

University of Rochester

Guidelines on Research Integrity and Conflict of Interest:  
Graduate Students and Postdoctoral Appointees

Introduction

These guidelines summarize existing policies and establish supplemental guidelines concerning relationships of graduate students and postdoctoral appointees with industry and other entitiesTdf 1(4)T d22f06 0 Td j 0 Tc. (h)Tj ( )Tj -0.002 Tc 0.002 Tw 0.78 0 Td [(Un)-2(i)-4(v)]TJ -0.004

be used in work or consulting not related to the research, educational and service goals of the University and their school.

- 3) Report any consulting activities, financial interests or employment in external entities whose activities are related to, or may appear to be related to, their University research or educational activities. Such disclosures should be made to the research advisor/program director and also submitted to the department chair when they arise, and annually (if required by their advisor/program director), using the University's research [Conflict of Interest Form](#).
- 4) Report promptly discoveries or creation of processes or techniques that have the potential for patentable applications, both to their advisor/program director and to the URVentures Office. The disclosure form and its instructions are located on the [URVentures](#) website. (See below concerning ownership of intellectual property.)
- 5) Discuss any questions they may have about whether a particular situation may be deemed an actual or potential conflict of interest with their research advisor/program director, department chair, and/or school dean/director for graduate studies. This would include any concerns about whether a faculty member, especially those who may be in an advisor or mentor role, may have an actual or potential conflict of interest that may also have created a conflict of obligation regarding their role as an advisor or mentor to students or postdoctoral appointees.

#### **CONFLICT OF COMMITMENT TO PROGRAM AND INSTITUTION**

Students and postdoctoral appointees appointed in Arts, Sciences and Engineering (AS&E) and the School of Medicine and Dentistry (SMD) are ordinarily obligated to devote full-time to their academic activities. AS&E and SMD graduate students may work outside their academic programs

Graduate students in other schools should consult their school's dean/ director for graduate studies for information on these expectations and processes.

There are additional restrictions on work by international students outside of their academic programs. International students and their a

## USE OF EXTERNALLY -OWNED DATA AND DATA SETS

Students or postdoctoral appointees may obtain or have access to data or data sets from an outside entity (e.g., CDC, Bureau of Labor Statistics, private entities) for the purposes of their thesis or research. Such data or data sets are obtained through agreements, which are ordinarily with their advisor/program director or other faculty, but may on occasion be made directly with the student or postdoctoral appointee. These agreements ordinarily require that the data be held in confidence, and may require

Approved by Provost Ralph Kuncl, May 28, 2009  
Updated and approved by Provost Ralph Kuncl, November 19, 2010  
Updated and approved by Provost Ralph Kuncl, May 24, 2011