



Conflict of Interest Update

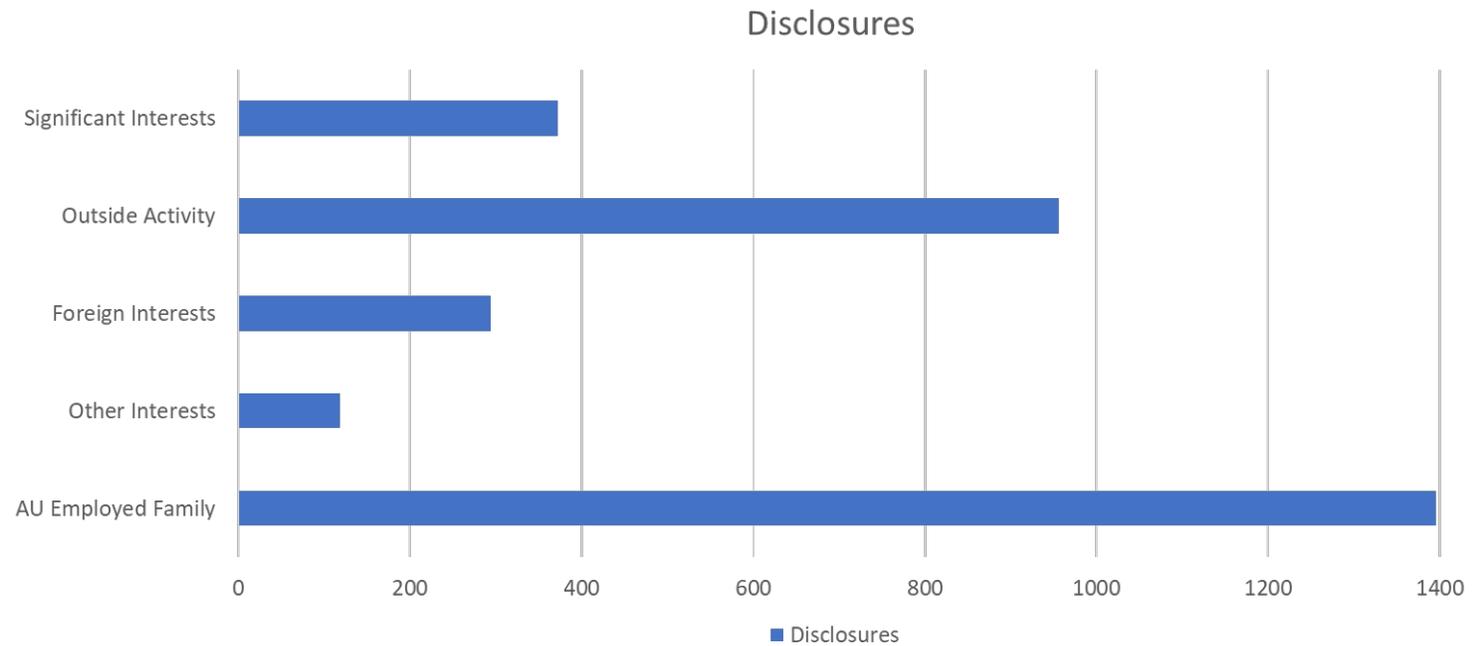
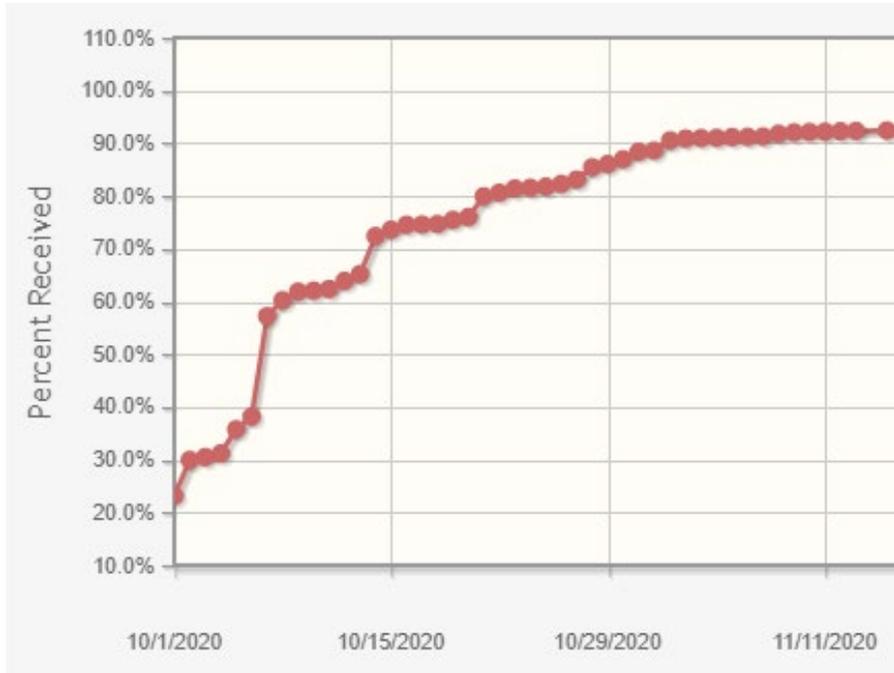
Kristin Roberts, JD, CCEP

Compliance Manager

Office of Audit, Compliance & Privacy

MAY 2020

FY21 Reporting



- 98.7% completed
- Add new employees weekly (never 100%)

FY22 Reporting Requirement

- All full-time AU employees
- July 15 – Aug 30, 2021 for FY22 (instead of Oct)
- Better coincide with Fall hiring and academic calendar
- Includes disclosures for sponsored research
- Update your COI disclosures within 30 days of any change in interests, activities, or relationships at <https://auburn.coi-smart.com>

Conflict of Interest Management



Management Plans

- There will be conflicts (start-ups, consulting, IP, etc.) – not negative
- Management plan **ALLOWS** you to engage in the activity
- Protects **YOU** and the University (transparency, safeguards, oversight)
- We have about 100 management plans currently

Alabama State Law

Applies to **public employees**

Ethics Law

- Cannot use your position for personal gain (you or your family)
- Cannot use equipment, facilities, time, materials, human labor, or other public property for private benefit
- Cannot solicit or receive anything for self or family for purpose of corruptly influencing official action

Nepotism Law

- Cannot appoint or enter a personal service contract with any person related to you within the 4th degree of affinity or consanguinity
- Cannot be the immediate supervisor for, or in the chain of command of, or participate in the hiring, evaluation, reassignment, promotion, or discipline of a person within the 4th degree

Reminders

- Alabama [Statement of Economic Interests](#) is SEPARATE from AU COI
- COI Training *UC100* available June 24 at 3:00 and July 27 at 10:00
- COI e-Learning course *UC110E* available on Fast-Train in AU Access
- Report concerns about any violations anonymously through Ethics Point <https://aub.ie/Report-It>
- Subscribe to our monthly report Case In Point <https://aub.ie/subscribe>



Thank you!

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