



## Disclosure of Interest - FORM 4 *Conflict Permission Request*

If you wish to engage in an activity with or perform services for an entity that is separate from the ANU, the nature and extent of any potential conflicts of interest your proposed relationship with the external entity may create must be evaluated.

In determining whether to grant permission, it is necessary for your supervisor to understand the proposed activities while having regard to your activities at the ANU whilst ensuring the dynamics between the ANU and the external entity will be appropriate should the permission be granted.

An “**External Entity**” may be a company (public or private), association (incorporated or unincorporated), partnership or unincorporated business. ‘External’ means it is an entity that is not under the control of the ANU or one of its subsidiaries (including entities where the ANU maintains an equity holding but not to an extent where it is considered a controlling interest). If you are unsure whether an entity is considered ‘external’, disclose the details of the entity to your supervisor who can seek advice from CGRO at [disclosure@anu.edu.au](mailto:disclosure@anu.edu.au).

The information provided through the following questions is designed to assist in the evaluation of a request to engage in a specific activity that creates a conflict of interest (whether it is perceived, potential or actual). The [Code of Conduct policy](#), the Disclosure of Interest Policy and the Disclosure of Interest Procedure are the documents that articulate how this process is to be managed.

**NB:** As this form is designed to address as many conflict of interest situations as possible, there may be questions that are not applicable. If a question is not applicable, simply answer “Not Applicable” or “N/A”.

Where additional space is required to provide information, please use a **Form 6 – Additional Information Form**.

## Discloser's Information

1. Name of University Representative:
2. College:
3. Department/Centre:
4. Location:
5. Phone Number and/or Extension:
6. Email Address:
7. List all positions you currently hold at the ANU:
  
8. External Entity name (if applicable)
  
9. Period for which conflict is likely to exist: (*may not exceed 5 years*)

If granted, the permission will become effective on the date this request is approved by the Supervisor and will remain valid for the term requested, ending on 30 June of the final year.

**Permission only extends to activities clearly disclosed in this form.**

## SECTION I Reason for Request

### 10. Your activity and Financial Interest(s) In The External Entity (*tick all that apply*)

- 10.1 **Consulting or employment agreement** with an **External Entity** which **has entered, or will be entering**, into a significant contract, research agreement and/or technology licence agreement with the ANU.

Describe and List remuneration "eg. Share, share options, cash" and \$ value (if any):

- 10.2 **Ownership interest in an External Entity** (e.g. partner, proprietor, shareholder, ownership of share options) that has entered into, or will be entering into a significant contract, research agreement and/or technology licence agreement with the ANU.

**10.3 If so, ownership interest is held by which of the following? (Tick all that apply)**

Myself                  Partner/Spouse                  Other

Describe and List % and/or \$ value of ownership

**10.4 Leadership or managerial position(s) at an External Entity that has entered into, or will be entering into, a research and/or technology licence agreement with the ANU.**

If so, list all such positions. (Tick all that apply)

President                  CEO                  CFO

Member of the Board of Directors

CIO                  Director of Research                  Other Officer:

Scientific Advisory Board Member                  Other:

If other, please specify:

**10.5 Other activity or financial interest not described above, please explain in the box provided below:**

**11. Agreement(s) With the External Entity.**

**Licence Agreement(s)**                  and/or                  **Research Agreement(s)**

Additional Information related to the agreement(s):



**Type of Entity:**

21.      Private Company                      Public Company
- Partnership
- Joint Venture                      Association (incorporated or unincorporated)
- Other (describe):

**22. Briefly describe the overall activities/business pursued by the External Entity as per its business plan or prospectus.**

**23. Layman’s description of the technology / intellectual property involved in this disclosure.**

**24. Describe all of your responsibilities at the University:**  
*(Check and describe all that apply)*

**24.1            Teaching / Instruction:**

Describe:

**24.2            Research (including area of research):**

Describe:

**24.3 Service / Administrative:**

Describe:

**24.4 Other:**

Describe:

**25. Supervisory Duties – List all persons at the ANU that you directly or indirectly supervise:**

**Not Applicable**

**Employees**, including academic, administrative staff, post-doctorates and lab personnel:

**Students**, including undergraduate students engaged in research projects and postgraduate students.

**SECTION 3  
Your Responsibilities to The External Entity**

- 26.** Describe your position title(s) with the External Entity and include your responsibilities and the total time commitment involved by hours per week (if applicable).

27. Distinguish how your responsibilities to the External Entity differ from your University responsibilities and identify any areas of potential conflict.

#### **SECTION 4**

#### **External Entity Relationships to University** *Please answer to the best of your knowledge*

28. To the best of your knowledge, list and describe all agreements between the ANU, ANU subsidiaries (e.g. ANU Enterprise Pty Ltd) and the External Entity for the period for which this permission is sought, including the agreements that are currently under negotiation.

Describe (e.g. the contracting parties, nature of the agreement)

29. To your knowledge, are there any other ANU employees and/or students involved with the External Entity?

Yes

No

30. If Yes, describe below including the name of the person and their relationship to the external entity.

**All agreements must be made available for review upon request.**

**SECTION 5**

**Applicable Inventions**

**31.** Are you an inventor, co-inventor or developer of any intellectual property, which the External Entity is using or proposes to use?

Yes                      No                      Not Applicable

If yes, please list below:

**32.** If you are not an inventor or co-inventor, explain your role, if any, in the development of any intellectual property which the External Entity uses or proposes to use.

Not Applicable                      **Or**                      Provided Below:

**SECTION 6**

**Other Activities of Employee**

**33.** List all approved outside activities  
*(Academic Staff, please attach a copy of the corresponding 52 Day Rule Declaration)*

**34.** Are you the chief investigator, co-chief investigator or investigator on any research project for the period for which this permission is sought? If yes, please list all such research grants and contracts.

Yes                      No                      Not Applicable

If Yes, please attach list. *(May be printed from the ANU Research Management System)*

**35.** Do you have a “Significant Financial Interest” in an External Entity as defined by the Disclosure of Interest Framework?

Yes                      No                      Not Applicable

If Yes, please list:

**36.** Do you currently have any proposals or active sponsored projects where the results of the research would have the possibility of affecting the External Entity’s interests, either negatively or positively?

Yes                      No                      Not Applicable

If Yes, please list:

**SECTION 7**  
**Mitigation of Conflicts/Benefits to the ANU**

If this request is granted, actual and/or potential conflicts of interest may result. Please *complete and attach* a **Form 3 – Interest Management Plan**, as it will assist in developing a comprehensive approach to the management of risks/conflicts associated with the interest.

37. Describe the benefits to the ANU if this request were to be granted:

38. Has a Form 3 been completed and attached?

Yes                      No

39. If no, please explain why:

**SECTION 8**  
**Understandings and Agreements**

I **understand and agree** that all my activities with the **External Entity** are carried out in my individual capacity and not as a representative of the ANU.

I **further agree and understand** that breach of this agreement may be grounds for disciplinary action, withdrawing the permission for my outside activities, and terminating any agreement between the ANU and the **External Entity** that relies upon this permission being granted.

Signature of person requesting permission:

Printed Name:

Date Signed:

**SECTION 9**  
**Review and Approval/Disapproval**

<b>Reviewer</b>	<b>Reviewer's Signature</b>	<b>Approved</b>	<b>Rejected</b>	<b>Date</b>
Direct Supervisor				
Dean, Director or Other				

**40.** If permission is rejected, include an explanation why below:

**41.** Supervisors Name:

**42.** Position:

**43.** College:

**44.** Department/Centre:

**45.** Location:

**46.** Phone Number and/or Extension:

**47.** Email Address: