**Questionnaire for**

**Startup Conflicts-of-Interest (COI) Committee Review**

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| **INSTRUCTIONS** |
| **Please answer all the questions,** preferably in blue (or non-black) font. There are no character limits for each answer. If you do not know the answer, or it does not pertain to your circumstances, please fill in “N/A”.  As a supporting document, please see the “COI Guidelines” document attached at the end of this Questionnaire. In it, you will find details of Rutgers COI policies, types of conflicts, and the COI review process.  If you have any questions regarding this form, please contact the Director of Research Integrity (Glenn Krell: [gk434@ored.rutgers.edu](mailto:gk434@ored.rutgers.edu)) or the New Ventures team (Luis Ahn: [luis.ahn@rutgers.edu](mailto:luis.ahn@rutgers.edu)). |

1. **Personal Details:**

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| 1. **Full Name** |
| Please fill-in |
| 1. **Department** |
| Please fill-in |
| 1. **Contact Information** |
| 1. Email: Please fill-in 2. Phone: Please fill-in |

1. **Startup Description:**

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| 1. **Full Name of the Company** |
| Please fill-in |
| 1. **Date Founded** |
| Please fill-in |
| 1. **Name(s) of Co-Founder(s)** |
| Please fill-in |
| 1. **Company Location(s)**   *Include office or laboratory space, if separate* |
| 1. List addresses Please fill-in 2. Are any of the above your personal/home address? Please fill-in |
| 1. **Rutgers Technology to be Licensed and Commercialized**   *(If you are unsure about the answers to the below, please contact your licensing manager)* |
| 1. Docket # and title Please fill-in 2. Patent status Please fill-in |
| 1. **Please provide a copy of the company’s business plan**   *As part of negotiating licensing terms with Rutgers, the startup is required to submit a business plan (slide deck is sufficient). If you/the startup do not have a slide deck, please contact the New Ventures Manager.* |

1. **Investments:**

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| 1. **Investments & Source**   *Please include the approximate dollar amount that the startup has raised, and the source of such investment(s).* ***This includes non-dilutive funding (SBIR and other grants)****. If cumulative investments total <$10,000 to-date, you may enter “N/A” for section 10(a). For pending or anticipated investments, you may enter a broad description for sources (e.g., “VC”, “Angel Group”, “Co-Founders”, “SBIR”), if you are unable to provide the fund name at this time.* |
| 1. Cumulative to-date   Please fill-in   1. Pending investments (*investments currently being negotiated*)   Please fill-in   1. Anticipated investments (*investments budgeted/planned for the next 12 months*)   Please fill-in |

1. **Role in the Startup:**

*A Faculty member taking a fiduciary (decision-making) role at a startup may conflict with the responsibilities and obligations as a Rutgers employee:* ***a Faculty member is first and foremost an employee of Rutgers****. With that said, the COI Committee recognizes the early stage nature of startups, and may allow Faculty to serve in a management role for a* ***limited period and under a clear transition plan****.*

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| 1. **Position or Title in the Startup** |
| 1. What is your expected position/title or role in the startup?   Please fill-in   1. If it is in a management role (President/CEO, or any other decision-making role), what is the plan and timetable for finding a replacement?   Please fill-in   1. If it is in consulting or advisory role, will you be receiving compensation for your services?   Please fill-in |
| 1. **Equity Ownership** |
| 1. Are you or your immediate family member expected to own ≥1% of the startup? (***Yes/No*** *suffices*)   Please fill-in   1. If you answered “Yes” to 8(c) and/or 9(a), you are required to disclose the information at [eCOI.rutgers.edu](file:///\\rad.rutgers.edu\dfs\OredShared\OrcOtc\Dept%20of%20NEW%20VENTURES\COI\eCOI.rutgers.edu). Please confirm you submitted disclosure to eCOI.   Please fill-in |

1. **Conflicts of Commitment:**

*Faculty members are required to inform their department chair of outside work (including consulting services).* ***Outside work is limited to 20% of effort, or a total of 5 eight-hour days per month, which includes work performed on weekends****. Any percent effort over this amount requires explicit approval by the department Chair or Dean.*

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| 1. **Effort Commitment in Externally Funded Grants** |
| 1. What percent effort do you currently have on externally funded grants at Rutgers? Please describe all grants and percent of effort committed to them.   Please fill-in |
| 1. **Letter of Support from the Department Chair or Dean** |
| 1. Please confirm submission of a Letter of Support from your department Chair or Dean, to the COI Committee.   *A template letter should have been provided to you. If you require a template, please reach out to the New Ventures Manager. The letter should describe that potential conflicts of commitment have been reviewed and that a plan has been developed for managing conflicts, if any.* |

1. **Research Activities:**

*The COI Committee encourages Faculty to proactively develop a plan for how research (and related resources) at Rutgers will be kept separate from research efforts at the startup. No Rutgers resources should be used for work related to your Startup, without prior explicit approval from your Department Chair, or unless specified under a Sponsored Research Program, or other agreements with Rutgers.*

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| 1. **Please provide a brief scope of your work for each externally funded grant at Rutgers.** |
| Please fill-in |
| 1. **Research activities at the startup.** |
| 1. What research activities are expected at the startup?   Please fill-in   1. How is the research at the startup distinct from the research at Rutgers?   Please fill-in   1. Is the startup expected to sponsor research at Rutgers?   Please fill-in |
| 1. **Delineation of resources** |
| 1. How will Rutgers resources (lab space, supplies, equipment, computers, etc.) be maintained separately from the startup?   Please fill-in   1. Is the startup expected to use any equipment, supplies, or other resources at Rutgers?   Please fill-in |

1. **Personnel:**

***It is important that no Rutgers students and personnel (undergraduates, graduates, and postdoctoral trainees) are assigned tasks to benefit faculty-owned startups****, unless they benefit directly from the work, the work is aligned with their studies, and (particularly in the case of students) the work is overseen by faculty with no financial interest in the startup.*

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| 1. **Other Rutgers Faculty or Staff** |
| 1. Will any other Rutgers faculty or staff be working on projects related to the startup?   Please fill-in   1. If so, what percent efforts will be at the startup?   Please fill-in |
| 1. **Postdoctoral Trainees** |
| 1. Will any postdoctoral trainees from Rutgers be working on projects related to the startup?   Please fill-in   1. If so, what percent efforts will be at the startup?   Please fill-in   1. Will postdocs be free to publish the results of their research in a timely manner? If restrictions are to be imposed, please provide details.   Please fill-in |
| 1. **Graduate or Undergraduate Students**   *Although there are no restrictions on faculty-owned startups offering work/internships for students, faculty members need to prioritize the wellbeing of any students who work for their startup.* |
| 1. Will any Rutgers students be working on projects related to the startup?   Please fill-in   1. If so, in what capacity? Will they be compensated?   Please fill-in   1. Does the work align with the student’s current studies / pursuit of a degree?   Please fill-in |