



CONFLICT OF INTEREST GUIDELINES FOR UTD RESEARCHERS FOUNDING A START-UP COMPANY

Office of Research Compliance

The University of Texas at Dallas has made a commitment to translating the results of UTD research into products and services that benefit the public and spur economic development through commercialization and social entrepreneurship. In line with the ethical conduct of research, the University and its researchers have a responsibility to achieve these goals in a way that mitigates potential Conflicts of Interest when licensing intellectual property created by UTD researchers.

University Responsibilities

The Office of Research Compliance (ORC) manages the Research Conflict of Interest program at UTD. The purpose of the program is to enable researchers to recognize situations that may create a Conflict of Interest, to disclose these situations as required, and to ensure that any potential Conflicts of Interest are mitigated or managed. ORC uses the Conflict Disclosure Portal to collect information from researchers regarding their outside interests on an annual basis. When an outside interest meets the criteria to be considered significant, ORC collects further information from the researcher to determine if the interest creates a potential Conflict of Interest. Most outside interests disclosed by UTD researchers do not require a Conflict of Interest Management Plan.

The ORC implements a Management Plan to ensure UTD researchers are properly able to mitigate or manage a potential Conflict of Interest. Management Plans are structured to allow researchers to continue their relationships with industry in a manner that is consistent with the highest traditions of scientific research and that energizes scientific creativity. The Management Plan recognizes the complex relationships between universities and industry by taking in account all the relationships in the Conflict of Interest situation when determining the proper terms of the Management Plan.

Researcher Responsibilities

The researcher's primary responsibility in the Conflict of Interest process is the disclosure of outside interests to ORC. When an outside interest does create the possibility for a Conflict of Interest, the researcher assists ORC to implement the process to manage the conflict situation, resulting in a Conflict of Interest Management Plan. The key elements of any Conflict of Interest situation are: 1) the researcher's Institutional Responsibilities to UTD; 2) the researcher's responsibilities to and interests in the company; and, 3) any relationship between UTD and the company.

The following items below are key principles of drafting and implementing a Conflict of Interest Management Plan:

- **Separating University duties for research and education from personal interests in the company.**
 - Limit outside professional activities for any for-profit entity to the maximum allowed by UTD policy.
 - Please contact ORC before involving company personnel in UTD research or use UTD facilities for company purposes.
- **Limiting activity when serving in a managerial role or as a board member at the company.**
 - Serve primarily in advisory or consultative roles at the company.
- **Separating and clearly delineating current University research from company research.**
 - Name another UTD researcher as Principle Investigator on research sponsored by the company at UTD.
 - Please contact ORC before receiving research gifts or sponsored research from the company.
 - Please avoid serving in investigatory roles on related research at both UTD and the company simultaneously.
- **Avoiding situations in which students or research staff might feel expected to be involved in company activities.**
 - Disclose interests to students involved in UTD research related to company.
 - Please contact ORC before involving students or research staff in activities at the company.

Please contact Conor Wakeman in the Office of Research Compliance by phone (972-833-4718) or email (conor.wakeman@utdallas.edu) with any questions, comments, or concerns. You can also visit the Conflict of Interest program on the UTD web site, http://www.utdallas.edu/research/orc/conflict_of_interest/.