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| --- | --- | --- | --- |
| Logo  Description automatically generated | Text  Description automatically generated with medium confidence |  | Logo, company name  Description automatically generated |
|  |  |  |  |
| **Employee’s Name**:  | **College/School/Department/Office**:  |
| **Date**:  | **Oversight Manager/Supervisor**:  |
| **Outside Entity/Entities and/or Relationship(s):** | **Plan Reviewer**:  |

## Description

The purpose of this document is to address the management of any such real or perceived conflicts of interest associated with an employee’s responsibilities to the University and their responsibilities to the Outside Entity. In the interest of transparency and to prevent any perceived conflict, this management plan has been implemented in order to protect the employee.

[*Describe Employee’s role as an AU Employee and as a board member for Outside Entity, and where potential conflicts might arise*].

## Safeguards

### Employee agrees to:

1. Disclose the connection to Outside Entity to his/her Supervisor/Oversight Manager and the university.
2. Disclose the connection to Outside Entity to those involved in making decisions to purchase products or services from Outside Entity when it could have the appearance that he could improperly influence such decisions.
3. Refrain from exercising sole discretion to enter an agreement with or to purchase products or services from Outside Entity unilaterally. Approval through appropriate university channels is required.
4. Refrain from engaging in personal business or other outside activities when expected to perform his/her university responsibilities, and to take approved leave/time-off to engage in any outside employment or activities to eliminate a conflict.
5. Refrain from endorsing products and services for Outside Entity, but he/she may serve as a public or private reference for Outside Entity based on honest and factual information.
6. Refrain from approving use of the Auburn University name, logo, or mark by Outside Entity. Approval for such use must be obtained from the Office of Trademark and Licensing.
7. Disclose to his/her supervisor any and all changes that may affect this Plan and update his/her university disclosure online within 30 days of any material change in relationships or financial interests.

## Oversight Plan:

### Oversight Manager agrees to:

1. Exercise reasonable oversight to verify that Employee’s service to or work for Outside Entity, compensated or uncompensated, does not interfere with the Employee’s university responsibilities nor unduly influence his/her university decision-making.
2. Exercise reasonable oversight to verify that Employee does not have sole discretion to enter an agreement with or to purchase products or services unilaterally from Outside Entity.
3. Review this Management Plan with Employee at least on an annual basis to determine progress and what, if any, changes may need to be made to this plan.

EMPLOYEE NAME acknowledges that the university will monitor and evaluate this plan as well as policies related to it, and, at any time should Auburn University (AU) determine, in its sole discretion, that the plan is not sufficient to guard actual or apparent conflicts of interest or is otherwise not in the interest of AU, may determine the conflicts as not capable of management and may ask EMPLOYEE NAME not to pursue the conflicting activities while an employee of AU. EMPLOYEE NAME further acknowledges his/her personal duty to ensure his/her compliance with the Alabama Ethics Law (as applicable) and that this plan is not a substitute for that responsibility.

### Acknowledgement and Agreement

By signing below, I, EMPLOYEE NAME, acknowledge my agreement and intent to comply with the principles and safeguards of this Conflict of Interest/Commitment Management Plan.

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Employee Name Date

Title

Office

ADDITIONAL SIGNATURES ON FOLLOWING PAGE

We approve the above Plan for handling the conflict of interest identified by the employee.

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Oversight Manager Date

Title

Office

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Plan Reviewer Date

Office of Audit, Compliance & Privacy

*Please send proposed plan to* *coi@auburn.edu* *for review and approval signature. Approved plans will be routed back for signatures via Adobe Sign.*

*All final and signed Conflict of Interest/Commitment Management Plans or Agreements shall be sent to* *coi@auburn.edu* *and maintained by the Auburn University Division of Institutional Compliance & Privacy.*