

**CONSULTING POLICY**  
**for the**  
**ADMINISTRATIVE & PROFESSIONAL EMPLOYEES of**  
**AUBURN UNIVERSITY**

Auburn University recognizes that professional service outside the University can enrich the professional development of its employees, as well as relationships with other universities, state and local governments, and private business and industries, and also contribute to enhancing the reputation of the University. Therefore, the University permits Administrative and Professional (A & P) employees to engage in external consulting.

**Consulting Defined**

Consulting refers to activities in which an A & P employee provides expert advice and/or counsel of a non-continuous nature. Consulting should provide professional enrichment to the employee, and consequently, benefit the University. Therefore, the consulting activity employees engage in should be related to their areas of expertise or specialized knowledge relevant to their employment with the University. Consulting may or may not result in financial payment to the employee. Consulting activities may include (but are not limited to) activities such as the following: providing advice regarding computer systems, designing accounting systems, conducting seminars, designing an electrical system, etc.

The primary criteria in determining whether a particular consulting activity should be encouraged or permitted are 1) the effect of the activity on the individual and the University, and 2) the extent to which the activity will complement the University's programs or interfere with the effective discharge of the employee's responsibilities to the University.

**Conflict of Interest**

A conflict of interest occurs when the private interests of the employee conflicts with their responsibilities as University employees. Such conflicts occur in situations where an employee makes a decision based on personal factors which may not be in the best interest of the University. Employees should avoid both actual and perceived conflicts of interest and therefore must disclose all events and dealings of their requested consulting leave to their supervisor. Some examples of conflicts of interest may include:

- a. Use for personal gain of privileged information acquired in connection with the employee's University responsibilities.
- b. Transmission of non-public information to an outside source with which the employee consults.
- c. Consulting with an outside vendor for which the University employee makes

purchasing or contractual obligations on behalf of the University.

A & P employees may, on occasion, be involved in sponsored research. Such research may present unique situations where conflicts of interest can occur. These employees should consult with Auburn University's Faculty Handbook or other AU references with respect to conflict-of-interest situations in sponsored research.

### **Procedures**

Full time A & P employees who have successfully completed one year of employment with the University, and with a current satisfactory performance record, may be allowed to consult within the areas of their expertise for a maximum of six (6) days within a twelve (12) month period of time, and with the approval of their department head and appropriate dean or director. Exceptions to this must be approved by the appropriate Vice President upon recommendation of the department head, dean or director. Consulting activities will be counted against this maximum of six days per twelve month period; travel days must be counted as consulting time. This policy is not intended to limit consulting activities of employees outside the normal work day, during annual leave, leave without pay, or during the summer.

A formal application, Auburn University *Application for Approval to Engage in External Consulting - AP-10*, must be completed, approved and filed at least ten days in advance for permission to engage in consulting activities other than the traditional functions in professional, scholarly, or honor societies. The AP-10 shall be maintained in a central file in the Office of Planning and Analysis and in the employee's file in Human Resources.

### **General Considerations**

Auburn University will assume no responsibility for the competence of its employees with respect to the performance of extramural professional activities, except those carried out under the auspices of established programs operated by the University.

In connection with extramural professional activities arranged outside established University programs, the name of Auburn University shall not be used for advertising or promotional purposes or in any report or statement that implies approval or endorsement by Auburn University.

No Auburn University stationery or forms may be used in connection with external consulting work or professional practice. Employees shall use their home or other off-campus mailing address, e-mail address and telephone number on correspondence and advertising. Employees should not commit specialized University facilities and equipment or other resources to external consulting projects unless such use is specifically approved in writing in advance by the department head or other appropriate administrator. Employees will be expected to reimburse the University for the use of specialized equipment and facilities as well as materials.

Use of University computer facilities for consulting will also require prior written approval and will be reimbursed at the external user rate. Approval or reimbursement will not be required for the use of the library.

Employees should keep in mind that this University policy is a benefit and any abuse of this policy may result in disciplinary action.

**AUBURN UNIVERSITY**  
**Administrative & Professional Employees**

**APPLICATION for APPROVAL**  
**to**  
**ENGAGE in EXTERNAL CONSULTING**

1. Name	2. Employee ID No.	3. Title
4. Department/Unit	5. E-Mail	
6. Describe nature of work to be performed, location, and for whom.		
7. List dates and number of hours of proposed activity. Indicate travel time separately if involved.		
8. Explain arrangements you have made to ensure that the proposed activity does not interfere with your University responsibilities, such as ensuring that job flow continues.		
<b>VERIFICATION:</b> I will abide by the guidelines set forth in the <i>Consulting Policy for the Administrative &amp; Professional Employees of Auburn University</i> .  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Signature of Applicant</div> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Date</div> </div>		
<b>APPROVALS:</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Department Head or Immediate Supervisor</div> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Date</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Dean/Director</div> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Date</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Vice President (when required)</div> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Date</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Human Resources</div> <div style="width: 45%; border-top: 1px solid black; padding-top: 5px;">Date</div> </div>		
<b>DISTRIBUTION:</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 33%; border-top: 1px solid black; padding-top: 5px;">____ Supervisor/Department Head</div> <div style="width: 33%; border-top: 1px solid black; padding-top: 5px;">____ Vice President</div> <div style="width: 33%; border-top: 1px solid black; padding-top: 5px;">____ Planning &amp; Analysis</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 33%; border-top: 1px solid black; padding-top: 5px;">____ Dean/Director</div> <div style="width: 33%; border-top: 1px solid black; padding-top: 5px;">____ Human Resources</div> </div>		