

PRIVATE & CONFIDENTIAL

15 November 2024

Mr Tan Lian Huat
10 Choa Chu Kang Grove
#15-22
Singapore 688207

Dear Mr Tan

We are pleased to convey to you an offer of employment with the National University of Singapore ("NUS"), on the following terms and conditions:-

- | | |
|------------------------------------|--|
| 1. Appointment and Department | Associate Director
Executive & Administrative E5 Associate Director
NUS Enterprise |
| 2. Commencement Date | Your employment will commence on the date indicated in the Acceptance section below, which shall be no later than:
16 weeks from the date of this letter |
| 3. Contract Period | 2 Years |
| 4. Probation | 6 Months |
| 5. Annual Base Salary & Allowances | S\$126,000
Monthly Mobile Phone Allowance of \$60 |
| 6. Vacation Leave Entitlement | 21 Days |
| 7. Notice Period | 2 Months |

Where applicable, this appointment is conditional upon your completion of all pre-employment formalities. If you accept this offer, please sign and date the Acceptance section below to signify your acceptance of our terms and return this letter no later than **13 December 2024**.

If you require clarification on the above, please contact:

Ms Analyn Tan
66015928

Yours sincerely

Chung May Shan
Chung May Shan (Ms)
Associate Director, Human Resources

/nbm

- | | |
|------------------------------------|---|
| 1. Appointment & Probation | 1.1 You shall perform such duties as may from time to time be assigned to you in your job and shall comply with all reasonable directions made by NUS. |
| | 1.2 Your employment will be automatically confirmed upon the end of the probation period unless you received prior notice that a further period of assessment is required or your employment will lapse due to unsuccessful completion of your probation. |
| 2. Annual Base Salary & Allowances | 2.1 Your annual base salary and any market allowances (if applicable) will be paid in equal installments over 12 months. The annual base salary includes a variable component of up to 15%, payment of which may be varied or withdrawn at NUS' discretion, depending on economic conditions. |
| | 2.2 Any salary adjustments or payment of allowances/bonuses are discretionary and will be based on your performance. Allowances, if any, will not be included in the computation of salary-based benefits such as bonuses. |
| | 2.3 Annual Market Allowances are subject to periodic review and may be varied or withdrawn, depending on market factors as determined by NUS in its absolute discretion. |
| 3. Deductions | 3.1 NUS may deduct from or off-set against your salary such amounts as may be due from you, arising out of your employment with NUS (e.g. any unearned leave taken, etc), or as NUS may be required to deduct or off-set by law (e.g. by the Central Provident Fund Board). The balance (if any) shall be paid to you in full satisfaction of your salary and you shall have no claim against NUS in respect of any deductions or off-set made. |
| 4. Benefits | 4.1 Vacation leave will be pro-rated accordingly for any incomplete year of service or if you are on part-time employment. Vacation leave of up to 1 year's eligibility, if not utilised during the year, will be carried forward to the following year. |
| | 4.2 You are eligible for a maximum of 14 days of medical leave (without hospitalisation) or up to 60 days (inclusive of 14 days of medical leave without hospitalisation), if hospitalised, per calendar year. Medical leave will be pro-rated accordingly if you are on part-time employment. |
| | 4.3 You are eligible for Insurance-based medical benefits which provides a base coverage of S\$2,500 for outpatient and up to S\$40,000 for hospitalization (inpatient) expenses per plan year, subject to the terms of insurance. In addition, HealthChoice points of up to S\$600 per plan year (pro-rated to the actual period served) may be reimbursed for approved health-related items, including dental care. You may also opt to – |
| | (a) upgrade your medical insurance coverage by co-paying additional premiums using HealthChoice points and / or through salary deduction; or |
| | (b) downgrade your medical insurance coverage and receive additional HealthChoice points in return. |

Where there is a change in your plan eligibility, the new plan eligibility will take effect from the next policy plan year. For details on the plan eligibility applicable to your new appointment, please refer to <https://nusu.sharepoint.com/sites/corporate/policies/HR2/benefits/medical.pdf>.

- 4.4 You are eligible for monthly mobile phone allowance, subject to the terms and conditions of the Handphone, Corporate Mobile Device & Home Internet Access Policy.
- 4.5 Details of the benefits are contained in the [Staff Portal](#), and are accessible from the Commencement Date. All benefits applicable to you (except statutory benefits) are subject to funds availability.
5. Central Provident Fund (CPF) 5.1 CPF contributions will be made by NUS in accordance with the Central Provident Fund Act (Cap. 36) if you are a Singapore Citizen or Singapore Permanent Resident.
6. Confidentiality 6.1 "Confidential Information" means all information (whether recorded or not and in whatever form or media) relating to all or any part of the business, property, assets, technology, activities, services, financial affairs, management and administration of the NUS, including information relating to NUS' staff, students, donors, alumni, business or academic partners, clients, suppliers and any third party dealing with NUS. It shall not include information or material which (i) is now or becomes generally available to the public other than through a breach of your confidentiality obligations, (ii) was made known to you by a third party on a non-confidential basis prior to disclosure or availability to you pursuant to your employment with NUS, or (iii) you are required to disclose pursuant to any judicial order or law.
- 6.2 You shall not, except during and for purpose of the performance of your duties,
- (a) directly or indirectly make use of, disclose, communicate or permit the disclosure or communication to any person of any Confidential Information; or
- (b) copy or reproduce, or permit others to copy or reproduce, in any form, media or device, any documents, data or other material containing or referring to Confidential Information.
- 6.3 You shall inform NUS immediately if you are required to disclose any Confidential Information to a third party pursuant to any judicial order or law and allow NUS to verify the same prior to your disclosure.
- 6.4 You shall return immediately to NUS upon its request all documents, data and other material (in whatever form or medium) held by you containing or referring to Confidential Information.
- 6.5 You shall indemnify and keep indemnified and hold harmless NUS against all losses, damages, costs or expenses which NUS may incur as a result of any unauthorized disclosure or use of the Confidential Information.
- 6.6 Your obligations under this clause shall apply during and after your employment with NUS.
7. Termination of Employment 7.1 Your employment may be terminated by either party giving the other not less than the above notice in writing or by paying a salary amount equivalent to the above notice in lieu of notice.
- 7.2 During the probation period, your employment may be terminated by either party giving the other not less than **1 month's** notice in writing or by paying an amount equivalent to **1 month's** salary in lieu of notice.

7.3 NUS may terminate your employment without prior notice and without payment of any compensation should you:

- (a) be charged with or convicted by a court of law of any crime which, in the opinion of NUS, is likely to bring NUS into disrepute or to render you unfit or incompetent to perform your duties; or
- (b) be, in the opinion of NUS, guilty of insobriety, misconduct or gross impropriety; or
- (c) fail to perform the duties and obligations or observe any of the terms and conditions of your employment; or
- (d) if you are a foreigner, have your Employment Pass or other applicable work pass, whether issued on a temporary basis or otherwise, withdrawn or expired, or if your application for the renewal or extension of the said pass is refused by the relevant authority, whether final or subject to appeal; or
- (e) be certified as unfit to continue in your employment by a medical board appointed by NUS.

7.4 The appointment shall be terminated automatically upon the cessation of the grant/project, for any reason.

7.5 For foreign employees, you shall be responsible for any repatriation and other costs associated with your departure from Singapore upon termination of your appointment unless otherwise provided.

8. Other Terms & Conditions

8.1 Your employment is a full-time appointment and you are expected to serve NUS exclusively and personally attend to all duties required of the appointment.

8.2 Other paid work may be permitted, provided it does not interfere with University duties, and is subject to [NUS' policies, rules and regulations](#) governing staff undertaking consultation work. These are accessible from the Commencement Date, including:

- (a) [Conflict of Interest](#);
- (b) [Consultation Work Scheme](#); and
- (c) [Rules on Acceptance of Non-Executive Directorships and Executive Directorship/Managerial positions](#).

8.3 NUS may effect interdepartmental transfers of staff as it deems appropriate.

8.4 You shall be bound by and conform with all policies, rules and regulations affecting NUS staff as may be in force. These policies, rules and regulations are contained in the [Staff Portal](#), and are accessible from the Commencement Date, including:

- (a) [NUS Intellectual Property](#);
- (b) [NUS Code of Conduct](#); and
- (c) [NUS Personal Data Notice for Staff](#). By accepting this offer, you are giving consent to your personal data being collected and used for NUS' purposes. If you provide NUS with personal data of any other individual, you warrant and undertake that you have obtained their consents for NUS' purposes.

NUS may alter, amend or add to such policies, rules and regulations from time to time and such alteration, amendment or addition shall form part of the terms of your employment.

8.5 The terms of your employment shall be subject to the governance and constitutional documents of NUS and the provisions of all statutes, regulations, policies, procedures, rules and applicable legislation as may be in force from time to time.

8.6 If you are a foreigner or a Singapore Permanent Resident, the terms of your employment may be reviewed and revised if you acquire Singapore permanent residence or Singapore citizenship, as applicable. You must notify NUS immediately on acquiring such status.

9. Governing Law
and Dispute
Resolution

9.1 This contract shall be governed by and construed in accordance with the laws of Singapore and each party agrees to submit to the non-exclusive jurisdiction of the Singapore courts.

9.2 Any dispute or claim arising out of your employment or its terms shall be referred to and finally settled by arbitration in the English language in Singapore pursuant to the Rules of the Singapore International Arbitration Centre by which both parties agree to be bound.

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Where applicable, this offer is conditional upon and subject to the following:-

- (i) The clearance of any checks and referrals deemed necessary by NUS to conduct and your satisfactory completion of all pre-employment formalities. This may include receipt by the University of a satisfactory report from the University Health Centre (UHC) or any medical practitioner approved by NUS on your medical fitness, notwithstanding that you may have commenced the appointment.
- (ii) If you are a foreigner, the Ministry of Manpower ("MOM") granting you an Employment Pass or other applicable work pass.

Foreigners who have obtained in-principle approval of their employment or other applicable work pass applications for stays of 6 months or more may be required to undergo a medical examination. MOM will notify you on whether a medical examination is necessary when they grant you in-principle approval for an Employment Pass or other applicable work pass. The cost of medical examinations incurred by your dependants (if any) will have to be borne by you.

At MOM's request, NUS may provide any information it has pertaining to you that the Government of Singapore may require for purposes of assessing your application for an Employment Pass or other applicable work pass.

- (iii) You not being under obligation to any other employer and not involved in any form of businesses.
- (iv) You possessing or obtaining the necessary regulatory licenses, registrations or certificates for employment that are required for you to perform your role at the University.

Acceptance

I acknowledge and accept NUS’ offer of employment on the terms and conditions as stated in the above-written letter dated **15 November 2024**.

I confirm that I will commence work on : _____

Signature : _____

Full Name : Tan Lian Huat

Identification No.:
(NRIC/FIN/Passport) : _____

Date : _____

In Process

CONFLICT OF INTEREST DECLARATION FORM FOR NEW APPOINTEES

Name: Tan Lian Huat

Appointment: _____

Department(s): _____

A. GENERAL POINTS TO NOTE BEFORE COMPLETING THE FORM

A1. Please answer the questions on this form to the best of your knowledge.

On any declarations on this form, you will be advised on the appropriate resolution (if required) in accordance with the University's Policies and Guidelines.

B. Declaration on Staff Relations

B1. Do you have any known Family Relation¹ or other Relationship² with any job applicant/ staff of the University?

Yes ☐ No ☐

If 'Yes' to B1, please complete Table B1(a) below.

*Table B1(a). Job Applicant/ Staff Details³

Name of Job Applicant/Staff	Designation	Name of Department/Faculty/ School within the University	Nature of Job Applicant/ Staff's Family Relation ¹ or other Relationship ² with you

¹ "Family Relation" refers to your spouse, child, adopted child, stepchild, sibling or parent.

² "Relationship" refers to dealings with any person who you have or had a relationship with that would place you in a conflict of interest situation.

³ Where an asterisk (*) is reflected against an item on this declaration form, this item must be completed (if known).

C. Declaration on Commitments and Activities Outside the University

- C1. When you become an employee of the University, will you have any position (whether paid or unpaid, and dormant or active) and/or undertake any consultation work with an organisation outside the University?

(Please also include positions in Private Education Institutions⁴, charitable organisations or in private practice.)

Yes ☐ No ☐

If 'Yes' to C1, please complete Table C1(a) below.

***Table C1(a). External Position/ Consultation Work Details**

Name of Company or Organisation	Position/ Designation	Brief Description/ Nature of work	Indicate whether during or after working hours	From (DD/MM/YY)	To (DD/MM/YY)	Number of days (1 day = 8 hours)	Amount of remuneration and/or details of benefits in kind

- C2. Will you be involving any NUS students or staff in your outside commitments or activities (paid or unpaid) when you become an employee of NUS?

Yes ☐ No ☐

If 'Yes' to C2, please complete Table C2(a) below.

***Table C2(a). Student/Staff Details**

Name of Student/Staff	Student/Staff Number	Department	Details of work

⁴ The listing of Private Education Institutes is available at [https://www.tpgateway.gov.sg/resources/information-for-private-education-institutions-\(peis\)/pei-listing](https://www.tpgateway.gov.sg/resources/information-for-private-education-institutions-(peis)/pei-listing)

D. Declaration on Other Processes

- D1. Have you created, discovered, or reduced to practice an invention, product, process or other intellectual property that you anticipate will use the University's resources after you become an employee of the University?

Yes ☐ No ☐

If 'yes' to D1, please complete Table D1(a) below.

*Table D1(a). Invention Details

In Process

- D2. Are there any other situations that you think would represent an actual or potential conflict of interest after you become an employee of the University?

Yes ☐ No ☐

If 'yes' to D2, please complete Table D2(a) below.

*Table D2(a). Other Conflict(s) of Interest

Details of the Conflict(s) of Interest
(Please be as detailed as possible and list separately for each conflict)

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform the University immediately of any changes therein.

Signature

Tan Lian Huat

Date

In Process

If 'yes' is answered by the new appointee to any of the questions on this declaration form, Sections E and F are compulsory before Section G is completed by the HR Partner to the appointment:

E. The section below is to be completed by the Reporting Manager:

E1. Comments and Recommendations:

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Name of Reporting Manager

Signature

Date

F. The section below is to be completed by the Reporting Manager's Manager (RM1):

F1. Comments and Recommendations:

In Process

Name of RM1 Signature Date

G. This section is to be completed by the HR Partner of the appointment:

This form is forwarded to OHR Shared Services on [insert date]

Name of HR Partner
of the appointment

Signature

In Process

Updated 18 March 2021

CONFLICT OF INTEREST POLICY FOR NUS STAFF

Policy Document Information				
Policy Document Category:	Administrative			
Policy Document Owner:	Office of Risk Management and Compliance (email: rmcsec@nus.edu.sg)			
Applies:	All Staff			
Effective Date:	1 December 2021			
Intended Use	Avoidance of Conflict of Interests, unless approved, is important to maintain independence and integrity in dealings of interests with the university. Staff is expected to declare all Conflict of Interests immediately.			
POLICY DOCUMENT HISTORY				
Version No.	Approved By	Approval Date	Effective Date	Policy Document Change
V2	President	25 November 2021	1 December 2021	Updated

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1 DEFINITIONS

Please refer to Appendix 1 for the definition of the various capitalised terms used in this Conflict of Interest Policy for NUS Staff. ("**Policy Document**").

2 OBJECTIVES

Avoidance of Conflict of Interests, unless approved, is important to maintain independence and integrity in dealings of interests with the university. Staff are expected to declare all Conflict of Interests immediately.

POLICY STATEMENTS

3 PRINCIPLES

- 3.1 The Policy applies to all staff (as defined in the NUS' Staff Disciplinary Procedures and Sanctions Policy) ("Staff"). A conflict of interest ("Conflict of Interest") occurs when there is a divergence between a Staff's private interests and his/her professional obligations to NUS, such that an independent observer might reasonably question whether the Staff's actions or decisions are determined by considerations of personal gain, financial or otherwise. For the avoidance of doubt, any reference to a "Conflict of Interest" can refer to either an actual or potential conflict of interest, and may be declared by the Staff or otherwise brought to the attention of NUS.
- 3.2 NUS is in a position of trust in relation to many external organizations. In addition, Staff have a responsibility to the government, donors, parents, students, and other sources of resources to use such resources prudently and ethically. Considerations for personal gain, financial or otherwise, must not influence the decisions or actions of Staff in carrying out their responsibilities to NUS.
- 3.3 Accordingly, Staff should be sensitive to situations which could raise questions of actual or potential conflicts between personal interests and NUS' interests. Staff should conduct their affairs so as to avoid or minimize such Conflicts of Interest, and must respond appropriately when Conflicts of Interest arise.
- 3.4 For the avoidance of doubt, the responsibility for avoiding or resolving (where the conflict cannot be avoided) the Conflict of Interest rests, in the first instance, with the Staff.
- 3.5 Deans, Heads and supervisors shall also be alert to situations or work arrangements that create or may create Conflicts of Interest and ensure that any Conflict of Interest is addressed.

4 INSTANCES OF CONFLICTS OF INTEREST

- 4.1 Staff must ensure that they do not place themselves in a position of Conflict of Interest (unless specifically allowed to do so by NUS or pursuant to any policy of NUS), including, but not limited to:

- a. avoiding situations in which their personal or financial interests conflict with those of NUS or which can interfere with their ability to make impartial decisions in the best interests of NUS;
- b. not directly or indirectly exploiting any business opportunities available to NUS for their own benefit, or for the benefit of 3rd parties with which they may be connected with;
- c. not pursuing any interests of their own within the context of doing their jobs that conflict with the interests of NUS;
- d. not accepting or engaging in any employment, consulting, public service, or pro bono work which can result in conflicts with an individual's primary commitment of time and energy to the University and/or which contravenes:
 - (i) the Consultation Work Scheme; or
 - (ii) Rules on Acceptance of Non-executive Directorships and Executive Directorships/Managerial Positions;
 unless prior approval/exception has been granted by NUS;
- e. avoiding situations and/or engaging in activities which may detract from the prestige and standing of the University or the professional stature of the Staff.

4.2 Any Conflict of Interest is to be avoided and must be immediately declared by the Staff.

There is no exhaustive list of situations that could potentially give rise to a Conflict of Interest. Examples of Conflict of Interest are provided below but not intended to be exhaustive:

Use of NUS Property/Information

- a. Using for personal gain or other unauthorized purposes any NUS-funded or supported property (including Intellectual Property), work products, results, materials, property records, or information, facilities and equipment ("NUS Property") (unless specifically allowed to do so by NUS or pursuant to any policy of NUS).
- b. Using for personal gain or other unauthorized purposes, University Data classified as NUS Confidential or NUS Restricted (as defined by NUS' Data Management Policy) acquired in connection with the Staff's NUS- supported activities.

Gifts & Meals

- c. Notwithstanding anything in NUS' Policy of Gifts and Meals, Staff must not accept from any 3rd party any Gifts or Meals if the acceptance of such Gifts or Meals would be perceived as an attempt to influence the Staff to make a decision in favour of that 3rd party or such other party at the request of the 3rd party.

Additional Commitments – Within NUS and with external parties

- d. Accepting any advisory (including non-executive directorships in a company) or consultative role, or position with a 3rd party (as an employee, executive director or in an executive/managerial role in a company, partnership or sole proprietorship),

whether for payment or otherwise which contravenes:

- (i) the Consultation Work Scheme; or
- (ii) Rules on Acceptance of Non-executive Directorships and Executive Directorships/Managerial Positions;

unless prior approval/exception has been granted by NUS.

- e. Part-time staff should seek the prior approval of their respective Heads by way of declaration on the on-line [Ad-hoc Declaration Form](#) for such roles if such roles present a Conflict of Interest or give the appearance of conflict with their responsibilities to NUS.

3rd Party Agreements

- f. Where the Staff has an interest in 3rd party entities who have an agreement or contractual relationship with NUS and/or:
 - (I) is involved in negotiating agreements (contractual or otherwise) between NUS and the 3rd party entities; and or
 - (II) is involved in giving approvals to transactions between NUS and the 3rd party entities.

Such interest in the 3rd party entities would include the Staff:

- (i) having a controlling equity interest in a 3rd party;
- (ii) having a substantial shareholding comprising of 5% or more shares or voting rights in the 3rd party company;
- (iii) being a director of the 3rd party;
- (iv) receiving some form of remuneration from a 3rd party; or
- (v) having a known family relation who falls under paragraphs (i), (ii), (iii), or (iv).

Employment of family relation and other relationship

- g. Be involved in the hiring, supervision and/or evaluation of the work performance of any known family relation or other relationship in NUS.

Involvement in research projects

- h. Where a Staff who is the Principal Investigator or a Co-Investigator, or where a Staff whose appointment is funded in part or whole by the research project, undertakes a consultancy on (i) a research project of NUS; or (ii) a research project where NUS is involved or otherwise affiliated.

5 STUDENT ACADEMIC AND ADMISSIONS PROCESSES

5.1 Notwithstanding anything in this Policy, if a Staff:

- a. (i) has access to the undergraduate and graduate admissions systems, (ii) is involved in any stage of the assessment process of undergraduate and graduate admissions (i.e. setting NUS Entrance Examination/Admissions Test questions, typing, printing, safekeeping and transporting of question papers, marking of examination answer scripts, entering, uploading or checking of marks, examination

processing, etc.), or (iii) is involved in conducting admissions, scholarships and financial aid interview and selection of an applicant; and has a known family relation or other relationship with an applicant;

OR

- b. has access to student academic-related systems and/or is involved in any stage of the assessment process of students (i.e. setting continuous assessment (CA) or examination questions, typing or printing question papers, safekeeping or transporting of question papers, marking of CA or examination answer scripts, entering, uploading or checking of marks, examination processing, etc.) and has a known family relation or other relationship with a student;

the Staff must declare such relationship in accordance with the process provided for such declaration.

6 APPLICATION OF OTHER NUS POLICIES

- 6.1 Staff are reminded to also comply with the following NUS policies which may result in a Conflict of Interest:

- a. The University's Code of Conduct
- b. Conflict of Interest Policy Relating to Spin-off Companies
- c. Consultation Work Scheme
- d. Rules on Acceptance of Non-executive Directorships and Executive Directorships/Managerial Positions
- e. Sponsorship by Industry
- f. Policies Relating to University Intellectual Property
- g. Policy on Acceptance of Gifts and Hospitality by Staff
- h. University Procurement Policy

- 6.2 Staff at Yale-NUS College are reminded to comply with the respective Yale-NUS College policies.

- 6.3 Staff who have an appointment at National University Hospital (NUH) / National University Health System (NUHS) are reminded to comply with the respective National University Hospital (NUH) / National University Health System (NUHS) policies.

7 DECLARATION OF CONFLICT OF INTEREST AND THE MANAGEMENT OF THE PROCESS

- 7.1 To protect NUS, its Staff and students against allegations relating to Conflict of Interest, Staff shall declare any Conflict of Interest during the online Annual Declaration of Conflict of Interest. If the Staff is aware of the Conflict of Interest outside the Annual Declaration period, he/she should declare the conflict in the on-line [Ad-hoc Declaration Form](#).
- 7.2 The President has tasked the Chief Risk Officer (CRO) and his Compliance Unit of the Office of Risk Management and Compliance (ORMC) to manage the annual and ad-hoc COI Declaration and System. The results of the declaration and testing will be reported to management and subsequently shared with the relevant sub committees of the Board of Trustees for their deliberations.
- 7.3 Major faculties, schools and administrative offices have appointed representatives within their departments to support its staff on COI Declaration matters. These representatives are

members of a COI committee working with the Compliance Unit.

8 EXCEPTIONS

- 8.1 At its discretion, NUS may grant an Exception.
- 8.2 All declarations of Conflicts of Interest and requests for an Exception to any Conflict of Interest shall be referred to and reviewed by the Compliance Unit and the COI committee, where needed. In its review, the COI committee may seek the inputs or assistance of appropriate Staff including but not limited to the respective Dean, Head and consult the respective Cluster Head (where necessary), Office of Human Resources (OHR), Senior Management and President. Upon its review, the COI committee shall inform the Staff of its decision and follow-up actions to be taken, if any. The COI committee may also co-opt other Staff to assist on any follow-up actions to be taken as appropriate. The COI committee will work in close consultation with the respective Dean and Head to ensure that follow-up actions (if any) are taken.

9 DECISION REVIEW ON EXCEPTIONS

- 9.1 If a Staff wishes to request that the COI committee reconsider its decision, the Staff should forward his/her request to their designated Reporting Manager. It would be helpful for the Staff to include in his/her request supporting reasons or any new information which would be assist the COI committee and Compliance Unit in its reconsideration.
- 9.2 In its reconsideration, the COI committee may seek the inputs or assistance of appropriate Staff, not limited to those who may have been consulted earlier. Upon reconsideration, the COI committee shall inform the Staff of the final outcome. No further request for review will be entertained and the decision of the COI committee shall be final and binding.

10 NON-COMPLIANCE AND SANCTIONS REGARDING CONFLICT OF INTEREST BREACHES

- 10.1 Non-compliance of Conflict of Interests policy is a breach of the Code of Conduct for NUS Staff. The non-compliance and sanctions are addressed in section 4.1 and 11 of the Code of Conduct for NUS Staff. Section 11 of the [Code of Conduct for NUS Staff](#) refers to the [Staff Disciplinary Procedures and Sanctions Policy](#).

GENERAL

11 REVIEW OF POLICY

- 11.1 This Policy Document shall be reviewed by the Policy Document Owner in accordance with the requirements set out in the University Policy Framework, or more frequently if deemed necessary by the Policy Document Owner. Any recommendation for changes to this Policy Document (whether amendments, repeal or otherwise) must similarly be carried out in accordance with the requirements of the University Policy Framework.

- 11.2 The University shall be entitled to revise, amend or update this Policy Document and to issue additional Policy Documents from time to time. All such revisions, amendments, updates and additions shall be deemed to be a part of this Policy Document. Any revisions, amendments, updates or additions to this Policy Document issued by the University may be published or notified through written notice, electronic mail, the University website, or such other form of communication as the University may deem appropriate.

12 QUERIES

All questions as to the interpretation of this Policy Document shall be referred to the Policy Document Contact.

13 INTERPRETATION

This Policy Document shall be read in conjunction with the University Policy Framework and any Related Documents. Capitalised terms used in this Policy Document that are not otherwise defined shall have the meanings given to them in the University Policy Framework and the Related Documents.

13.1 Headings

The headings of the provisions of this Policy Document are to facilitate reference only and do not form a part of this Policy Document, and shall not in any way affect the construction or interpretation thereof.

13.2 Inconsistency with this Policy Document

In the event of any inconsistency between the requirements set out in this Policy Document and those set out in the Related Documents and any other Policies, Procedures, Guidelines or other documents relating to the subject matter of this Policy Document, the requirements set out in this Policy Document shall prevail unless otherwise stated.

14 ADHERENCE TO POLICY DOCUMENT

Compliance with this Policy Document is mandatory and any failure to comply with this Policy Document (including any arrangements that are established under it) may, at the University's absolute discretion, be investigated and result in such corrective and/or disciplinary action(s) as the University deems fit.

15 RELATED DOCUMENTS

This document should be read in conjunction with the Related Documents set out in Appendix 2.

16 LIST OF APPENDICES

No.	Appendix
1.	Definitions
2.	Related Documents

In Process

APPENDIX 1

DEFINITIONS

In this Conflict of interest Policy for NUS Staff (this “**Policy Document**”), the following words shall have the following meanings:

“Cluster Head”	Refers to the Senior Deputy President & Provost, Deputy President (Research & Technology), Deputy President (Administration & Finance) or Deputy President, NUS Enterprise (Innovation & Enterprise) in relation to their respective clusters. For the purposes of the Staff Disciplinary Procedures and Sanction Policy, Deputy President (Admin & Finance) will be the designated Cluster Head for Staff whose Cluster Head is not the Senior Deputy President & Provost, Deputy President (Research & Technology) or Deputy President, NUS Enterprise (Innovation & Enterprise).
“Controlling Interest”	Refers to (a) holding directly or indirectly 15% or more of the total equity interest of the 3rd party, (although NUS may subsequently determine that a Staff whose total equity interest is 15% or more does not have a controlling interest); or (b) having a right to exercise, or exercises, the capacity to participate in decision-making, directly or indirectly, in relation to the financial and operating policies of the 3rd party.
“Dean”	Refers to the Dean of a Faculty, School or Programme of NUS. “Head” includes the Head of an academic Department or Director of an administrative office, institute, centre, unit or other subdivisions of teaching, research and administration of NUS.
“Family relation”	Refers to a person, means the person’s spouse, child, adopted child, step-child, sibling or parent.
“Financial Interest”	Refers to anything of monetary value gained (whether that value can be easily determined or not). Examples: salary, payments for services, ownership in assets, having equity, creditor or debtor interests in any organisation, intellectual property rights etc.
“Form of Remuneration”	Means the receipt, or expectation of receipt of any monetary value or monetary remuneration from a 3 rd party.
“Indirect”	Refers to ownership beneficially held through another investment, estate, trust or other intermediary. Shareholdings in publicly listed companies are excluded.
“NUS Property”	Any NUS-funded or supported property (including Intellectual Property), work products, results, materials, property records, or information, facilities and equipment.
“Related Documents”	All NUS Policy Documents, internal University legislation, external government legislation, websites, forms, templates, publications and other documents referred to in this Policy Document or related to the subject matter of this Policy Document, as amended and supplemented from time to time, including but are not limited to, the documents set out in Appendix 2 below.

"Relationship"	Refers to dealings with any person who you have or had a relationship with that would place you in a conflict of interest situation.
"Staff"	As defined in the NUS' Staff Disciplinary Procedures and Sanctions Policy

Interpretation

1. The word 'may' when used to bestow a duty or power indicates that the action or decision may be enacted or not, at discretion.
2. For the avoidance of doubt, the words 'must', 'shall' or 'will', if used to bestow a duty or power, indicate that the action or decision is mandatory and must be enacted.
3. A reference to the word 'including' in any form is not to be construed or interpreted as a word of limitation.

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APPENDIX 2

RELATED DOCUMENTS

This Policy Document should be read in conjunction with the following Related Documents:

No	Name of Document
1	Code of Conduct for NUS Staff
2	Conflict of Interest Policy Relating to Spin-off Companies
3	Consultation Work Scheme
4	Rules on Acceptance of Non-Executive Directorships and Executive Directorships/Managerial Positions
5	Sponsorship by Industry
6	Policies Relating to University Intellectual Property
7	Policy on Acceptance of Gifts and Hospitality by Staff
8	University Procurement Policy
9	Yale-NUS College Policy Links
10	NUH/NUHS Conflict of Interest policy (NUHS-HAP-HRM-114)
11	Honorarium and Appointment of Directorship policy (NUHS-HAP-HRM-048)
12	Policies relating to *NUH/NUHS Intellectual Property

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Singapore, Singapore 119077
ohrv147@partner.nus.edu.sg
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Chung May Shan
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Associate Director
NUS
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Chung May Shan

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3builderd@gmail.com
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Senior Manager
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