

Essential Information on UAB Policies & Procedures

Role of UAB Employees in UAB Startup Entities:

If a UAB employee wishes to be involved with a UAB Startup Entity, prior approval must be obtained before any external activity can be undertaken. Appropriate roles for UAB employees in a UAB Startup Entity are scientific or technical roles (chief scientific officer, chief technical officer, scientific advisor/ consultant). In general, approval will not be provided if an employee plans to undertake a managerial role such as a chief executive officer, president, vice president, chief financial officer, chief operating officer or principal officer of a UAB Startup Entity.

Conflict of Commitment/External Activity Reporting:

UAB employees' primary commitment of time and intellectual energies should be to the education, research and scholarship programs of the university. All university employees are required to obtain approval from their department chairs and dean for any external activity, including a UAB Startup Entity. As set forth in HR Policy 128, full-time faculty are limited to twenty (20) typical working days per year and no more than five (5) per quarter for all approved external activities. Full-time faculty exceeding this 20-day limit per year are expected to use nights and weekends, vacation, university or personal holidays. Faculty with nine (9) month appointments may use designated time off.

Use of UAB Students:

An approved UAB Startup Entity may employ graduate students, post-doctoral students and trainees while they are studying/conducting research at UAB if (a) the employment benefits the student's education/ research in his/her academic field of study; (b) the employment does not interfere with the student's ability to complete or publish the student's dissertation or other academic manuscripts; and (c) the student's department manages the relationship between the faculty member and the student to avoid conflicts that may interfere with the student's education/research and ensures that the student's Individual Development Plan (see below) is adhered to. If a student is being taught and/or supervised by a faculty member who has an ownership or financial interest in the company, prior to the student's employment, the student, the faculty member, the chair of the student's department and the Graduate School Dean will create and approve an Individual Development Plan (IDP) that delineates appropriate engagement with the company (www.uab.edu/idp). The faculty member must also (a) ensure that the student's obligations to the company do not interfere with his/her academic obligations and (b) evaluate the student's academic work in a manner that is completely independent of the student's performance for the company.

Use of UAB Resources:

The use of UAB resources by external entities requires disclosure to, and prior approval by, appropriate departmental and school authorities. The charges for use of the resource must be set at an amount equal to all direct and overhead costs associated with providing the resource and making use of it. Use of UAB resources are governed by a contract between

UAB and the external entity, and the UAB Associate Vice President for Financial Affairs must approve the charge structure.

Use of UAB Researchers:

A UAB Startup entity may wish for UAB researchers to conduct a project for the company. This is accomplished through an agreement that is negotiated, reviewed and processed through the UAB Office of Sponsored Programs. Projects should be appropriate for the university setting. For example, routine tests and work that are readily available through commercial entities are generally not appropriate to be conducted at UAB. UAB is required by federal regulation, state law and UAB policies to own any intellectual property developed by its employees and students. However, a research agreement negotiated with UAB allows the sponsoring company to negotiate a license to use any IP developed by UAB while performing the research project.

Alabama Ethics Law:

The Alabama Ethics Law applies to public officials and public employees, including full and part-time UAB employees. Generally, the Alabama Ethics Law requires UAB employees to avoid conflicts of interest and refrain from using public property for personal gain. Unless the business is conducting work at UAB through a negotiated agreement, a UAB employee may not use or cause to be used UAB equipment, facilities, time, materials, human labor, or other UAB property under his/her discretion or control for the private benefit or business benefit of the employee except as otherwise provided by law or pursuant to a lawful employment agreement. Likewise, a UAB employee may not use his/her position with UAB to obtain personal gain for himself/herself, a family member or any business with which the employee is associated.

If you have any questions about any of this information, please email innovation@uab.edu.