

The background is a solid blue color with a pattern of lighter blue leaf silhouettes scattered across it, particularly visible on the left and right sides.

FINANCIAL CONFLICT OF INTEREST POLICY FOR RESEARCH AND RELATED ACTIVITIES

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University Senate

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COI Policy Goals

- Easy to Interpret and Implement
- Effective
- Not meant as a substitute to already existing policies

Conflict of Interest Policy Outline

- I. Policy Statement
- II. Policy Principles
- III. Effective Date
- IV. Applicability
- V. Policy Management
- VI. Definitions
- VII. Policy Procedures (see AU Procedures for COI Policy)
- VIII. Sanctions
- IX. Exclusions
- X. Interpretation

Policy Statement

It is the intent of Auburn University to manage financial conflicts of interest of its employees as part of ongoing efforts to prevent outcomes that may be harmful to, sponsored activities, operation of regulatory compliance committees, technology transfer efforts, or the University at large. Therefore employees responsible for the design, conduct or reporting of sponsored research and related activities or engaging in Technology Commercialization (Affected Employees) must report Significant Financial Interests and must work with the University to develop a plan to Manage Financial Conflicts of Interest as necessary.

Policy Principles

- Open exchange of ideas free from COI
- AU Employees have the responsibility to report COIs
- As long as Significant Financial Interests are disclosed and financial conflicts are managed, reduced, or eliminated; they need not be a problem.

Applicability

All Auburn University Affected Employees are required to report Significant Financial Interests held by themselves or by their Immediate Family which relate to the Affected Employee's Institutional Responsibilities.

Policy Management

- *Responsible Office:* Office of Research Compliance
- *Responsible Executive:* Associate Vice President for Research and Associate Provost
- *Responsible Officer:* Vice President for Research and Economic Development

Sanctions

- The appropriate Dean, designated Associate Dean, Provost, or Vice President shall utilize the standard disciplinary procedures set forth as a condition of each person's employment with Auburn University to impose sanctions for violation of this policy and accompanying procedures. Other sanctions that might be imposed include but are not limited to:
- Retrospective Review and submission of a Retrospective Report to the appropriate responsible official and/or applicable sponsoring agency;
- Freezing expenditures from involved funds or terminating sponsored or other agreements;
- Revocation of the privilege for engaging in research, sponsored activities, technology transfer and commercialization and/or other scholarly activities;
- Invocation of the AU Research Misconduct Policy in the case of falsification of information as related to a Financial Conflict of Interest.
- Removal from Compliance Committee membership; and/or
- Penalties if the Financial Conflict of Interest is determined to be in violation of the Alabama code of ethics for public officials and employees. (Code of Alabama 1975 Title 36, Chapter 25).

Interpretation

The authorized institutional representative is, for the purposes of this policy, the Vice President for Research and Economic Development.

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Questions?