

	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Start-Up Company	Existing Company <sup>1, 2</sup>	Company Consultant <sup>3</sup>	Company Consultant <sup>4</sup>	
<b>Situation Variables</b>														
Technology Licensed to Company by GTRC	Yes No	Yes	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes No	Yes No	
Faculty Member's Level of Ownership <sup>5</sup> (%) and Income <sup>6</sup> (\$)	>25%	0% and <\$5,000	0% and <\$5,000	>0%<25% or >\$5000	>0%<25% or >\$5000	<% and <\$5000	0% and <\$5000	>0%<25% or >\$5000	>0%<25% or >\$5000	0% and \$0	0% and <\$5000	0% and <\$5000	0% and >\$5000	
Management Role <sup>7</sup> in Company	Yes No	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	No	
<b>Safe Harbor Parameters</b>														
Disclosure Required	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	
Management Plan <sup>8</sup>	Yes	No	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	No	Yes, if technology licensed		
Advisory Role	<i>Faculty members are permitted to be scientific or technical advisors, or consultants provided these are disclosed and do not require the use of GT resources.</i>													
Use of GT Facilities/Resources by Company	No	Private entities may access Georgia Tech facilities and resources through approved cost centers available to industry or through sponsored research agreements or through specialized services agreements.												
Role of Students	<i>Students currently enrolled in the faculty member's courses or current/future graduate students should not be employed by the start-up and should not be supported by projects sponsored by the company.</i>										May be engaged.	<i>Students should not be involved in the faculty member's consulting.</i>		
Other Research	<b>PIs must disclose real or potential conflict of interest on the Proposal Routing Sheet; sponsors may require notification.</b>													
Research Sponsorship <sup>9</sup>	No	Okay	Okay	Okay	Okay	Okay	Okay	Okay	Okay	Okay	Okay	Okay	Okay	
STTR/SBIR subcontract to Georgia Tech	No	Treated as sponsored research <sup>9</sup> ; full-time GT employees and part-time employees >49% FTE may not be PIs on the company's STTR or SBIR projects. Graduate students should not serve as the PI on company projects.												
Human Subject	<i>All real or potential conflicts of interest must be separately disclosed to the IRB which may require other management steps including disclosure to subjects.</i>													
Animal Research	<i>Animal research must be the subject of a sponsored research agreement.</i>													
Donations	<i>Gifts and donations made or offered by a company in which a faculty member has a financial interest should be negotiated, accepted, and controlled by a school chair, dean or the Provost's office.</i>													

<sup>1</sup> The company has entered or may enter a licensing relationship with GTRC for a technology invented in whole or part by the faculty member.

<sup>2</sup> If the faculty member and/or any member of his/her family has an ownership interest, treat the company as a "Start-Up" for this purpose.

<sup>3</sup> The faculty member has an existing and potentially ongoing consulting relationship with a company in which s/he is not a principal, that is or may transact other business with GTRC or Georgia Tech.

<sup>4</sup> The faculty member has an existing, proposed, or potentially ongoing consulting relationship with a company that is or may transact other business with GTRC or Georgia Tech.

<sup>5</sup> Includes stock, stock options, warranties, or membership or shares in an LLC held by the faculty member and any member of his/her family in the aggregate.

<sup>6</sup> Excludes royalties paid by GTRC to inventor.

<sup>7</sup> Is involved in decision-making or management of the company, is a member of the board of directors, is an officer e.g. president or has a titled position such as general manager, CEO, or CFO.

<sup>8</sup> A *Management Plan* is a written plan to reduce, eliminate or manage real or potential conflicts of interest in design, conduct, and reporting of research and decision-making in other transactions.

<sup>9</sup> The company may enter into a sponsored research agreement with GTRC. The faculty member will not be the PI and his/her students will not be engaged in the research.