

---

## Questionnaire: Employee Conflict of Interest Disclosure FY21

### 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

Please select Yes or No

Yes  
No

#### Group 2

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

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

#### Group 4

Provide the entity's web address:

---

## Group 5

**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

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

## Group 7

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

## Group 8

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

Financial interest  
Compensation  
Leadership role

---

Board member  
Other

## Group 9

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

## Group 10

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

## Group 11

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

Financial Interest  
Compensation  
Leadership role  
Board member  
Other

## Group 12

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

---

### Group 13

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

### Group 14

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

### Group 15

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

### Group 16

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

Financial interest  
Compensation  
Leadership role  
Board member  
Other

---

## Group 17

**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

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

Yes  
No

## Group 19

**Is the entity stated above publicly traded, privately held, or other (For 'other', please indicate non-profit, government entity, etc.)**

Publicly Traded  
Privately Held  
Other

## Group 20

**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

---

**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**

**For this intellectual property, please provide:**

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

## **Group 23**

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

## **Group 24**

**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**

---

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

For this intellectual property, please provide:

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

## Group 27

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

## Group 28

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

Yes  
No

## Group 29

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

---

### Group 30

Is this entity related to your professional expertise or institutional responsibilities

Yes  
No

### Group 31

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

### Group 32

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

Describe the use:

### Group 34

Please briefly describe your, your spouse's or your dependent child's interest in this entity.

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.

---

**compensation:**

Any monies paid or anything of value including consulting fees. This DOES NOT include funding for sponsored awards or contracts administered by Auburn University.

---

## 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

Please select Yes or No

Yes

No

### Group 2

Name of entity:

### Group 3

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

### Group 4

Your title or nature of work for the entity:

### Group 5

Your time commitment or consulting schedule for this entity (Please specify the estimated number of hours devoted to this activity and whether it is per week, per month, or per year):

---

## Group 6

**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

**Describe this use:**

### Definitions:

**outside professional activity:**

Work or services performed on behalf of, or any ownership in, 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. Foreign Interests

Do you currently have, or anticipate having in the next 12 months, any of the following affiliations with foreign institutions of higher education, foreign governments, foreign companies, or foreign nationals?

- Agreements or contracts
- Research collaborations
- Teaching or training engagements
- Consulting engagements
- Talent recruitment programs or Friendship Awards
- Appointments or titles (including guest, honorary, adjunct, or volunteer, with or without salary support)
- Financial interests
- Intellectual property
- Advising or mentoring engagements
- Speaking engagements
- Committees or boards
- Laboratories outside the U.S.
- Travel or site visits paid for by a foreign source
- Program evaluations paid for by a foreign source
- Contracts with or payments to a business owned by you
- Visiting scholars
- Other professional affiliations

#### Group 1

**Please answer Yes or No.**

Yes

No

#### Group 2

**Check all that apply:**

- Agreements or contracts
- Research collaborations
- Teaching or training engagements
- Consulting engagements
- Talent recruitment programs or Friendship Awards
- Appointments or titles (including guest, honorary, adjunct, or volunteer, with or without salary support)
- Financial interests
- Intellectual property
- Advising or mentoring engagements
- Speaking engagements
- Committees or boards
- Laboratories outside the U.S.
- Travel or site visits paid for by a foreign source

---

Program evaluations paid for by a foreign source  
Contracts with or payments to a business owned by you  
Visiting scholars  
Other professional affiliations

### **Group 3**

**Please select the country/countries associated with the affiliation(s) reported above.**

**Select all that apply.**

### **Group 4**

**List the name(s) of the entity/entities with which you have an affiliation:**

### **Group 5**

**Please explain the nature of your professional affiliation(s) with foreign institutions of higher education, foreign governments, foreign companies, or foreign nationals.**

### **Definitions:**

**foreign nationals:**

Foreign nationals are persons who are not citizens of the United States and who are citizens of a foreign country. Foreign nationals include students, visiting scholars, collaborators, and others who are not citizens of the United States.

---

## 4. 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

Please answer Yes or No

Yes

No

### Group 2

First name and last name of immediate family member:

### Group 3

Family member's relationship to you:

### Group 4

Select family member's employment organization:

### Group 5

In what department does this family member work

---

## Group 6

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.

---

## 5. 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

Please answer Yes or No

Yes

No

### Group 2

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.

---

## 6. Other Interests

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

### Group 1

**Please select Yes or No:**

Yes  
No

### Group 2

**Please describe:**

---

## 7. Management Plan

Do you currently have a conflict of interest management plan in place?

### Group 1

**Please select the best answer:**

Yes

No

Yes, but it needs updating

No, but I might need one

---

## 8. 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](http://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

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.