

Potential Partner Organization - Vetting Tool

PI Name:

RASCAL #:

Date of Form:

Proposal Due Date:

Questions:	Response:			
	Yes	No	N/A	Information or Comments
<p>1. Does Columbia currently have a relationship with this organization?</p> <p>[Units within Columbia that can assist with this question include Sponsored Projects Administration, Columbia Technology Ventures, Procurement Services, and Alumni and Development.]</p>				<p>Note: A “no” answer to this question indicates that additional due diligence regarding the qualifications and interests of this organization may be appropriate.</p> <p>Please see below “FOR HELP” regarding how to get assistance with answering these and other questions.</p>
<p>2. Does the potential collaborator, donor or sponsor have an interest in the proposed activity that is consistent with the University’s nonprofit academic and research missions?</p>				<p>Note: A “no” answer to this question indicates that further due diligence and appropriate provisions for the work may be warranted.</p>
<p>3. Is the potential partner organization a foreign government, a unit or agency of a foreign government or otherwise under the control of a foreign government?</p>				<p>Note: A “yes” answer indicates that additional due diligence may be appropriate.</p>
<p>4. Does the potential collaborating organization propose conditions that would violate or interfere with the University's sole control over the contents of instruction or dissemination of research results?</p>				<p>Note: Examples include requiring that the results of the activities are confidential or that publication must be approved by the collaborator or sponsor. Such provisions may violate University statutes and can trigger U.S. export controls.</p>
<p>5. Have you obtained assurance that you are negotiating with a party that is authorized by the proposed collaborating institution to enter into negotiations?</p>				
<p>6. Is the potential partner organization (or, to your knowledge, anyone affiliated with the organization) based in a country that is subject to U.S. sanctions or on any "restricted" or disclosure lists maintained by the U.S. Government?</p> <p>See Legal and Regulatory Compliance</p>				
<p>7. Does the potential partner organization have a reputation for corruption, bribery, human rights abuses, or criminality? Does anyone closely identified with the organization (such as corporate affiliates in the case of a company) have such a reputation?</p>				

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8. Does the potential partner organization (or, to your knowledge anyone affiliated with the organization) on a watch or divestment list maintained by the University's Advisory Committee on Socially Responsible Investing? See: Socially Responsible Investing				
9. Are there any other conditions or circumstances that might cause partnership to be controversial or problematic from an ethical or reputational standpoint? If so, please contact Global Support .				

In general, collaborations can lower financial and administrative burdens of the program, but the loss of control attendant with collaborations may increase reputational risks such as:

- The quality of the work may be difficult to monitor and may not meet Columbia's standards;
- The other institution could use your institution's name for marketing or other educational purposes without authorization;
- The other institution could use shared office space to conduct business that you would not normally sanction such as a marketing event; and
- The other institution might function illegally or have unsatisfactory accounting controls in place.

FOR HELP in addressing the above questions:

- For sponsored projects, consult with Sponsored Projects Administration.
- For gifts, consult with Alumni and Development.
- For assistance across these and other University departments, please contact [Global Support](#)