

**ORE 101 Appendix B:**

**UNIVERSITY OF WATERLOO**

**Conflict of Interest Disclosure Form  
(pursuant to [Policy 69](#))**

**and**

**Researcher Declaration of Conflict of Interest**

**Name:** \_\_\_\_\_ **Department:** \_\_\_\_\_

**Title and Rank:** \_\_\_\_\_

**Study Title:** \_\_\_\_\_

**Investigator(s):** \_\_\_\_\_

**ORE #:** \_\_\_\_\_

**Academic Year:** \_\_\_\_\_

This form is intended to answer the requirements for declarations of conflict of interest pursuant to University of Waterloo Policy 69, "Conflicts of Interest," and pursuant to the requirements of the Tri-Council Policy Statement, 2<sup>nd</sup> ed. (TCPS 2).

Part I of this form relates to the [Policy 69](#) requirement. Please refer to Policy 69 for additional explanation of its requirements.

Part II relates to the [TCPS 2](#) requirement. Appropriate excerpts from the TCPS 2 are repeated in Part II below to explain its requirements.

Once identified, conflicts of interest are to be managed according to the terms of Policy 69 and in a manner satisfactory to the REB.

**PART I - POLICY 69 CONFLICT OF INTEREST DISCLOSURE**

1. Compensated External Professional Activity (consulting, board memberships, teaching, etc.)

Company or Organization	Description of Relationship, Form of Compensation, and Conflict or Potential Conflict of Interest

2. Business Interests and Relationships (personal, family or other)

Company or Organization	Description of Relationship, Form of Compensation, and Conflict or Potential Conflict of Interest

### 3. Other External Activities

Company or Organization	Description of Relationship, Form of Compensation, and Conflict or Potential Conflict of Interest

## **PART II - TCPS 2 CONFLICT OF INTEREST DISCLOSURE**

Part II of this form should be used to ensure that any real or perceived conflicts of interest are fully disclosed by all members of the research team as part of the ethical review process and that appropriate steps are taken to minimize or manage the conflict.

“Researchers and research students hold trust relationships, either directly or indirectly, with participants, research sponsors, institutions, their professional bodies and society. These trust relationships can be put at risk by conflicts of interest that may compromise independence, objectivity or ethical duties of loyalty. Although the potential for such conflicts has always existed, pressures on researchers (e.g., to delay or withhold dissemination of research outcomes or to use inappropriate recruitment strategies) heighten concerns that conflicts of interest may affect ethical behaviour.

Researchers’ conflicts of interest may arise from interpersonal relationships (e.g., family or community relationships), financial partnerships, other economic interests (e.g., spin-off companies in which researchers have stakes or private contract research outside of the academic realm), academic interests (e.g., dual role as researcher and instructor) or any other incentives that may compromise integrity or respect for the core principles of this Policy. Conflicts may arise from an individual’s involvement in dual and multiple roles within or outside an institution. While it may not be possible to eliminate all conflicts of interest, researchers are expected to identify, minimize or otherwise manage their individual conflicts in a manner that is satisfactory to the REB.” ([TCPS 2](#), p. 91)

NOTE: For each specific conflict of interest identified below (i.e., a “yes” response), a brief description of the nature of the conflict should be provided along with proposed mitigation mechanisms. **The existence of a conflict of interest, whether real or perceived, does not imply wrongdoing on anyone’s part.**

**Financial Conflicts of Interest:**

Does the principal investigator or any other member of the research team (e.g., co-investigators, collaborators), and/or their partners/spouses or dependents:

<p>1. Have a proprietary interest(s) or potential proprietary interest, in the product under study or the outcome of the research including, but not limited to, patents, trademarks, copyrights and licensing agreements?</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>
<p>2. Within the last 12 months, have a financial, equity or other interest in the sponsor of the study, or a competitor of the sponsor, including, but not limited to, ownership interest, stock options or other financial interest?</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>
<p>3. Receive financial arrangements whereby the value of the compensation could be influenced by the outcome of the study? For example, personal remuneration that is significantly greater for a favourable outcome, or compensation to the investigator in the form of equity interest in the sponsor or a competitor of the sponsor, or compensation tied to sales of product such as royalty interest.</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>

<p>4. Within the last 12 months, receive any payment(s) of other sorts from the sponsor or a competitive company? For example, grants to fund ongoing research, compensation in the form of equipment, travel funds or honoraria? <b>Disclose any amount in excess of \$5000 and state the amount.</b></p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>
<p>5. Are there any other financial conflicts of interest which may affect this research?</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>
<p><b><u>Non-financial conflicts of interest:</u></b></p> <p>6. Are there any other conflicts of interest of a non-financial nature (e.g., interpersonal relationships, academic interests, other incentives) that may affect or influence study participants and impede voluntary participation, restrict participant autonomy or prevent informed choices being made?</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>
<p>7. Is there any other non-financial conflict of interest which may affect the conduct of the research or its scholarly integrity or scientific merit?</p> <p>If <b>yes</b>, please describe:</p>	<p>Yes [ ] No [ ]</p>

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**Mitigation Mechanisms:**

For each conflict of interest identified above, please describe the steps which will be taken to minimize or manage the real, potential or perceived conflict of interest. (Note: as a minimum, **all conflicts of interest should be fully disclosed to participants during the Information and Consent process, preferably in writing in an Information and Consent Letter along with the proposed mitigation mechanism**).

**Declarations:**

I have read the declarations contained in this form and I am satisfied that they fully describe all real, potential or perceived conflicts of interest associated with this research. I am also satisfied that the proposed mitigation mechanisms adequately address the conflict of interest issues described.

Name of Principal Investigator: \_\_\_\_\_

Signature of Principal Investigator: \_\_\_\_\_

Date: \_\_\_\_\_

Name of any additional research team member with conflict: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name of any additional research team member with conflict: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_