
Questionnaire: Employee Conflict of Interest Disclosure FY20

1. Significant Interests

(There may be multiple disclosures for this question)

To your knowledge, do you or any members of your immediate family have a financial interest in, receive any form of compensation from, have a leadership role or serve as a board member for any entity (foreign or domestic) that:

- a) conducts, or may conduct, business with Auburn University, AUM, ACES, or AAES;
- b) is related to your area of professional expertise or your institutional responsibilities; or
- c) is related to your sponsored research, technology commercialization or related activities?

(PLEASE NOTE: This requirement to disclose includes financial interests received from a foreign entity including institutions of higher education or the government of another country in addition to financial interests received from U.S./domestic entities.)

Group 1

Answer Type: *Radio Buttons*

Roles: *General Employee*

Please select Yes or No

Yes
No

Group 2

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Name of the Entity: (If you have more than one entity to disclose, click the green '+' sign below to make another disclosure for this question.)

Group 3

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Provide the entity's physical address (City, State/Province/District, Country):

Group 4

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Provide the entity's web address:

Group 5

Linked To: Group 1 - Yes

Answer Type: *Check Box*

Roles: *General Employee*

Persons involved in this entity (check all that apply):

- Self
- Spouse
- Child (including step)
- Parent (including step and in-law)
- Sibling (including step)
- Grandparent (including step and in-law)
- Grandchild (including step)
- Aunt/Uncle
- First Cousin
- Niece/Nephew
- Other member of household
- Other

Group 6

Linked To: Group 5 - *Self*

Answer Type: *Check Box*

Roles: *General Employee*

How are you involved with the identified entity (check all that apply)

- Financial interest
- Compensation
- Leadership role
- Board member
- Other

Group 7

Linked To: Group 5 - *Spouse*

Answer Type: *Check Box*

Roles: *General Employee*

How is your spouse involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 8

Linked To: Group 5 - *Child (including step)*

Answer Type: *Check Box*

Roles: *General Employee*

How is your child involved in the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 9

Linked To: Group 5 - *Parent (including step and in-law)*

Answer Type: *Check Box*

Roles: *General Employee*

How is your parent involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 10

Linked To: Group 5 - *Sibling (including step)*

Answer Type: *Check Box*

Roles: *General Employee*

How is your sibling involved with the identified entity (check all that apply)

Financial interest

Compensation

Leadership role

Board member

Other

Group 11

Linked To: Group 5 - *Grandparent (including step and in-law)*

Answer Type: *Check Box*

Roles: *General Employee*

How is your grandparent involved with the identified entity (check all that apply)

Financial Interest

Compensation

Leadership role

Board member

Other

Group 12

Linked To: Group 5 - *Grandchild (including step)*

Answer Type: *Check Box*

Roles: *General Employee*

How is your grandchild involved with the identified entity (check all that apply)

Financial interest

Compensation

Leadership role

Board member

Other

Group 13

Linked To: Group 5 - *Aunt/Uncle*

Answer Type: *Check Box*

Roles: *General Employee*

How is your aunt/uncle involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 14

Linked To: Group 5 - *First Cousin*

Answer Type: *Check Box*

Roles: *General Employee*

How is your first cousin involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 15

Linked To: Group 5 - *Niece/Nephew*

Answer Type: *Check Box*

Roles: *General Employee*

How is your niece/nephew involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 16

Linked To: Group 5 - *Other member of household*

Answer Type: *Check Box*

Roles: *General Employee*

How is the other person in your household involved with the entity identified

Financial interest
Compensation
Leadership role
Board member
Other

Group 17

Linked To: Group 5 - *Other*

Answer Type: *Check Box*

Roles: *General Employee*

How is the other person identified involved with the identified entity (check all that apply)

Financial interest
Compensation
Leadership role
Board member
Other

Group 18

Linked To: Group 1 - *Yes*

Answer Type: *Radio Buttons*

Roles: *General Employee*

Do you engage in sponsored research, technology commercialization, or related activities on behalf of Auburn University, AUM, ACES, or AAES

Yes
No

Group 19

Linked To: Group 18 - *Yes*

Answer Type: *Radio Buttons*

Roles: *General Employee*

Is the entity stated above publicly traded or privately held

Publicly Traded
Privately Held (not Publicly Traded)

Group 20

Linked To: Group 19 - *Publicly Traded*

Answer Type: *Check Box*

Roles: *General Employee*

Individually or collectively, does your, your spouse's, or your dependent child's financial interest in or compensation from this publicly traded entity involve (check all that apply):

- Total remuneration in the last 12 months that exceeds \$5000.00
- Equity Interest currently greater than 5%
- Payment of Travel expenses in the last 12 months that exceeds \$5000.00
- Intellectual Property rights, income, or royalties
- Any interest from a foreign institution or government
- None of the above

Group 21

Linked To: Group 20 - *Payment of Travel expenses in the last 12 months that exceeds \$5000.00*

Answer Type: *Text Area*

Roles: *General Employee*

For this paid travel, please identify:

- a) the organizer, if other than the entity;
- b) the purpose of the travel;
- c) the destination(s); and
- d) the duration.

Group 22

Linked To: Group 20 - *Intellectual Property rights, income, or royalties*

Answer Type: *Text Area*

Roles: *General Employee*

For this intellectual property, please provide:

- a.) the type;
- b.) the title;

c.) a brief description; and

d.) stage of development.

Group 23

Linked To: Group 20 - *Any interest from a foreign institution or government*

Answer Type: *Text Area*

Roles: *General Employee*

Please describe in detail the interest from a foreign institution or government.

Group 24

Linked To: Group 19 - *Privately Held (not Publicly Traded)*

Answer Type: *Check Box*

Roles: *General Employee*

Individually or collectively, does your, your spouse's, or your dependent child's financial interest in or compensation from this privately held entity involve (check all that apply):

Total remuneration in the last 12 months that exceeds \$5000.00

Any Equity Interest currently held

Payment of Travel expenses in the last 12 months that exceeds \$5000.00

Intellectual Property rights, income, or royalties

Any interest from a foreign institution or government

None of the above

Group 25

Linked To: Group 24 - *Payment of Travel expenses in the last 12 months that exceeds \$5000.00*

Answer Type: *Text Area*

Roles: *General Employee*

For this paid travel, please identify:

a.) the organizer, if other than the entity;

b.) the purpose of the travel;

c.) the destination(s); and

c.) the duration.

Group 26

Linked To: Group 24 - *Intellectual Property rights, income, or royalties*

Answer Type: *Text Area*

Roles: *General Employee*

For this intellectual property, please provide:

- a.) the type;
- b.) the title;
- c.) a brief description; and
- d.) stage of development.

Group 27

Linked To: Group 24 - *Any interest from a foreign institution or government*

Answer Type: *Text Area*

Roles: *General Employee*

Please describe in detail the interest from a foreign institution or government.

Group 28

Linked To: Group 1 - *Yes*

Answer Type: *Radio Buttons*

Roles: *General Employee*

Does this entity conduct business with or sponsor research at Auburn University, AUM, AAES or ACES

- Yes
- No

Group 29

Linked To: Group 28 - *Yes*

Answer Type: *Text Area*

Roles: *General Employee*

Describe the business or sponsored research (for sponsored research include Project Title, Project Number, and Principal Investigator):

Group 30

Linked To: Group 1 - Yes

Answer Type: *Radio Buttons*

Roles: *General Employee*

Is this entity related to your professional expertise or institutional responsibilities

Yes

No

Group 31

Linked To: Group 30 - Yes

Answer Type: *Text Area*

Roles: *General Employee*

Describe the relationship to your University responsibilities or your professional expertise:

Group 32

Linked To: Group 1 - Yes

Answer Type: *Check Box*

Roles: *General Employee*

Does the identified entity make use of, or receive benefit from, any University resources Check all that apply:

Entity does not use/benefit from any University resources

Physical space

Equipment

Employees (that you supervise in your AU role)

Students (that you have authority over in your AU role)

Other

Group 33

Linked To: Group 32 - *Physical space, Equipment, Employees (that you supervise in your AU role), Students (that you have authority over in your AU role), Other*

Answer Type: *Text Area*

Roles: *General Employee*

Describe the use:

Definitions:

entity:

Any outside business or organization (domestic, foreign, public, private, or non-profit), or foreign institution of higher education or government of another country.

institutional responsibilities:

Your professional responsibilities on behalf of Auburn University, AUM, ACES, or AAES, including, but not limited to, job duties, teaching, advising, research, scholarly activities, outreach, administrative activities, institutional committee service, and service to professional associations or on panels such as peers, institutional or accreditation review boards.

financial interest:

Any interest including, but not limited to, dividends, paid authorship, ownership interests, stock or stock options, intellectual property rights, royalties or paid travel. (DOES NOT include financial interest arising solely by means of investment in a mutual, pension, or other institutional investment fund over the management and investments of which the individual does not exercise control; and DOES NOT include money paid to you by Auburn University, AUM, ACES or AAES).

immediate family:

An "immediate family member" includes a spouse, child, sibling, aunt/uncle, niece/nephew, first cousin, parent, stepchild, stepparent, as well as mother-, father-, son-, daughter-, brother-, or sister-in-law, and any other member of your household.

related activities:

Any undertaking which has the potential to influence sponsored research or technology commercialization. Examples include, but are not limited to: equity interest in or remuneration from a non-publicly traded entity, providing outside services of a professional nature, or state funded contracts.

2. Outside Employment or Consulting

(There may be multiple disclosures for this question)

Have you engaged in any outside professional activity during the past 12 months, or do you have plans to do so in the next 12 months, paid or unpaid, for an entity (foreign or domestic) other than Auburn University, AUM, ACES, or AAES?

(PLEASE NOTE: This requirement to disclose includes interests received from or activities involving a foreign entity including institutions of higher education or the government of another country in addition to interests received from or activities involving U.S./domestic entities.)

Group 1

Answer Type: *Radio Buttons*

Roles: *General Employee*

Please select Yes or No

Yes

No

Group 2

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Name of entity:

Group 3

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Location of Entity (City, State/Province/District, Country):

Group 4

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Your title or nature of work for the entity:

Group 5

Linked To: Group 1 - Yes

Answer Type: *Text Area*

Roles: *General Employee*

Your time commitment or consulting schedule for this entity:

Group 6

Linked To: Group 1 - Yes

Answer Type: *Check Box*

Roles: *General Employee*

As part of this work or consulting engagement do you or this entity make use of, or receive benefit from, any University resources Check all that apply:

Entity does not use/benefit from any University resources

Physical space

Equipment

Employees (that you supervise in your AU role))

Students (that you have authority over in your AU role)

Other

Group 7

Linked To: Group 6 - *Physical space, Equipment, Employees (that you supervise in your AU role)), Students (that you have authority over in your AU role)*

Answer Type: *Text Area*

Roles: *General Employee*

Describe this use:

Definitions:

outside professional activity:

Work or services performed on behalf of an entity other than Auburn University (AU, AUM, AAES, ACES), including activities undertaken for foreign governments, institutions, or entities.

entity:

Any outside business or organization (domestic, foreign, public, private, or non-profit), or foreign institution of higher education or government of another country.

3. Other AU Employed Family

(There may be multiple disclosures for this question)

Do you have any immediate family that you know of working for Auburn University, Auburn University at Montgomery, the Alabama Cooperative Extension System, or the Alabama Agricultural Experiment Station?

Group 1

Answer Type: *Radio Buttons*

Roles: *General Employee*

Please answer Yes or No

Yes

No

Group 2

Linked To: Group 1 - Yes

Answer Type: *Text*

Roles: *General Employee*

Name of immediate family member:

Group 3

Linked To: Group 1 - Yes

Answer Type: *Select List*

Roles: *General Employee*

Family member's relationship to you:

Group 4

Linked To: Group 1 - Yes

Answer Type: *Select List*

Roles: *General Employee*

Select family member's employment organization:

Group 5

Linked To: Group 4 - *Auburn University*

Answer Type: *Text*

Roles: *General Employee*

In what department does this family member work

Definitions:

immediate family:

An "immediate family member" includes a spouse, child, sibling, aunt/uncle, niece/nephew, first cousin, parent, stepchild, stepparent, as well as mother-, father-, son-, daughter-, brother-, or sister-in-law, and any other member of your household.

4. Other Interests

(There may be multiple disclosures for this question)

Do you have any other personal relationships (with non-University individuals) that could affect or appear to affect administrative (including contractual) decisions of the University in which you are participating or have authority over, including but not limited to hiring and purchasing decisions?

Group 1

Answer Type: *Radio Buttons*

Roles: *General Employee*

Please answer Yes or No

Yes

No

Group 2

Linked To: Group 1 - Yes

Answer Type: *Text Area*

Roles: *General Employee*

Describe:

Definitions:

personal relationships:

A relative, friend, partner or romantic interest, or any other individual with whom you have a relationship who is not an employee of Auburn University, AUM, ACES or AAES, which could be perceived by a reasonable person as affecting your objectivity with respect to University-related decisions.

University:

Auburn University, AUM, ACES, and AAES.

5. Other Interests

In the interest of transparency, are there any other circumstances or interests that could be perceived as potential conflicts?

Group 1

Answer Type: *Radio Buttons*

Roles: *General Employee*

Please select Yes or No:

Yes

No

Group 2

Linked To: Group 1 - Yes

Answer Type: *Text Area*

Roles: *General Employee*

Please describe:

6. Certification

You must answer this question whether you are submitting your initial questionnaire, revising your questionnaire, or re-certifying your questionnaire:

By entering my name in the box below, I certify that:

- I have used all reasonable diligence in completing this questionnaire and, to the best of my knowledge, it is true, accurate and complete.
- It is my responsibility to revise this questionnaire within 30 days after a change in a previously-disclosed financial interest or relationship, or after discovering or acquiring a new financial interest or relationship by logging back in to auburn.coi-smart.com and making updates.
- I will comply with the policies, procedures and associated requirements of Auburn University.
- If engaged in sponsored research, technology commercialization, or related activities, I will comply with sponsor regulations related to conflicts of interest, including the management, reduction or elimination of conflicts of interest.

Group 1

Answer Type: *Text*

Roles: *General Employee*

Type full name.

The information provided in this questionnaire may be provided to the research sponsor, including federal agency representatives, and, may be released if required by state or federal law.