

# Management Oversight Questionnaire

## Oversight Checklist

### Conflict of Interest and Research Integrity

Introduction. This list of questions is to provide a guideline for members of the Conflicts of Interest Committee (COIC). Answers to these questions may be useful to the COIC and special subcommittees that are appointed by the University to ensure proper management of conflicts of interest that may arise when a member of the University community is involved with an outside Company.

#### 1. Personnel Activities and Financial Issues.

- 1.1. What equity (expressed in terms of number of shares, percentage of all outstanding shares, and fair market value) do University affiliated personnel have in the Company?
- 1.2. What management or operating roles do University affiliated personnel have in the Company?
- 1.3. What board memberships do University affiliated personnel have at the Company?
- 1.4. What are the responsibilities of University affiliated personnel toward the Company?
- 1.5. Do any University students, postdocs, or other professional trainees carry out work (paid or unpaid) for the Company?
  - 1.5.1. Where is this work performed?
  - 1.5.2. If they are paid, what is the source of funds for these payments? How was the amount of compensation decided upon?
- 1.6. If University students or postdocs are involved with the Company, are they doing so through a formal program of study? Is the unit head for their department aware of this arrangement?
- 1.7. Do any other University affiliated personnel receive compensation for consulting or other activities from the Company?
  - 1.7.1. What is the source of funds used to compensate these individuals?
  - 1.7.2. Are University facilities, including computers, used in the performance of these activities?
- 1.8. Are goods or services from the Company being purchased through funds managed by the University?
  - 1.8.1. How does the cost of these services compare to costs charged by other companies, individuals, or organizations?
- 1.9. Has the Company any special arrangements for delivery of goods or services to other businesses or organizations?
- 1.10. If goods or services are provided to the University, how, and by whom, were the costs negotiated?

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- 1.11. Have any SBIR or STTR grants been applied for? Any funded?
- 1.11.1. If there are SBIR or STTR funds, what is the relationship between the objectives of the SBIR/STTR and research objectives of grants held by University affiliated personnel?
- 1.12. For each University member associated with the Company, what is the amount of time that individual spends on Company activities?
- 1.13. For each University member associated with the Company, what is the total amount of time that individual spends on activities outside the University?

### **2. Intellectual Property Issues**

- 2.1. Since inception of the Company, have new inventions been made and disclosed or have new patents been filed? Are new patent or disclosure filings anticipated?
- 2.1.1. If there is any identifiable new invention filed or to be filed, where was the invention conceived, and by whom?
- 2.1.2. Where was the locus of activity for reduction to practice, and where are the research or journal records supporting these inventions? Who are the inventors?
- 2.1.3. Are the new or anticipated inventions related to existing University IP?

### **3. Research Integrity Issues.**

- 3.1. What grants and research programs are currently pursued on campus by Company affiliated University members, whether they be PI's, co-PI's, consultants, students, postdocs, or other research partners?
- 3.2. If University students or postdocs are engaged in research or scholarly activity related to Company goods, services, or objectives, have they been informed in writing of the relationship between the Company and the University and its faculty and staff and of any involvement of other University affiliated personnel with the Company?
- 3.3. In what ways may Company activities influence campus research programs of University affiliated personnel?
- 3.4. What overlap exists between research performed on campus and Company activities?
- 3.5. Are there sponsored research agreements between the Company and University laboratories?
- 3.6. Has any University member entered into agreements with the Company or received support from the Company for research under terms and conditions that results be held confidential, unpublished, or significantly delayed in publication?
- 3.7. Does the Company have any product sales? Are Company products distributed through any other mechanism? What amounts are involved and to whom are products being sold or provided?

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- 3.8. Are any pre-clinical animal or human subject research programs that would have an influence on the Company or on related University managed research underway or anticipated?
- 3.9. Has the IRB, Biosafety Committee, or IACUC been informed of potential conflicts caused by the involvement of University personnel with the Company?
- 3.10. Has any University member been involved in the analysis of data from pre-clinical animal or human subject studies that are related to Company objectives?
- 3.11. Has the relationship between the University member and the Company been reported in the annual COI disclosure to the University?
- 3.12. Has the connection between the University member and the Company been disclosed in presentations, papers, proposals, and reports on scientific matters related to Company interests?
- 3.13. Has the University member used or developed any current or prospective products of the Company or in any way measured, tested, or exploited the efficacy of those products in University-based research?

### **4. General Oversight Issues.**

- 4.1. Are current Company and individual activities compliant with prior submissions to the COIC?
- 4.2. Are the Company and individuals responsive to Requests for Information (RFI's) from the committee?
- 4.3. If plans or milestones have been agreed upon (for example, dilution of equity or removal of University members from managerial roles), has appropriate progress been made?
- 4.4. Have any exceptions to University policy been granted to a University member affiliated with this Company? Are the conditions of this exception being met? Have circumstances related to the exception changed?
- 4.5. If the Company has a web site, is it independent of the University? Is it linked to or from University web sites? Does it refer to on-campus activities or communicate that there is a relationship between the Company and the University objectives beyond our formal agreements?
- 4.6. Does the Company use a University postal address, e-mail address, or telephone number?
- 4.7. Are members of the family of a University member involved with the Company (for example, do they receive any compensation, or have financial, managerial, or ownership interests)?
- 4.8. Are University computers or other facilities used to transact Company business?