

Disclosure Questionnaire

Overview of Disclosure Requirements

The 2021 disclosure reporting period is now open. Please note Rice policies 216, 217, 218 apply to the 2021 disclosure reporting period.

Instructions: The 2021 disclosure form INCLUDES prepopulated information from your 2020 disclosure report. Please review and update your disclosure form. You may add new activities or entities, delete/remove activities, adjust roles, etc. Commonly asked questions/FAQs are located at: <https://research.rice.edu/compliance/coi/faq>.

If you have any questions or require assistance please contact conflicts@rice.edu.

As a reminder, here are some key FAQs/points.

Check each of the boxes below for details on all disclosure requirements:

Who needs to disclose?

All faculty members under University Policy No. 201 including research professors and teaching professors; research staff and individuals in research support positions including postdoctoral appointments, visiting scholars, research scientists, and research technicians under University Policy No. 438; all investigators on a research project or grant; and students working directly on sponsored project, have their time paid for by sponsored project or who are involved in the creation of intellectual property on behalf of Rice University.

When do I have to disclose?

Policy 218 requires, at minimum, that Scholars disclose outside interests and activities (a) prior to commencing an Outside Activity (Tenure, Tenure-Track Faculty); (b) annually by the specified annual disclosure date; (c) at any time you gain new reportable Outside Interests or if there is any change in the disclosure at any point throughout the year; and (d) at the time they submit sponsored research proposals and/or receive awards. Additionally, interim disclosures should be submitted by Scholars should the status of their relevant Outside Interests and Outside Activities change. Examples of changes include but are not limited to starting a new company, prior to entering into a consulting agreement, changes in equity interest, new appointments/titles, and entering license agreements for technology.

What Outside Interests need to be reported to the University?

- All outside employment, whether compensated or uncompensated, and income (e.g., consulting fees); including income, benefits, support or anything of value received from a foreign institution of higher education or the government of another country or any other foreign entity (which includes local, provincial, or equivalent governments of another country).
- All non-Rice appointments (titled academic, professional, or institutional) to any entity (paid, unpaid, or honorary) both foreign and domestic.
- All outside (on-site or distance) Research activity and resources, both foreign and domestic, other than the activities managed by Rice university regardless of whether or not such resources have monetary value;

- Domestic travel or travel reimbursements that reasonably appear to be related to Institutional Responsibilities, received from domestic for-profit (e.g., industry) or nonprofit entities that aggregate value is greater than \$5,000 from a single entity over a 12-month period. that is affiliated with an Institution of higher education.
- Foreign travel or reimbursement for travel expenses that reasonably appear to be related to Institutional Responsibilities, received from domestic or foreign for-profit (e.g., industry) or nonprofit entities that aggregate value is greater than \$1,000 from a single entity over 12-month period.
- Financial interests in a publicly traded Outside Entity where the value of any remuneration received from the entity in the twelve months preceding the disclosure or the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. • Any financial interest in a non-publicly traded Outside Entity, including startups, that exceed or may exceed \$5,000 in value and/or 5% ownership. This includes those whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value.
- Outside Activities and financial interests of Family Members if they could reasonably appear to affect decisions or actions related to the employee's university responsibilities
- Income from intellectual property rights held and any agreements to share in royalties related to those rights, if income is received from any entity other than Rice University and reasonably appear to be related to Institutional Responsibilities;
- All agreements of any value (including consulting agreements) with an Outside Entity that requires the Scholar or student to sign over all or some of their intellectual property rights and reasonably appear to be related to Institutional Responsibilities or to Rice-owned Intellectual Property.
- Agreements with an Outside Entity that have reporting requirements to the Outside Entity that are related to the employee's Research, professional training, expertise, or Institutional Responsibilities.
- Other support from foreign governments, foreign academic institutions, or other foreign entities, and/or engagement in foreign recruitment or "talent" programs
- All gifts, that reasonably appear to be related to Institutional Responsibilities that exceed \$1,000 from an Outside Entity in value to the Scholar or their Family Member;
- In-kind resources from an Outside Entity directly made available to a Scholar or student in support of and/or related to all of their Research or scholarly efforts, regardless of whether or not such resources have monetary value. In-kind includes office/laboratory space, equipment, supplies, employees, students and start-up packages, Research funding, and travel reimbursements;
- Any other Outside Activity, regardless of compensation or whether or not remuneration is received that could reasonably appear to create a COI or a COC.

Which Outside Interest and Activities do not need to be disclosed to the University?

- Outside Activities or Outside Interests that are purely personal, religious, a result of involvement with a religious organization, political, or a result of involvement with a political organization.

- Salary, royalties, or other remuneration by Rice University if the Scholar or Family Member is currently employed or otherwise appointed by Rice University.
- Income and activities related to domestic seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency; U.S. institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. Please note income derived from a foreign entity or activities performed for a foreign entity or occurring in a foreign country must be disclosed.
- Income and activities related to service on advisory committees or review panels for a federal, state, or local government agency; or income from service on advisory committees or review panels for a federal, state, or local government agency, or for a U.S. institution of higher education. Please note income derived from a foreign entity or activities performed for a foreign entity or occurring in a foreign country must be disclosed.
- Investments in publicly traded mutual funds (such as those in the Rice retirement plan) or in pension plans (when the individual does not have control over individual investments).
- Intellectual property rights assigned to Rice University and agreements to share in royalties related to such rights.

Disclosure and Reporting Requirements of All Domestic and Foreign Support, Affiliations, and Collaborations

Scholars with federally sponsored projects should be aware of recent clarifications from federal agencies (such as the National Institutes of Health, National Science Foundation, Department of Energy, Department of Defense, etc.) regarding the need to disclose and report financial support, appointments, affiliations, and collaborations.

Scholars are reminded that they must disclose financial interests, including resources received from a foreign source, such as institutions of higher education in a foreign country or the government of another country. Significant financial interest includes all forms of compensation, consulting, equity, sponsored/reimbursed travel, or intellectual property, regardless of whether such activity is conducted in your professional or personal capacity and regardless of whether the activity takes place in the U.S. or abroad. Remember that appointments, positions, or engagements with another university or educational organization (domestic or foreign), must be disclosed and approved in writing in advance by your dean.

Scholars who submit federal proposals or grant applications are reminded to disclose and report this information in grant applications—and specifically in biographical sketches, the collaborators and other affiliations document, the other support document, and the current and pending support form—as well as in progress reports as specified by the funding agency. Scholars should list all resources made available to them in support of and/or related to their research endeavors (regardless of the location or the monetary value). Resources include all financial support and resources from all foreign and domestic entities, including but not limited to financial support for laboratory personnel and provision of high-value materials that are not freely available.

For questions about COI/COC, please email conflicts@rice.edu. For questions about the federal proposal or grant application disclosure process, contact sparc@rice.edu.

CONTACT INFORMATION

Your Name:*

School (e.g., Natural Sciences):*

Department:*

DISCLOSURE OF OUTSIDE INTERESTS AND ACTIVITIES

1. Do you have a Family Member employed at Rice University?*

yes No

2. Do you and/or a Family Member have any paid and/or unpaid Outside Interests and/or Outside Activities with an Outside Entity (including foreign entities, institutions, governments, university, and companies)? Examples include but not limited to:*

a. Appointments, employment, consulting, leadership roles, scientific advisory, foreign talent recruitment/program, paid authorship, expert witness, payments for speaking engagements/honoraria

b. Ownership or equity interests (e.g., stock, stock option, or other ownership interest) in:

i. a startup or non-publicly traded entity that exceeds \$5,000 in value and/or you or a family member have 5% or greater in ownership

ii. a startup or non-publicly traded entity when the Investigator (or Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest)

iii. a publicly traded entity (excluding publicly traded stocks such as day trading) where the value exceeds \$5,000 when aggregated

iv. an entity in which you/family member receive \$5,000 or more in royalties

c. Gifts, travel, and/or other activities with an outside entity reasonably related to institutional responsibilities both foreign and domestic

d. Research at an outside entity (that is not managed by Rice), royalties/milestones payments, and international outside activities (appointments, employment, research support, etc.)

Yes No

Check all that apply:

Employment, Consulting, and Appointments with Outside Entities

I have or had within the preceding 12 months of this disclosure, (a) a paid academic, professional, commercial, or institutional appointment (full-time, part-time, or adjunct position) from an outside entity other than Rice University; (b) an unpaid academic, professional, commercial, or institutional appointment (e.g., honorary, visiting, and emeritus) from an outside entity other than Rice University; (c) received compensation or any other form of payment from an outside entity other than Rice University.

Examples:

Consulting, employment, professional services, visiting speaker/lecture, paid authorship, scientific advisory boards, administrative work, etc.)

Excludes:

Any Outside Activities or Outside Interests that are purely personal, religious, a result of involvement with a religious organization, political, or a result of involvement with a political organization.

Salary, royalties, or other remuneration by Rice University if the Scholar or Family Member is currently employed or otherwise appointed by Rice University.

Income and activities related to domestic seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency; U.S. institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. EXCEPTION: You must disclose income derived from a foreign entity or activities performed for a foreign entity or occurring in a foreign country.

Income and activities related to service on advisory committees or review panels for a federal, state, or local government agency; or income from service on advisory committees or review panels for a federal, state, or local government agency, or for a U.S. institution of higher education. EXCEPTION: You must disclose income derived from a foreign entity or activities performed for a foreign entity or occurring in a foreign country must be disclosed.

Financial Interests in Foreign or Domestic Outside Entities

I and/or a Family Member receive income or hold a financial interest (own stock, stock options, or have ownership interest) for:

(a) a publicly traded Outside Entity where the value when aggregated exceeds \$5,000; and/or

(b) a non-publicly traded Outside Entity, including startups, that exceed or may exceed \$5,000 in value; and/or

(c) a non-publicly traded Outside Entity, including startups, having a value greater than \$1.00 and/or I or my Family Members hold any equity interests (e.g., stock, stock options, or other ownership interest; and/or

(d) an entity receiving income of more than \$5,000 from royalties including any income from intellectual property rights and interests not jointly owned by the University (such as patents, copyright, and licensing fees).

Excludes:

Investments in publicly traded mutual funds (such as those in the Rice retirement plan) or in pension plans (when the individual does not have control over individual investments).
Intellectual property rights assigned to Rice University and agreements to share in royalties related to such rights.
Publicly traded stocks that are not related to my institutional responsibilities (example: day trading).

Leadership Roles in Outside Entities

I and/or a Family Member served in a fiduciary or management role (e.g., board member, officer, director, CEO, scientific advisor, etc.) within the preceding 12 months whether paid or unpaid for an Outside Entity that may be or could reasonably be perceived to relate to my research, teaching, or Institutional Responsibilities.

Gifts

Within the reporting year (during the past 12 months) I received a gift larger than \$1,000 from an Outside Entity that could reasonably appear to be related to my Institutional Responsibilities.

Intellectual Property (IF INVOLVED IN SPONSORED RESEARCH FUNDING)

I am (a) involved in any Research, or work that assesses a company's product, service, or intellectual property, (b) listed as an owner, inventor, contributor, or co-owner on any licensed or optioned intellectual property, including patents, provisional patents, copyrights, or trademarks.

Other Relationships

I or a Family Member had a relationship, role, activity, or interest, currently or during the past 12 months, with an outside entity that could be perceived to influence or relate to my research, teaching, or Institutional Responsibilities.

This includes but is not limited to:

Purchasing goods or services for Rice University from an outside entity in which I founded, own, consult, have significant financial interests, or have a leadership role, etc.

Participating in a project for Rice University with an outside entity in which I founded, own, receive income, consult, have significant financial interests, or have a leadership role, etc.

Involved in any research, or work that assesses a company's product, service, or intellectual property for an outside entity in which I founded, own, consult, have significant financial interests, or have a leadership role, etc.

Involved in a project that will enter into a contract with Rice University (i.e. professional services agreement, subcontract, sponsored research agreement, or license agreement) from an outside entity in which I founded, own, consult, have significant financial interests, or have a leadership role, etc.

Travel

Within the reporting year, I participated in sponsored travel or received travel reimbursement(s) that could reasonably appear to be related to my Institutional Responsibilities for (a) domestic travel from an Outside Entity for which the aggregated value of the travel reimbursement was greater than \$5,000, or (b) foreign domestic travel from an Outside Entity for which the aggregated value of the travel reimbursement was greater than \$1,000, or (c) foreign travel paid by a foreign Outside Entity, regardless of the amount.

Excludes:

NOTE: Does not include travel processed by Rice as part of a grant, contract, or if the entity is a U.S. federal, state, or local government agency, a domestic institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, or a medical center or research institution that is affiliated with an institution of higher education.

International Engagement (IF INVOLVED IN SPONSORED RESEARCH FUNDING)

I have formal interactions (in which I receive material support such as lab space and/or personnel, participate in a foreign talent recruitment program, research funding, or other engagement) with a university, government entity, for-profit industry, or other entity outside the United States.

These formal interactions include:

All foreign research support, whether paid or in-kind, from any source and regardless of whether the support is administered through Rice University or elsewhere, or by the investigator him/herself;

Appointments (titled academic, professional, commercial, or institutional) paid or unpaid (e.g., honorary, visiting professor, and adjunct) including full-time, part-time, and emeritus;

Employment;

Research grants from foreign entities to me, or to an entity in which I have a financial interest;

Participation in foreign talent recruitment programs;

External financial support for laboratory personnel either inside or outside the United States;

Provision of high-value materials or data to a foreign entity that are not freely available;

Paid or unpaid teaching or other summer appointments that are in support of and/or related to research efforts associated with a foreign entity.

Organizational COI (IF INVOLVED IN SPONSORED RESEARCH)

I (a) have access to non-public information as part of work performed or work I expect to perform for the U.S. federal government that may or may appear to provide me or another member of Rice University with an unfair competitive advantage when applying for federal funding; (b) work on a government contract which places the University in a situation of evaluating itself or a related entity; (c) provide consultation, advice, or technical assistance relating to a federal funding opportunity and the University applied or expects to apply for the same funding opportunity. For additional information visit Research Standards of Conduct on Organizational Conflict of Interest (OCI).

Outside Entity Information

Outside Entity Information

INSTRUCTIONS: Complete this form for each Outside Entity for which you selected in the previous section. To add an additional entity, click "Add this Section Again."

FOR UPDATES: To update or make changes for an entity (such as changes to equity ownership, adding consulting, etc.), modify selections in the form. To view all entities at one time, click the "Go to Summary" button located top right of the form. To delete a previously disclosed entity that is no longer active, please select "Delete This Section".

You are required to answer all questions regarding the Outside Entity below.

1. Outside Entity Name:

2. Location:

3. Is this a foreign entity or subsidiary of a foreign entity or the entity has a foreign subsidiaries?

Yes No

List the country:

Do you perform work for this entity outside of the U.S.?

Yes No

4. Is this a Rice faculty/staff/student-owned company/entity?

Yes No

What is the name of the Rice faculty/staff/student who owns the company/entity?

5. Select the choice that best describes this outside entity:

-- Select --

6. Select the choice that best describes the size of the outside entity:

-- Select --

7. Provide details about this outside activity, relationship, or interests. Check ALL that apply:

Appointment (e.g. adjunct, honorary, directorship, or visiting scholar)

Appointments with this company (e.g. adjunct, honorary, directorship, or visiting scholar arrangement)

Individual:

-- Select --

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all appointment and titles:

Is there a written agreement?

Yes No

Describe the expectations of your role:

Employment (salary/compensation)

Employment with this company entity (salary/compensation)

Individual:

-- Select --

Amount paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all appointment and titles:

Describe the expectations of your role:

Consulting or advising income

Consulting or advising income

Individual:

-- Select --

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all appointment and titles:

Is there a written agreement?

Yes No

Provide a detailed description of the proposed work for your proposed consulting activity with the Outside Entity.

Board Service

Board service (including non-profits) or leadership/management/fiduciary role (e.g., CEO, President, Vice President, Board of Directors, etc.)

Individual:

-- Select --

Amount Paid(within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all titles:

Describe the expectations of your role:

Equity Interest

Equity interest, ownership, stock, stock options, partnership interests, or other forms of ownership. Add terms of activity.

Individual:

-- Select --

Percentage Ownership:

Value of Ownership:

Speaking Engagement(s)

Speaking engagement(s)

Individual:

-- Select --

Amount Paid(within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

Intellectual Property

Intellectual Property – Outside entity is using Intellectual Property (including software) which you have invented/created or in which you would otherwise have a financial interest (e.g., royalties, milestone payments, or option fees)

Individual:

-- Select --

Amount Paid: You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Estimated number of hours of work:

Duration:

-- Select --

Description of the invention, technology/IP:

Foreign Talent Recruitment

Foreign Talent recruitment (or similar) program involvement/support or employment contract (direct or indirect)

Individual:

-- Select --

Amount Paid: You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Duration:

-- Select --

Estimated number of hours of work:

List all appointment and titles:

Describe the expectations of your role:

Is there a written document from the Non-US Entity outlining the services you will provide to the Non-US Entity (e.g. employment contract, consulting agreement, recruiting or talent program agreement)?

Yes No

Foreign Intellectual Collaboration

Foreign Intellectual Collaboration (e.g. collaborations for manuscripts leading to publication)

Individual:

-- Select --

Amount Paid: You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Duration:

-- Select --

Estimated number of hours of work:

Describe the expectations of your role:

Receipt of grant/research funds or in-kind research support

Receipt of grant/research funds or in-kind research support (lab, personnel, etc.) not routed through Rice University

Individual:

-- Select --

Amount of grant/research funds/resources:

Sponsor or funding agency:

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

Provide the grant/project title and aims:

Travel/ Travel Reimbursement

Travel/ Travel Reimbursement (paid directly or reimbursed to you by the outside entity)

Individual:

-- Select --

Destination of travel (city, state, country):

Duration of travel (days):

Purpose of travel:

Could this reimbursement be perceived as related to one of your sponsored research projects?

Yes No

Provide identifying details of the associated sponsored project (i.e. r fund, Cayuse number, project title, etc.):

Gifts

Gifts

Individual:

-- Select --

Value of Gift (including fair market value of any non-monetary activities):

Describe the gift(s):

To the best of your knowledge, does this entity have any of the following business relationships with Rice University:

Does this entity contribute funds to the Rice University that are under your control?

Yes No

Does the entity contribute funds to the Rice University that are direct benefit to your teaching, research, or scholarly activities?

Yes No

Advisor (including scientific, strategic, research, advisory board, etc.)

Advisor (including scientific, strategic, research, advisory board, etc.)

Individual:

-- Select --

Term of Activity

Start Date:

Submit

End Date:

Submit

Amount Paid:(within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Estimated number of hours of work:

Duration:

-- Select --

List all titles:

Describe the expectations of your role?

Teaching a class/course

Teaching a class/course

Individual:

-- Select --

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be

readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all titles:

Describe the expectations of your role?

Expert witness or other legal service

Expert witness or other legal service

Individual:

-- Select --

Term of Activity

Start Date:

Submit

End Date:

Submit

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Estimated number of hours of work:

Duration:

-- Select --

Editor

Editor

Individual:

-- Select --

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

Other

Other

Individual:

-- Select --

Amount Paid (within the past 12 months): You may enter the exact amount or provide ranges (\$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; between \$20,000-\$100,000; above \$100,000; cannot be readily determined through reference to public prices or other reasonable measures of fair market value).

Term of Activity

Start Date:

Submit

End Date:

Submit

Estimated number of hours of work:

Duration:

-- Select --

List all appointment and titles:

Provide details about your interest, activity, or relationship:

Additional Outside Entity Details:

1. Describe your activities with the Outside Entity and whether there is any overlap with your work or scholarship with Rice University (teaching, research, scholarship).

2. Do you expect to spend or will you spend more than 20% of your total professional effort (or one day per week on average) on your work for the Outside Entity?

Yes No

Please explain if you expect to spend more than 20% of your total professional effort on your work for the Outside Entity, please explain why such amount of time is needed and/or how it will be spent on the work associated with the Outside Entity.

3. Do you anticipate that at any point, the Outside Entity will enter into a contract or perform services for Rice University (e.g., through a professional services agreement, subcontract, sponsored research agreement, or license agreement)?

Yes No

Please explain the type of contract and services you anticipate the Outside Entity will be involved in with Rice University:

4. Does your involvement with the Outside Entity include the use of University resources such as those managed by the Shared Equipment Authority, or the use of research space, computers, office space, laboratory equipment, lab team (students and staff), email/internet, telephone, fax, secretarial support, and mail services?

Yes No

Please explain what type of resources owned by the University will be used for the Outside Entity's purpose, who will use them, and how they will be used:

5. Do you direct or provide services or other professional or educational materials to Rice faculty, students, or staff that are in any way directly or indirectly related to Outside Entity?

Yes No

Please explain 1. the type of services or materials provided, 2. who you provide it to (Rice faculty, students, or staff), 3. how the services and materials you provide can be utilized toward serving the benefit of the Outside Entity:

6. Students/Staff: Are any of your students or staff involved with this Outside Entity (e.g., do any of your students or staff have paid or unpaid internships, serve as paid or unpaid consultants, serve as co-founders of the Outside Entity, or otherwise hold equity interests in the Outside Entity, etc.)? If the extent of the student's and/or staff's participation is only to participate in Rice research sponsored by the Outside Entity, you may check "no."

Yes No

Please list all student's and staff members' names, NetID's, and roles with the Outside Entity:

Please ensure that each of these students and staff has executed and signed the Rice Intellectual Property Assignment Version 8.8.2018. Send a copy of the fully executed Rice University global IP Assignment Agreement for each student and/or staff to SPARC and OTT.

What safeguards are currently in place or will you put into place to mitigate or reduce the likelihood that your relationship with the Outside Entity will affect your Institutional Responsibilities as a faculty advisor/member/supervisor to the students, staff, fellows or trainees?

Do you engage in Sponsored Research Projects or work as project personnel for a sponsored research project (i.e., grants, contracts, SRAs, etc.)?

Yes No

For Individuals Involved in Sponsored Research Projects at Rice (required)

1. Does the Outside Entity conduct research or engage in commercialization activities that overlap with your research or academic work?

Yes No

Please explain:

2. Do you consult or intend to consult for this outside entity?

Yes No

Please explain:

3. Do you participate or plan to apply for an SBIR/STTR award with this Outside Entity?

Yes No

Please explain:

4. Do you have Sponsored Research Agreements with this Outside Entity?

Yes No

Please explain:

5. Will you conduct any Research at Rice University (funded or unfunded) for the Outside Entity?

Yes No

Please explain:

6. Will you or someone in your lab provide any of the results from your/their research to Outside Entity prior to the publication of these results?

Yes No

Please explain:

7. Do you intend to invite visitors or employees from this Outside Entity to your Rice lab for training, observation, research, etc.?

Yes No

Please explain and name the individuals.

Note: All academic visitors will be required to sign a Visitor IP Agreement with Rice before engaging in research at Rice. Please ensure each academic visitor execute a Visitor IP Agreement.

8. Is this Outside Entity or activities with this Outside Entity related in any way to current or proposed Research at Rice University?

Yes No

Please explain (and provide relevant references such as Cayuse number, award number, or project title):

9. Did you receive grant/research funds not routed through Rice with or for this entity? Did you apply for research grants/funding (foreign or domestic) for the Outside Entity?

Yes No

Please explain:

10. Do you participate in research activities with this entity (at Rice or outside of Rice) which involve Human Subjects?

Yes No

Please explain (provide the Cayuse IRB number):

Intellectual Property

11. Does the Outside Entity have an option to license Rice IP, or otherwise fund research that may result in the Outside Entity licensing Rice IP?

Yes No

Please explain: what technology it is and how it is owned by the Outside Entity

12. Does your research involve or use any technology owned by the Outside Entity or licensed to the Outside Entity?

Yes No

Please explain what technology it is and how it is owned by the Outside Entity:

13. As part of your Outside Activity, will you be using any inventions, ideas, methods, products, or any intellectual property that you developed at Rice?

Yes No

Please explain 1. the type of inventions, ideas methods, products or intellectual property you developed at Rice that will be used by the Outside Entity and 2. how it will be used:

14. As part of your Outside Activity with the Outside Entity, is it likely that you could invent or create some patentable intellectual property?

Yes No

Please explain the type of product you will invent or create:

Note, you must certify that you have executed a Rice University global IP Assignment Agreement before beginning any of this research.

15. Have you or the Outside Entity filed a patent application in which you or members of your lab are listed as inventors?

Yes No

Did you disclose this filing to the Office of Technology Transfer prior to the filing per Rice Policy?

Yes No

16. Have you used Rice University's name, any of its resources or confidential information or unpublished work (e.g., software, data, materials, etc.) that would directly or indirectly benefit this Outside Entity?

Yes No

Please describe the resources used:

Would you like to add any more information about this relationship?