

Conflict of Interest Protocol for National Killam Program

Interest Declaration and Management Process

In order to ensure the integrity of the National Killam Program processes, all relevant interests must be declared and managed appropriately. The parties involved in the National Killam Program include members of: the National Research Council (NRC), the Canada Council for the Arts (CCA), the Killam Trusts, the NRC National Killam Program Office (NKPO), the National Killam Program Advisory Board (NK PAB), the National Killam Program Selection Committee (NKSC) and external peer reviewers. Collectively, these parties will be referred to as “Interested Parties” throughout this document. All Interested Parties will therefore be required to complete and sign a *Confidentiality and Conflict of Interest Declaration Form*, confirming their agreement to abide by the requirements set out therein.

Declaration forms will be kept by the National Killam Program Office (NKPO) and will be reviewed by relevant bodies as required to determine whether a real, potential or apparent conflict of interest exists, and to determine mitigation measures that may be necessary.

At each meeting of the NK PAB and the NKSC, all members will be asked, as a first order of business, to declare if any changes have occurred vis-à-vis their interests related to the National Killam Program, real or potential, or if they have any apparent conflicts of interest and/or if there are any items on the agenda for the meeting for which any member should recuse themselves. If it is determined there is a conflict of interest that cannot be adequately managed, the member will be asked to recuse themselves from the specific agenda item and/or meeting. Any conflicts of interests identified at a meeting will be recorded in the minutes by the NKPO.

A conflict of interest that arises at any time, whether real, apparent or potential, shall be immediately disclosed to the Chair, and/or the NKPO. In the case of the Chair / Co-Chairs, this should be disclosed to the NKPO, who will bring this forward to the NRC Secretary General and the NRC Senior Ethics Officer for assessment.

All Interested Parties will be asked to review their initial declaration form at least annually, make any necessary adjustments, and re-sign the form, to ensure that any change in their activities, interests, or duties and responsibilities is taken into account.

Any member will appropriately recuse themselves from any active discussion in which they have a conflict of interest. A record of this recusal shall be kept by the NKPO and included in the minutes of the meeting at which the conflict arises.

Should information be distributed to interested parties for their consideration outside of a formal meeting, members must advise the NKPO if anything they receive for consideration could cause a real, potential or apparent conflict of interest, and if so why, and then dispose of in a secure manner the material related to that topic, and refrain from providing any advice/opinion on the matter.

Once their assigned term ends, interested parties must not take advantage of, or benefit from, information that was obtained in the course of their duties and that is not available to the public. They also must not assist private entities or persons in their dealings with the National Killam Program, where this would result in preferential treatment of the entities or persons. Former members must continue to hold in strict confidence all information obtained in the course of their duties that is not available to the public.

Definition of Interests

Conflict of interest is defined as a situation in which a person is in a position to derive personal benefit from actions or decisions made in their official capacity (i.e. in their capacity as an external peer reviewer).

- A **real** conflict of interest denotes a conflict that exists at the present time.
- A **potential** conflict of interest is a conflict that could reasonably be foreseen to occur in the future.
- An **apparent** conflict of interest is a conflict that could be perceived by a reasonable observer to exist, whether or not it is the case.

Types of conflict of interest of that could arise:

1. **Scientific/Research:** situations where a member has a professional scientific or research interest, whether directly or indirectly, in the work that would be funded through a Killam Prize or Dorothy Killam Fellowship.
2. **Financial interest:** economic stake in the outcome of National Killam Program decisions. This includes stocks, equities, or bonds; intellectual property rights (royalties, patents, copyright) and any other situation that may result in financial benefit, direct or indirect.
3. **Member of a managing body or equivalent structure:** participation in the internal decision-making (board member, trustee, or director) of a public or private entity with an interest in the outcome of National Killam Program decisions.
4. **Member of an advisory body:** participation in the activities of an advisory body (permanent or ad hoc) whose membership has an interest in the outcome of National Killam Program decisions.
5. **Employment:** any form of regular occupation or business, part-time or full-time, paid, or unpaid, including self-employment (consultancy) that could result in real or apparent conflicts with National Killam Program decisions.
6. **Interests of relatives and associates:** interests in the outcome of National Killam Program decisions held by relatives and associates of the member.
7. **Other relevant interests** meaning any relevant interest not falling under the definitions above, which may include:
 - Exchange of gifts;
 - Long-standing scientific/research, business or personal differences with any individual associated with the National Killam Program, including nominees to the Killam Prize and Dorothy Killam Fellowship and their institutions;
 - Any other circumstances which members feel, for any reason, would jeopardize their ability to provide impartial advice.