation that stands to benefit from the study's findings, potentially influencing the research outcomes.
Gifts, benefits and hospitality: Receiving gifts, travel perks, or other benefits has the potential to create a conflict of interest.	Example 1: A College member receives gifts and travel perks from a textbook publisher. They then advocate for the adoption of that publisher's textbooks in their courses. Example 2: An IFS staff member receives tickets to a football game from an existing contractor. The staff member may be seen as biased or compromised when making future procurement decisions. Example 3: A member of a University selection panel is offered a gift card or complimentary tickets by a job candidate prior to interviews, which may be viewed as an effort to influence their decision making.

Section 3 - Disclosing Conflicts of Interest

Conflicts of Interest

(5) Where it is identified that an actual, potential, or perceived conflict of interest exists, or may exist, the interest must be disclosed promptly in accordance with this Procedure.

(6) If an individual is in any doubt as to whether there may be an actual, potential, or perceived conflict of interest, they must disclose it – even if the relevant circumstances seem minor or unimportant. Erring on the side of caution is the best way to ensure a conflict of interest is appropriately managed.

(7) Where a supervisor; meeting, governance body, or committee chair; or panel convenor becomes aware of a conflict of interest or perceives a conflict of interest that has not been disclosed, they should discuss the matter with the individual and encourage full disclosure in accordance with this Procedure. If the conflict of interest is not disclosed by the individual following such encouragement, then the supervisor; meeting, governance body or committee chair; or panel convenor must submit a Breach Report.

(8) Conflicts of interest must be disclosed as set out below. How a conflict of interest is disclosed depends on the circumstances in which it arises.

Disclosure During the Course of University Business

(9) Conflicts of interest that become apparent during the course of duty or University business must be disclosed by the discloser via the Declaration of Interests Form in Service Now within seven working days of it becoming apparent.

(10) Conflicts of interest that become apparent during a particular activity, process, or project must be disclosed as soon as possible. Where local conflict of interest registers are kept, disclosure must also be made via the Declaration of Interests Form.

(11) Activities, processes, or projects that may be impacted by a conflict of interest include, but are not limited to:

a. recruitment and other human resource activities;
b. student admission, selection, or academic processes including teaching or supervision;
c. procurement / asset disposal activities;
d. donor, sponsorship, grant and scholarship activities, including research;
e. contract or agreement-based activities;
f. commercialisation including licensing or transferring ownership of intellectual property;
g. third party partnership arrangements;
h. debt waivers or concessional terms;
i. commencing or participating in legal proceedings; or
j. staff / student misconduct processes.

(12) Following the disclosure of the conflict of interest, the discloser and the conflict of interest manager must comply with Section 6 in relation to its management.

Disclosure at Meetings and Panels

(13) A person in attendance at a meeting or panel that is scheduled to deal with any of the following, must disclose any conflicts of interest at the commencement of the meeting:

a. matters of University governance;

b. matters that are likely to be impacted by that person's personal interests; or
c. decisions that are dependent on natural justice, including but not limited to:
    i. research misconduct;
    ii. matters relating to the management of human resources, including processes under any particular enterprise agreement;
    iii. tenders, grants, donations, sponsorship, scholarships, recruitment, procurement, contract management or facilities and resources;
    iv. complaints and grievances; and
    v. appeals.

(14) The disclosure may be made in a manner that does not disclose the specific nature of the conflict where this information may breach another person's privacy, but must provide sufficient information to allow the Chair or Panel Convenor to be satisfied that the conflict can be managed without details of its nature being disclosed.

(15) Where a conflict of interest is disclosed at a meeting or panel convenor, the Chair or Panel Convenor is responsible for assessing the conflict of interest and determining the management response in accordance with this Procedure. The Chair or Panel Convenor will declare at the commencement of meeting or panel deliberations that either:

a. no conflict of interest exists in any matter before the meeting; or
b. a conflict of interest exists in relation to a matter before the meeting.

(16) The following information must be recorded in the meeting / panel minutes:

a. that a conflict of interest has been disclosed; and
b. the manner in which it will be / was managed.

(17) The process for managing conflict of interests disclosed in meetings and panels must be in accordance with Section 6, including the submission of the Declaration of Interest Form by the disclosure and documentation of the mitigation taken or management plan by the Chair or Panel Convenor.

(18) For conflicts of interests that are relevant to the conduct of the proposed or ongoing research and are disclosed by Researchers please see clauses 25 – 29.

Section 4 - Disclosure of Personal Interests

(19) Staff are required to disclose personal interests which may affect or interact with their role, duties, or responsibilities for the University in accordance with this Procedure including, in the case of Researchers, any personal interests that may be relevant to ongoing or proposed research that they conduct at the University. Personal interests that are required to be disclosed include, but are not limited to:

a. family and close personal relationships (including spouses, friends or intimate partners) with staff, students or affiliates of the University;
b. all existing or previous intimate personal relationships with employees (where one employee has, or is likely to have, any supervisory, oversight of decision-making responsibilities in relation to the other employee) and students (where the employee has any academic or other decision-making responsibilities in relation to the student) must be disclosed;
c. national and international academic appointments, including non-remunerated appointments and honorific titles, at academic and other organisations not affiliated with the University (other than work disclosed under

the Outside Work Policy);

d. other sources of income or financial support (other than work disclosed under the Outside Work Policy);
e. financial interests (including shareholdings, bonds, investments in real estate, or other beneficial interests);
f. office holding positions in corporations or other organisations;
g. business interests, ventures or partnerships in other organisations including, but not limited to, where the corporation, business venture or other organisation is conducting business with the University or is funding research at the University;
h. positions or membership in professional or business associations, or committee roles;
i. past or current affiliations with foreign government, military, police or intelligence organisations;
j. past or current involvement in talent recruitment programs;
k. other interests which may, to a reasonable person, be considered relevant to the University;
l. in the case of Researchers, any affiliation with any organisation or industry group that may be affected by their research; and
m. any of the above held by a close family member, partner, or significant other, or an associate which may, to a reasonable person, be considered relevant to the University.

Disclosure of Personal Interests

(20) At the commencement of appointment to a role or position with the University, staff and Council members will be required to complete a disclosure of personal interests, as a component of their onboarding.

(21) Staff must also disclose new relevant personal interests as they arise, throughout the course of their employment.

(22) Staff who have made a personal interest disclosure must:

a. update disclosures promptly when there is any change to the circumstances relating to their interest, by reviewing and editing the interest via their My Declared Interests dashboard and re-submitting; and
b. disclose and manage any actual, potential or perceived conflicts of interest in accordance with Section 6 of this Procedure even if the personal interest has been disclosed.

Annual Attestation of Interests

(23) Staff required to complete an annual attestation of interests, as outlined in the Disclosure of Interest Policy, are required to ensure all relevant personal interests are disclosed using the Declaration of Interests Form, or update existing interests via their My Declared Interests dashboard. They must then complete an Attestation of Interest form by 30 November each year. This process will be co-ordinated by Human Resource Services.

(24) Annual attestations will be maintained by Human Resource Services in the disclosure register and in accordance with the Privacy Management Plan and Records Governance Policy.

Disclosure of Personal Interests by Researchers in relation to research

(25) In addition to the requirements of this Procedure, Researchers must disclose personal interests which may be relevant to any proposed or ongoing research that they conduct at the University:

a. to the University in accordance with this Procedure, regardless of whether there is an actual, potential, or perceived conflict of interest. This reflects the requirements in the "Disclosure of interests and management of conflicts of interests – A guide supporting the Australian Code for the Responsible Conduct of Research"; and
b. to funding bodies (including as required by the body's policies, regulations, and rules and any associated grant agreement), research participants, publishers and journal editors, collaborators and the public, where required.

(26) Whilst it is the Researcher's responsibility to determine if a personal interest may or may not be relevant to any proposed or ongoing research, assistance in making this determination may be sought from the Research Ethics and Integrity Unit or the Deputy Vice-Chancellor (Research and Innovation).

(27) Personal interests should be disclosed using the Declaration of Interests Form as soon as a personal interest arises that is relevant to a pending research application or funding research grant, and in any case, within seven days of the personal interest arising.

(28) Researchers must disclose any conflicts of interest as part of the research grants process. This includes:

a. when applying for a grant;
b. when establishing a grant;
c. as part of annual reporting processes for active grants.

(29) Conflicts of interests that are relevant to the conduct of the proposed or ongoing research must be:

a. recorded in the eForm for Research Grants prior to submitting a proposal for external research funding, and again at the time of establishing new research funding;
b. in the case of an actual, potential or perceived conflict of interest (and in addition to (a)) via the Declaration of Interests Form as soon as practicable and, in any case, within seven days of the conflict of interest arising or becoming apparent. The conflict of interest must then be managed in accordance with Section 6.

Section 5 - Gifts and Benefits

(30) Staff and Council members must not solicit nor accept gifts or benefits either for themselves or for another person which might in any way be seen to directly or indirectly compromise or influence them in their official capacity. The University's strong expectation is that gifts and benefits should be declined wherever possible to maintain impartiality and transparency.

(31) Staff and Council members must not accept prohibited gifts or benefits, including (but not limited to) cash, gift cards, vouchers, lottery tickets, shareholdings or credits, or any other gift or benefit that is inappropriate, excessive, or otherwise inconsistent with the University's integrity and conduct obligations. Teachers and Higher Degree by Research (HDR) supervisors, in particular, must make clear to all students at the commencement of their teaching period or supervisory journey that such gifts are prohibited, and that any gifts from students are not encouraged. All prohibited gifts, whether accepted or declined, are classified as reportable and must be disclosed.

(32) Acceptance of reportable gifts from students, or current or prospective suppliers or contractors, is strongly discouraged due to the heightened risk of undue influence, perceived favouritism, or conflicts of interest.

(33) Where exceptional circumstances result in a staff or Council member accepting a reportable gift (e.g. due to cultural norms or refusal being impractical), the gift must be disclosed using the Declaration of Interests Form and the staff member’s manager, or the University Secretary in the case of Council members, must assess whether it is appropriate for the individual to retain the gift or whether alternative treatment is required. Appropriate courses of action might include:

a. donating the gift;
b. using the gift as a raffle prize;
c. disposing of the gift.

Disclosure of Reportable Gifts and Benefits

(34) Staff and Council members who are offered a reportable gift or benefit must complete a Declaration of Interests Form regardless of whether the reportable gift or benefit is accepted or declined, and submit this via ServiceNow (or in the case of Council members to the University Secretary) and comply with the instructions on the form.

(35) The disclosure should be completed within seven working days of the reportable gift or benefit being offered.

(36) Line managers are responsible for reviewing disclosures made by staff members to ensure prohibited gifts are not accepted, to identify potential conflicts of interest, and to assess reportable gifts received from students. Any concerns should be raised with Human Resource Services.

(37) If a staff member is unsure if a gift or benefit is reportable, they should disclose it.

Section 6 - Managing Conflicts of Interest

(38) The conflict of interest manager, in consultation and conjunction with the discloser, is responsible for:

a. taking adequate steps to verify the accuracy of the disclosure commensurate with the seriousness of the conflict;
b. assessing the risk of the conflict of interest, in accordance with the Risk Management Framework;
c. considering all options for managing the conflict of interest, and selecting the most appropriate option(s);
d. documenting the management response;
e. implementing the management response; and
f. where required, submitting a Conflict of Interest Management Plan as part of the disclosure process within seven working days of implementing the management response.

Verifying the accuracy of a declaration of a conflict of interest

(39) The conflict of interest manager, or any other relevant staff member (such as a staff member within Human Resource Services or the Research Division), may take steps to verify the accuracy of the disclosure by:

a. requesting additional information based on the disclosure, including relevant documentation;
b. speaking to any other parties that may be involved or referred to in the disclosure;
c. making other independent inquiries, such as checking company registers.

Assessing the risk of the conflict of interest

(40) The conflict of interest manager must assess the risk associated with the disclosure in accordance with the Risk Management Framework. The outcome of this assessment is a risk rating of extreme, high, medium, low, or insignificant.

(41) Risk factors which should be taken into account when conducting the risk assessment may include:

a. potential consequences if a personal interest was favoured over public duty;
b. activities, transactions, or projects relevant to the context of the conflict of interest;
c. activities relevant to the impacted business unit, division, or college;
d. the discloser’s involvement and their ability to influence;
e. the discloser’s personal interest;
f. potential deviations from University process or probity issues;

g. the potential for foreign interference;
h. public perception; and
i. the duration of the conflict.

(42) To assist in the assessment of these factors see the Conflict of Interest Risk Assessment Considerations.

(43) A risk assessment and overall rating must be documented and submitted by the conflict of interest manager as part of the disclosure evaluation process in Service Now.

Conflict of interest management options

(44) The conflict of interest manager, in consultation with the discloser, must determine the appropriate management option(s). A conflict of interest management option is a strategy or action taken to mitigate, reduce, or eliminate conflicts of interest that have been disclosed. The appropriate management option(s) will depend on the outcome of the risk assessment.

(45) Unless the risk is insignificant, generally, some form of management will be required. It is not sufficient nor acceptable for the discloser to 'manage' a conflict themselves, for example, by 'compartmentalising' the relevant experiences, relationships, or other personals interests which may give rise to the conflict of interest.

(46) Where the risk assessment of a conflict of interest determines the risk to be:

a. extreme, the management option must be to:
    i. remove the person from the relevant activity; or
    ii. not proceed with the activity;
    iii. ensure that the transaction or activity is approved by an appropriate delegate;
b. high, the management option must be to remove the person from the relevant activity, where this is practical. Where the removal of the person from the relevant activity is not practical, the management option(s) must be:
    i. approved by an appropriate delegate; and
    ii. assessed to determine if it will reduce the risk to an acceptable level.

(47) Where a declaration is made in accordance with Clause 19b, a conflict of interest management plan must be implemented that involves permanent alternative teaching, research or working arrangements.

(48) Management options may involve a mix of responses. Management options considered should include:

a. taking no further action (where there is an insignificant risk only);
b. changing the discloser's relevant activities, for example, the discloser:
    i. may recuse themselves from decision-making in relation to an activity giving rise to the conflict of interest; or
    ii. may remove themselves from the conduct of the activity altogether;
    iii. is treated as an arm's length third party, under contractual arrangements, by University staff in the context of the activities giving rise to the conflict; or
    iv. in extreme circumstances, the discloser may resign;
c. changing the discloser's relevant personal interest (for example, the discloser may resign from a directorship giving rise to the conflict of interest or sell or transfer their interest in a company that is giving rise to the conflict of interest); and/or
d. changing the activity, project, system, or process (for example, independent reviewers may be added to a decision-making process for oversight).

(49) The management option(s) chosen should be tailored to the individual circumstances and ensure an appropriate level of confidentiality.

(50) Please see Conflict of Interest Management Options to assist with identifying suitable management options.

(51) While the time required to determine suitable management option(s) will depend on the complexity of the conflict of interest, the general expectation is that a management response should be implemented as soon as practicable and within four weeks of the disclosure for conflicts that are assessed as having a risk rating of medium or above. Unless the risk is insignificant, a person should not continue to act in circumstances where there is a conflict of interest without a management option being implemented. As such, while the management option is being determined, an interim arrangement such as removing the person from the activity may be required.

Documenting the management response

(52) For conflicts of interest risk assessed as 'medium' or higher, a conflict of interest management plan detailing management option(s) must be submitted as part of the declaration process. This is the responsibility of the conflict of interest manager, in consultation with the discloser.

(53) Where the conflict of interest is assessed to be a high or extreme risk, a detailed plan of action must be documented to:

a. allocate responsibilities for actions;
b. determine and allocate monitoring actions;
c. guide the implementation of the management option;
d. record and detail when and how the management option was implemented;
e. state when, how and by whom the management option will be re-assessed to determine whether it is effectively managing the conflict of interest.

(54) For lower risk and/or short-term conflicts of interest, the action taken and/or management option(s) must be documented but a detailed management plan is not required.

(55) All plans of action referred to in clause 52 and 53 must be prepared by the conflict of interest manager and, in some cases, approved by an appropriate delegate (for example, the Spinout Framework requires the Deputy Vice-Chancellor (Research and Innovation)) to sign the management plan).

(56) All plans of action referred to in clause 47 must be prepared by the Associate Director, Workplace Relations, Governance and Policy.

(57) A conflict of interest manager who has received a conflict of interest disclosure that is assessed to be high or extreme risk is encouraged to seek advice and support from Human Resource Services, Legal and Governance Services, and/or the Grants Office (if research related) to manage the conflict, including about the preparation of the detailed plan of management action.

(58) For conflict of interest declarations that are assessed as medium risk or higher, the conflict of interest manager must monitor and periodically report compliance with the documented plan of action. Reporting periods should be agreed with the conflict of interest manager and the discloser and must be at least every six months until the conflict of interest no longer exists. The compliance review must be documented in the ServiceNow declaration.

(59) For research activities or matters where there may be potential for foreign interference by a foreign entity or individual, and where a conflict of interest exists, periodic reporting (at least every six months) of compliance with the documented plan of action for managing the conflict of interest is required to be made to the Deputy Vice-Chancellor (Research and Innovation) until the conflict of interest ceases to exist.

(60) For other activities or matters related to potential for foreign interference by a foreign entity or individual, and where a conflict of interest exists, periodic reporting (at least every six (6) months) of compliance with the documented plan of action for managing the conflict of interest is required to be made to the General Counsel and Chief Governance Officer until the conflict of interest ceases to exist.

(61) For further information in relation to clauses 59 and 60, see the University's National Security Compliance webpage and the Foreign Interference Policy. The receivers of the reports referred to in clauses 59 and 60 must take appropriate action to counter the risk of foreign interference, which may include referring the matter to the Foreign Interference Committee for management, and must store the reports confidentially in accordance with the Records Governance Policy.

(62) Plans of action to manage conflicts of interest assessed as high or extreme must include a further risk assessment post implementation (at least every twelve (12) months) to ensure that the risk has been reduced to an acceptable level. If the risk has not been reduced, or has increased, then the conflict of interest manager must implement additional or different management options, as appropriate, and those options must be documented in an updated plan of action that is approved by an appropriate delegate.

(63) All documents relating to conflicts of interest must be managed in accordance with the Records Governance Policy.

Implementing the management response

(64) The conflict of interest manager is responsible for ensuring implementation of the management option(s). They must:

a. ensure that all agreed changes and control measures are implemented;
b. seek additional resources where required, including approval of;
c. monitor changes in the conflict of interest and introduce additional management options where necessary; and
d. include prompts and reminders to others involved in the activity, project, or matter to disclose any new or changed personal interests or conflicts of interest; and
e. implement reporting requirements outlined in Clauses 59-60.

Section 7 - Managing Non-Compliance

Management Plan Compliance and Reporting

(65) Non-compliance with a management plan must be documented by managers in the management plan compliance report. Different or additional management options may be required and should be documented in an updated plan and approved by a relevant delegate if required.

(66) Suspected, actual or potential non-compliance with this Procedure and the Disclosure of Interest Policy must be reported in accordance with the Compliance Management Framework using a Breach Report.

(67) The University will consider the severity and implications of any breach of the Disclosure of Interest Policy and this Procedure, and may take action in accordance with:

a. the misconduct / serious misconduct provisions of a relevant enterprise agreement;
b. an employment contract;
c. the Research Breach Investigation Procedure;
d. the Student Conduct Rule (for student breaches); or

e. this Procedure.

(68) All investigations into alleged non-compliance with this Procedure and the Disclosure of Interest Policy will be conducted:

a. in accordance with the relevant enterprise agreement, where applicable; or
b. for staff members not covered by an enterprise agreement, by a staff member who is senior to the person who has breached the Procedure, and who is independent of the breach; or
c. where 68(b) cannot be met, by a party independent to the University and the breach.

(69) Records of investigations and actions taken to manage non-compliance must be managed in accordance with the Records Governance Policy.

(70) Persons reporting or dealing with non-compliance with this Procedure and the Disclosure of Interest Policy are required to maintain the highest level of confidentiality.

Section 8 - Complaints

(71) Where a student has concerns regarding the existence or management of a conflict of interest the matter can be discussed with Campus Care or a Student Advocate, or the student's supervisor or relevant senior staff member. If the matter cannot be resolved this way, and the student is concerned that the conflict of interest has not been disclosed or managed in accordance with this Procedure, contact should be made with the Complaints team within Legal and Governance Services, and the matter may be dealt with in accordance with the provisions of the Complaint Management Policy.

(72) Where a community member (other than a staff member or student) is concerned that a conflict of interest of a University staff member or student has not been disclosed or managed in accordance with this Procedure, contact should be made with the Complaints team within Legal and Governance Services, and the matter may be dealt with in accordance with the provisions of the Complaint Management Policy.

(73) Complaints regarding the management of conflicts of interest must be handled in accordance with the Complaint Management Policy and its associated procedure (where made by a student or community member) or the Resolving Workplace Concerns and Grievances Procedure (where made by a staff member).

(74) Despite clauses 71-73, reports of wrongdoing in relation to a conflict of interest will be handled in accordance with the University's Public Interest Disclosures Policy if the requirements for a public interest disclosure in accordance with the Public Interest Disclosures Act 2022 (NSW) are met.

Section 9 - Disclosure Registers

(75) The following Disclosure Registers will be maintained:

Register	Responsibility for Maintaining Register
Conflict of Interest ServiceNow Register (Staff)	Human Resource Services
Conflict of Interest Register (Council)	Secretariat (Legal and Governance Services)
Conflict of Interest TechOne Register	Accounts Payable (Financial Services)
Conflict of Interest Research Register	Research Grants
Conflict of Interest Commercial Activity Register	General Counsel and Chief Governance Officer

Register	Responsibility for Maintaining Register
Personal Interest Register	Human Resource Services
Gifts and Benefits ServiceNow Register	Human Resource Services

(76) All Disclosure Registers must be stored in the University's record management system, in accordance with the Records Governance Policy.

Status and Details

Status	Current
Effective Date	15th May 2026
Review Date	27th November 2028
Approval Authority	Senior Compliance Manager
Approval Date	15th May 2026
Expiry Date	Not Applicable
Responsible Executive	Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au
Enquiries Contact	Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au Human Resource Services

Glossary Terms and Definitions

"University" - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

"Council member" - A person who is a member of the University Council as described in Section 8B of the University of Newcastle Act, 1989.

"Risk" - Effect of uncertainty on objectives. Note: An effect is a deviation from the expected, whether it is positive and/or negative.

"Risk assessment" - The overall process of risk identification, risk analysis, and risk evaluation.

"Working day" - Any day other than Saturday, Sunday, or a public holiday in Newcastle, on which business may be conducted.

"Asset" - Any tangible or intangible item (or group of items) that the University owns or has a legal or other right to control and exploit to obtain financial or other economic benefits.

"Campus Care" - The program which has been set up as a central point of enquiry for information, advice and support in managing inappropriate, concerning or threatening behaviours.

"Course" - When referring to a course offered by the University, a course is a set of learning activities or learning opportunities with defined, assessed and recorded learning outcomes. A course will be identified by an alphanumeric course code and course title. Course types include core courses, compulsory courses, directed courses, capstone courses and electives. For all other uses of this term, the generic definition applies.

"Student" - A person formally enrolled in a course or active in a program offered by the University or affiliated entity.

"Intellectual property" - Intellectual property (IP), as defined by the World Intellectual Property Organisation, refers to creations of the mind: inventions; literary and artistic works; and symbols, names and images used in commerce. Intellectual property is divided into two categories: Industrial property includes patents for inventions, trademarks, industrial designs and geographical indications; and Copyright covers literary works (such as novels, poems and plays), films, music, artistic works (e.g. drawings, paintings, photographs and sculptures) and architectural design.

Rights related to copyright include those of performing artists in their performances, producers of phonograms in their recordings, and broadcasters in their radio and television programs.

"Research" - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.

"Research misconduct" - A serious breach of the Australian Coe for the Responsible Conduct of Research that is intentional, reckless or negligent.

"Senior staff" - Deputy Vice-Chancellor, Pro Vice-Chancellor, Global Innovation Chair, Global Innovation Professorial Fellow, Head of School, Director or equivalent.

"Staff" - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

"Supervisor" - Staff members with direct supervisory responsibility for other staff within the workplace (a Supervisor may also be member of Senior Management, with duties as an Officer as defined in the Work Health and Safety Act 2011, or any replacing legislation).

"University business" - Work that the University has directed to be undertaken which is required, essential, and beneficial for the functions of the University. This includes, but is not limited to, attending meetings, conferences or fieldwork, but does not include activity that is not location specific, e.g. email management, writing papers. University business may be undertaken by staff and non-staff.

"College" - An organisational unit established within the University by the Council.

"Foreign interference" - Foreign interference occurs when activities are carried out by, or on behalf of, a foreign actor that are coercive, clandestine, deceptive or corrupting and are contrary to Australia’s sovereignty, values and national interests.

"Delegate" - (noun) refers to a person occupying a position that has been granted or sub-delegated a delegation of authority, or a committee or body that has been granted or sub-delegated a delegation of authority.