

CONFLICT OF INTEREST POLICY

1. PURPOSE

To describe the responsibilities of staff with respect to a conflict of interest, including identification, avoidance, and management of any conflict of interest.

2. SCOPE

This policy applies to all employees of the University.

3. POLICY

To ensure that the University functions with a high level of integrity and that decisions are seen to be fair and just and any conflict of interest is:

- Identified
- Avoided where reasonably possible
- Declared; and
- Minimised and managed.

Employees are required to declare a potential Conflicts of Interest in accordance with the Conflict of Interest Procedures.

Managers are required to follow the Conflict of Interest Procedures when they become aware of a potential Conflict of Interest, whether declared or not.

A conflict of interest that is not declared or managed, may create risk for the University. Therefore a failure to identify, declare, or adequately manage a Conflict of Interest may be dealt with under the Discipline Policy as misconduct or serious misconduct as that is defined in that policy.

4. DEFINITIONS

Conflict of Interest: A conflict of interest arises where a person has more than one interest in a situation and those interests are, or may become, in conflict with each other. This includes both actual and potential conflicts of interest. For employees of the University, a conflict of interest exists where there is a reasonable perception (either internally such as another staff member, or externally such as a member of the public) that an employee's duties to the University could be affected by some other interest or duty. This can include a situation involving the staff member's financial affairs, personal relationships, or other roles outside the University.

- **Financial affairs:** Includes any time a staff member stands to gain or lose financially, including income, business interests, share value, salary, director's fees, gifts, intellectual property rights, consulting fees or any other thing of monetary value.
- **Personal Relationships:** Includes relatives, close friends, dependent persons, spouse, partner, or anyone where there is or has recently been an intimate relationship.
- **Other roles outside AUT:** Includes being an employee, advisor, director, or partner in another business or organisation, membership in associations, clubs, or societies, holding public office.
- **Previous comments or actions:** If these show bias or predetermination of a decision.
- **Gifts and Hospitality:** Hospitality or a gift should not be accepted where it could be seen as placing the university under an obligation.

5. ELEVANT LEGISLATION

Employment Relations Act 2000

State Sector Act 1988

6. LEGAL COMPLIANCE

The University will comply with its obligations under the State Sector Act 1988 and Employment Relations Act 2000.

7. RELATED PROCEDURES/DOCUMENTS

Conflicts of Interests Procedures

Outside Activities and Supplementary Earnings
Procedures

Research and Consultancy Contracts Policy

Professional Consultancy Contract Procedures

Discretionary Expenditure Policy

Discipline Policy

Disciplinary Procedures

Conflicts of Interest Register

Note: [Policies and Procedures](#) can be found on Tuia.

8. RESPONSIBILITY

All employees are responsible for declaring any conflict of interest that they may have and acting in accordance with this Policy at all times.

Managers in conjunction with People & Culture will be responsible for recording, assessing and managing any conflict of interest disclosed to AUT.

9. DOCUMENT MANAGEMENT AND CONTROL

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