



AUBURN

UNIVERSITY

Office of Audit, Compliance & Privacy

Office of the Vice President for Research

Changes to Conflict of Interest Disclosures

Goals

- ▶ Reduce employee, investigator & institutional liability
- ▶ Clarify disclosure requirements
- ▶ Streamline & Standardize
- ▶ Improve operational efficiency in research disclosures

Reasons for changes

- ▶ University wide COI/COC disclosure
- ▶ Help employees avoid violations of AU Policy
- ▶ Comply with AL State Ethics Law
- ▶ R1 status and elevated profile
- ▶ Institutional implications & central monitoring
- ▶ Capture ALL research disclosures (PHS, NSF, other) in the general employee disclosure.

Implementation Plans

- ▶ Target start date October 1, 2019
- ▶ ALL employees disclose annually
- ▶ Researchers will complete one disclosure annually that satisfies research COI requirements and Auburn COI requirements
- ▶ Update new SFI, COI, or COC within 30 days
- ▶ Research Integrity will address research specific COI
- ▶ OACP and Research Integrity will collaborate as needed for Management plans

Disclosures

- ▶ ALL Fulltime Employees disclose:
 1. Board/leadership roles, financial interests in business entity or related to AU expertise/responsibilities
 - ▶ Applicable Research related SFIs
 2. Outside employment/professional activities (w/in 12 mo.)
 3. Personal relationships that could affect administrative decisions (employment, pay, purchasing, etc.)
 4. Immediate family working at AU (AUM, AAES, ACES)
 5. Any other potential conflicts of interest

Management Plans

- ▶ If conflict identified that needs management, employee and supervisor will be notified via email
- ▶ Template management plans and guidance provided
- ▶ One management plan per employee as needed
- ▶ Supervisor work with employee to tailor to that situation
- ▶ Periodically review and monitor to ensure plan is followed
- ▶ Research Integrity develops plans related to research only COI

Role of Research Integrity

- ▶ Collect & monitor all Research SFI disclosures (PHS, NSF, other)
- ▶ Coordinate COI management plans with OACP
- ▶ Communicate directly with investigators if desired
- ▶ Resource & support for CLDs, other research admins, & faculty

Role of Compliance & Privacy

- ▶ Collect & monitor all COI disclosures
- ▶ Implement management plans as needed
- ▶ Communicate with employees and supervisors
- ▶ Resource & support for staff, A&P, faculty, admin
- ▶ Consult University COI Committee as needed
- ▶ Preserve public trust in Auburn University operations
- ▶ Promote a culture of compliance and ethics at AU