PI/PD Guide to Identify "Affected Employees" on Sponsored Research Subject to the AU Financial Conflict of Interest (FCOI) Policy

AU's FCOI Policy Applies to All "Affected Employees" on a Project

Principal Investigators are Responsible For:
1) Identifying "Affected Employees" on an award and modifying its scope of work and
2) Ensuring "Affected Employees" submit FCOI Disclosure Questionnaires on a timely basis.

Identifying "Affected Employees"

Consider Title and Role in determining whether a person is an "Affected Employee" on a sponsored project.

1-Considering Title
Not an AU Employee (Consultant, Collaborator, etc.)
Never considered an "Affected Employee"

PI, Co-PI, PD, Co-PD named in the proposal for funding, the award or in a subaward, subgrant, subcontract, progress report or an award modification

Postdoc or Grad Student paid on fellowships and their Faculty Sponsor/Mentor
Always considered an "Affected Employee"

Faculty on research grant
Frequently considered an "Affected Employee"

Research Fellow, Research Associate, Postdoc or Grad Student on research grant

Sometimes considered an "Affected Employee"

Other AU Employee (Lab Tech, Extension Agent, etc.)

Rarely considered an "Affected Employee"

2-Considering Role
The person's role is significant enough that they are considered an "Affected Employee" if:

The person has independent responsibility for their contributions to the design, conduct or reporting of research,
or

The person has a level of responsibility so that they can have a meaningful impact on the results of the research,
or

The person directly contributes to the scientific development or execution of a project in a substantive, measurable way.