

**Subject:** Response to American Oversight TPIA Request to TTUS re. Dr. Brashears (TX-UT-22-0145)  
**Date:** Wednesday, February 23, 2022 at 3:56:56 PM Eastern Standard Time  
**From:** Samples, Linda  
**To:** AO Records  
**CC:** Wall, Ronny, Norrod, Candace  
**Attachments:** image001.png, TX-UT-22-0145.pdf, Brashears, Mindy FCOI 2020-2021.pdf, Brashears, Mindy FCOI 2021-2022.pdf, Brashears, Mindy Management Plan 2021-2022\_complete.pdf

EXTERNAL SENDER

The Texas Tech University System received American Oversight's payment for the request below. Accordingly, the responsive records are attached.

**Linda A. Samples**

Associate General Counsel | Office of General Counsel  
4801 Alberta Avenue, Suite B07A | El Paso, Texas 79905  
Direct: 915.215.4166



*A Values\** **BASED CULTURE**  
*Dedicated to Excellence. Committed to Care.*  
SERVICE ADVANCEMENT TEAMWORK ACCOUNTABILITY INTEGRITY RESPECT

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**From:** Samples, Linda  
**Sent:** Tuesday, February 15, 2022 2:15 PM  
**To:** 'records@americanoversight.org' <records@americanoversight.org>  
**Cc:** Wall, Ronny <ronny.wall@ttu.edu>; Norrod, Candace <candace.norrod@ttu.edu>  
**Subject:** Cost for TPIA Request to TTUS re. Dr. Brashears (TX-UT-22-0145)

Dear Mr. Winters:

On February 9, 2022, the Texas Tech University System (TTUS) received two separate public information act requests from American Oversight. Based on the emails from American Oversight included below, TTUS replaced the initial request with the attached second request with tracking number TX-UT-22-0145 which is attached and seeks:

1. Any conflicts or ethics statement, report, or disclosure completed by Mindy Brashears.

2. Any personal financial statement, report, or disclosure completed by Mindy Brashears.

For parts 1 and 2 of this request, please provide all responsive records from January 1, 2021, through the date the search is conducted.

TTUS has located records responsive to items 1 and 2 set forth above, and the cost to secure said records is \$36.00 calculated as follows:

Labor 2 hours @ \$15/hr. =	\$ 30.00
Overhead @ 20% =	\$ 6.00
<b>Total Cost</b>	<b>\$ 36.00</b>

A check or money order for \$36.00 payable to Texas Tech University should be mailed to:

TTU System Public Information Officer  
P.O. Box 42021,  
Lubbock, TX 79409

The documents will be released to you upon receipt of payment.

**Linda A. Samples**

Associate General Counsel | Office of General Counsel  
4801 Alberta Avenue, Suite B07A | El Paso, Texas 79905  
Direct: 915.215.4166



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**From:** AO Records <[records@americanoversight.org](mailto:records@americanoversight.org)>  
**Sent:** Wednesday, February 9, 2022 12:38 PM  
**To:** Public Info <[publicinfo@ttu.edu](mailto:publicinfo@ttu.edu)>  
**Subject:** Re: Public Information Request (TX-UT-22-0145)

This email originated outside TTU. Please [exercise caution!](#)

Dear Public Information Officer:

Unfortunately, it looks like our previous request had an incorrect tracking number. Attached you will

find a corrected version.

Sincerely  
Dylan Winters (he/him)  
Paralegal  
American Oversight  
[records@americanoversight.org](mailto:records@americanoversight.org)  
[www.americanoversight.org](http://www.americanoversight.org) | @weareoversight

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**From:** Dylan Winters <[dylan.winters@americanoversight.org](mailto:dylan.winters@americanoversight.org)> on behalf of AO Records <[records@americanoversight.org](mailto:records@americanoversight.org)>  
**Date:** Wednesday, February 9, 2022 at 9:35 AM  
**To:** "[publicinfo@ttu.edu](mailto:publicinfo@ttu.edu)" <[publicinfo@ttu.edu](mailto:publicinfo@ttu.edu)>  
**Subject:** Re: Public Information Request (TX-UT-22-0130)

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**From:** Dylan Winters <[dylan.winters@americanoversight.org](mailto:dylan.winters@americanoversight.org)> on behalf of AO Records <[records@americanoversight.org](mailto:records@americanoversight.org)>  
**Date:** Wednesday, February 9, 2022 at 9:35 AM  
**To:** "[publicinfo@ttu.edu](mailto:publicinfo@ttu.edu)" <[publicinfo@ttu.edu](mailto:publicinfo@ttu.edu)>  
**Subject:** Public Information Request ([PRR #])

Dear Public Information Officer:

Please find attached a request for records under the Texas Public Information Act.

Sincerely,  
Dylan Winters (he/him)  
Paralegal  
American Oversight  
[records@americanoversight.org](mailto:records@americanoversight.org)  
[www.americanoversight.org](http://www.americanoversight.org) | @weareoversight

PIR: TX-UT-22-0130

## View xForm - COI COC General

### COI COC General

#### Data Entry

- Submitted 05/28/2021 11:59 AM ET by Brashears, Mindy

#### Background Questions: Fundamentals

Individual questions are viewable

##### Submitted By

Brashears, Mindy

**Email:** mindy.brashears@ttu.edu **Phone:**

##### Previous COI COC Disclosure Year

*No answer provided.*

##### Previous Procurement Disclosure

*No answer provided.*

##### String of Submitter Name

Brashears, Mindy

##### TTU Position

*Check all that apply.*

Faculty (full-time)  
Administrators (Other than Executives)  
Researcher

##### Externally Funded Sponsored Projects

Yes

##### PHS Funding Status

*No answer provided.*

**Do you intend to apply for PHS (e.g., NIH) funding in the coming year?**

No

## Outside Employment & Consulting

*I am requesting approval for outside employment or consulting as specified in OP 32.07. Such employment and consulting includes both foreign and domestic activities and may occur throughout the calendar year, including summer months.*

Yes

### Definition of Outside Employment (OP 32.07)

*By checking the box below, I understand that outside employment includes self-employment, such as consulting services and other outside work for pay.*

✓ I acknowledge.

### Changes To Outside Employment

*By checking the box below, I understand that if my outside employment status changes I will amend this disclosure.*

✓ I acknowledge

## Background Questions: Sponsored Projects / Financial Disclosure

### Sponsored Projects

*Please enter all your Sponsors below (e.g. NIH, NSF, etc.). Click save after each entry. A blank line remains after each save.*

#### Sponsor

Australian Meat Processing Corporation

### Financial Conflict of Interest

*Please note, you will be asked questions regarding potential conflicts of interests, which are financial interests that potentially could conflict with your research or educational responsibilities.*

## Conflict of Commitment Questions

### Outside Employment Interference

*By checking the box below, I affirm that my outside employment or consulting will not interfere with my assigned duties at Texas Tech University.*

✓ I acknowledge.

### **Weekly Hour Limit**

*By checking the box below, I affirm that my outside employment or consulting will not exceed 10 hours per week (Note: This limit applies during the academic year (i.e., September through May) and all other months in which faculty hold a fulltime TTU appointment (e.g., a 12-month appointment, a summer appointment, a summer salary, etc.).*

I acknowledge.

### **Changes To Outside Employment**

*If my outside employment changes, including cases where such employments exceeds the authorized number of hours, I will resubmit this report.*

I acknowledge.

### **12 Month Appointment Absences**

*I understand that for faculty / administrators with 12 month appointments, absence from a workday (such as Fridays) requires reporting absence as Leave Time.*

I acknowledge the above.

### **Expected Total Hours for Academic Year**

*Expected total Outside Employment hours for academic year (September through May).*

360

### **Expected Total Hours During Summer Months**

*For faculty with 12-month appointments and faculty with summer appointments, expected total Outside Employment hours during summer months.*

120

### **Foreign Entities**

*Over the entire current academic year (September through August), do you expect to be employed by or engage in consulting activity with any foreign entity, such as a university, research institution, government agency, or business?*

No

### **Any Outside Employment > \$5,000**

*Given that you are required to disclosure potential conflicts of interests (financial interests that could potentially conflict with your institutional responsibilities), do you expect to receive compensation Greater Than \$5,000 from a single Outside Employer?*

Yes

### **COI COC Entity Questions (1 of 1)**

#### **Name of Outside Employer**

*Please provide name of outside employer. (You may enter "self-employed" or "consulting services," if applicable, but not sponsored research routed through TTU).*

Nebraska Beef

#### **Address of Employer**

*Please provide full address of employer or consulting service (If foreign, please provide country).*

4501 36th St.  
Omaha, ME 68107

#### **Self-Employment**

*Does the entity represent self-employment, such as a consulting services.*

Yes

#### **Self-employment Types of Clients or Services**

*Please describe the types of clients and service provided via self-employment*

Assistance with regulatory compliance.

#### **Expected Maximum Hours per Week**

*Please enter the expected maximum hours per week for this employer or consulting services, not to exceed 10.*

2

### Outside Employment Greater Than \$5,000

*Given that you are reporting outside employment or consulting, AND, you are required to disclose potential conflicts of interests, do you and your family combined expect to receive, from this single entity, compensation exceeding \$5,000?*

Yes

### Outside Employment Potential Conflict of Interest

*Would this compensation appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.*

No

## Financial Interest Questions -- NON-PHS

### Please answer the following questions in the context of...

*whether your foreign or domestic business or financial interests (currently or for the next 12 months) **would reasonably appear to be affected by** the research or educational activities funded, or proposed for funding, by an external sponsor, as required by OP 74.17.*

### Equity Interest excess \$5000

*Do you and your family (combined) hold equity interest in excess of \$5,000 in a single external entity that would appear to be affected?*

No: I (we) do NOT currently hold such equity interest.

### Equity interest 5%

*Do you and your family (combined) hold equity interest that exceeds 5 percent ownership interest in a single external entity that would appear to be affected?*

No: I (we) do NOT hold such equity interest.

### Member of Governing Board

*Do you or your family members serve as a member of a governing board on an external entity and receive financial benefit that would appear to be affected. (Please exclude governing boards of service organizations, charities, and professional organizations.)*

No: I (we) did not serve nor expect to serve on such governing board(s).

### Financial Interests Affect on TTU Activities

*Do you and your family (combined) hold other significant business or financial interests, or expect to receive other remuneration, that possibly could affect, or be perceived to affect, the results of the research or educational activities performed by you as a part of a sponsored project.*

No: I (we) do NOT currently hold such interest.

### Commercialization of Product

*Are you currently working to commercialize or have commercialized a product generated from your sponsored research?*

Yes.

#### Details of Commercialization

*Please provide details and explanations.*

Probiotic Company - NexGen from *Lacobacillus salivarius* L28  
MicroZap - Microwave company from Microwave research

### Other Remuneration

*Will you and your family (combined) receive other remuneration (such as distribution of equity interest, royalties, gifts, and paid authorship) exceeding \$5,000 from a single entity?*

Yes.

### Employ Texas Tech Students

*Do you or your family members have ownership, or hold an equity interest in, an external entity that employs current Texas Tech students.*

No: I (we) do NOT currently hold such interest.

### Key Personnel

*Please provide the names and email for any Key Personnel working on your sponsored project who should file a disclosure. "Key Personnel" are personnel who contribute to the development, execution and/or reporting of a project in a substantive way. They may or may not receive salary or compensation. Or, state N.A.*

Mark Miller  
Dale Woerner  
Marcos Sanchez

### COI Entity Questions (1 of 1)

### **Name of Entity**

*Please provide name of private business. (Not sponsored research routed through TTU.)*

Chr Hansen

### **Address of Entity**

*Please provide address of entity (If foreign, please provide country).*

9015 W Maple St.  
Milwaukee, WI 53214

### **COI Entity Details #1 (1 of 1)**

#### **Entity Publicly Traded**

*Is the entity publicly traded?*

No

#### **Main Products and Services**

*What are the main products and services of this external entity?*

Probiotics

#### **Type of Business or Financial Interests**

*What is the business or financial interest to you or your family members (defined as a spouse and dependent relative or household members)?*

Income related to royalties on patents and copyrights

### **COI Entity Details #2 (1 of 1)**

#### **Sponsored Project Impact on External Entities**

*List the currently sponsored project(s) that might impact this external entity. Please include the name, nature, and other investigators associated with each project.*

none

#### **Entity Sponsored Research**

*Does this entity itself sponsor projects at Texas Tech that you are involved with?*

No

### Entity Benefits from Sponsored Research

Using clear, simple language... Explain how your financial and/or business interest in the entity **could benefit from** the **sponsored project(s)** on which you serve as a principal investigator, co-investigator or senior personnel.

Not applicable. No funded projects.

### Entity Influence on Sponsored Project

Using clear, simple language... Explain how your financial and/or business interest in the entity **could influence, or be perceived to influence**, the **sponsored project(s)** on which you serve as principal investigator, co-investigator or senior personnel.

Not applicable. No funded projects.

### Entity Does NOT Relate to Sponsored Projects or Institutional Responsibilities

Using clear, simple language... Alternatively, explain how your financial and/or business interest in the entity **does not relate** to your **research or educational activities**.

They do not have funded research with me.

### COI Entity Details #3 (1 of 1)

#### Overlapping Activities

Identify all activities that overlap between this external entity and your sponsored project(s).

none

#### Texas Tech Spaces and Resources

Identify all Texas Tech spaces and resources that are utilized directly, or indirectly, by the external entity.

none

#### Texas Tech Students

Are any Texas Tech students (undergraduate students, graduate students, and/or postdoctoral trainees) employed by this entity?

No

### Other TTU Faculty or Staff

*Explain the roles(s) and activities in the external entity that are performed by any other Texas Tech University faculty and/or staff.*

none

### COI Entity Details #4 (1 of 1)

#### Human Subject Research

*Explain how this entity might financially benefit from any human subject research that you are performing (or, indicate Not Applicable).*

not applicable

#### Animal Research

*Explain how this entity might financially benefit from any animal research that you are performing (or, indicate Not Applicable).*

not applicable

#### SBIR

*Briefly explain your SBIR project (Small Business Innovation Research) and its connection to this entity (or, indicate Not Applicable).*

not applicable

#### STTR

*Briefly explain your STTR (Small Business Technology Transfer Research) and its connection to this entity (or, indicate Not Applicable).*

not applicable

#### Commercialization

*Briefly explain the relationship between your sponsored project(s), potential commercialization of a product, and this entity (or, indicate Not Applicable).*

not applicable

**CLICK ADD ANOTHER ENTITY BELOW IF YOU NEED TO ADD ANOTHER. OTHERWISE CLICK NEXT TO CONTINUE**

### Conflict of Interest Declaration

### Conflict of Interest

*In my judgement, this disclosure of significant business or financial interest does/does not constitute a financial conflict of interest.*

Does not

### User Signature

#### Department

Animal and Food Sciences

#### Unit Head

Orth, Michael

**Email:** michael.orth@ttu.edu

**Phone:**

#### Delegated Unit Head

Orth, Michael

#### Parent Department

College of Agricultural Sciences and Natural Resources Designated Reviewer

#### Designated Official

Bratcher, Christy

**Email:** Christy.Bratcher@ttu.edu

**Phone:**

#### Delegated Designated Reviewer

Bratcher, Christy

#### User Signature

*By clicking "Sign" and entering my password in the space provided, I am electronically signing this form and confirming the accuracy of its content.*

Signed Friday, May 28, 2021 11:58:51 AM ET by Brashears, Mindy

#### Submission Instruction

***Please be sure to click Next and then Submit your disclosure on the next page.***

**Submission Date**

08/25/2021

**Click  
'Next' to  
Continue**

**FCOI Review for Completion**

**- Submitted 06/03/2021 12:56 PM ET by System, The**

**Under Pre-Review**

**Pre-Review Outcome**

Type	Reviewer	Outcome	Due	Complete
FCOI Pre-review	Alonzo, Marisol	Positive Disclosure Ready for Review	06/04/2021	06/03/2021

**Review Summary**

**Setup Post Pre-Review**

**- Submitted 06/03/2021 12:57 PM ET by Alonzo, Marisol**

**Holding Page for routing check**

**Initial Stage Routing Confirmed**

*Have you made certain that the dept. chair and designated official are correct in stage 1?*

Yes

**Unit Head Review**

- Submitted 07/31/2021 9:48 AM ET by System, The

**Unit Head Comments**

**Unit Head Outcome**

Type	Reviewer	Outcome	Due Complete
Unit Head Review	Orth, Michael	Approved	07/31/2021

**Unit Head Review Summary**

**Designated Official Review**  
- Submitted 08/03/2021 9:53 AM ET by System, The

**Designated Official Review Outcome**

**Designated Review Outcome**

Type	Reviewer	Outcome	Due	Complete
Designated Official Review	Bratcher, Christy	Approved Outside Employment, Financial Disclosures, and Procurement Authority	08/05/2021	08/03/2021

**Designated Official Review Summary**

**Under Provost/AVPR Review**  
**- Submitted 08/25/2021 5:33 PM ET by System, The**  
**AVPR and/or Provost Review**

**Review Results**

Type	Reviewer	Outcome	Due	Complete
AVPR Review	Alonzo, Marisol	Approved by AVPR	09/02/2021	08/25/2021
Per Dr. Young 8-25-21				

**AVPR Summary**

*No answer provided.*

**Provost Review Results**

Type	Reviewer	Outcome	Due	Complete
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**Provost Summary**

*No answer provided.*

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2022.1.6287.0/Release/63d11cc | GCWAWS1 | 2022-02-10 17:34:07Z

Powered By  IRBManager

## View xForm - COI COC General

### COI COC General

#### Data Entry

- Submitted 09/20/2021 5:21 PM ET by Brashears, Mindy

#### Background Questions: Fundamentals

Individual questions are viewable

##### Submitted By

Brashears, Mindy

**Email:** mindy.brashears@ttu.edu

**Phone:**

##### Fiscal Year Processing

2021-2022

##### Previous COI COC Disclosure Date

06/03/2021

##### Previous Procurement Disclosure

*No answer provided.*

##### Previous Fiscal Year Submission

*No answer provided.*

##### Form Owner

Brashears, Mindy

##### String of Submitter Name

Brashears, Mindy

##### Same year submission check

False

### TTU Position

*Check all that apply.*

Faculty (full-time)  
Administrators (Other than Executives)  
Researcher

### Externally Funded Sponsored Projects

Yes

#### PHS Funding Status

*No answer provided.*

#### Do you intend to apply for PHS (e.g., NIH) funding in the coming year?

No

#### External / PHS COMBO

Yes No

### Outside Employment & Consulting

*I am requesting approval for outside employment or consulting as specified in OP 32.07. Such employment and consulting includes both foreign and domestic activities and may occur throughout the calendar year, including summer months.*

Yes

#### Definition of Outside Employment (OP 32.07)

*By checking the box below, I understand that outside employment includes self-employment, such as consulting services and other outside work for pay.*

✓ I acknowledge.

#### Changes To Outside Employment

*By checking the box below, I understand that if my outside employment status changes I will amend this disclosure.*

✓ I acknowledge

### Background Questions: Sponsored Projects / Financial Disclosure

## Sponsored Projects

Please enter all your Sponsors below (e.g. NIH, NSF, etc.). Click save after each entry. A blank line remains after each save.

### Sponsor

Australian Meat Processing Corporation

National Cattleman's Beef Association

North American Meat Institute

## Financial Conflict of Interest

Please note, you will be asked questions regarding potential conflicts of interests, which are financial interests that potentially could conflict with your research or educational responsibilities.

## Conflict of Commitment Questions

### Outside Employment Interference

By checking the box below, I affirm that my outside employment or consulting will not interfere with my assigned duties at Texas Tech University.

I acknowledge.

### Weekly Hour Limit

By checking the box below, I affirm that my outside employment or consulting will not exceed 10 hours per week (Note: This limit applies during the academic year (i.e., September through May) and all other months in which faculty hold a fulltime TTU appointment (e.g., a 12-month appointment, a summer appointment, a summer salary, etc.).

I acknowledge.

### Changes To Outside Employment

If my outside employment changes, including cases where such employments exceeds the authorized number of hours, I will resubmit this report.

I acknowledge.

## 12 Month Appointment Absences

*I understand that for faculty / administrators with 12 month appointments, absence from a workday (such as Fridays) requires reporting absence as Leave Time.*

✓ I acknowledge the above.

## Expected Total Hours for Academic Year

*Expected total Outside Employment hours for academic year (September through May).*

360

## Expected Total Hours During Summer Months

*For faculty with 12-month appointments and faculty with summer appointments, expected total Outside Employment hours during summer months.*

120

## Foreign Entities

*Over the entire current academic year (September through August), do you expect to be employed by or engage in consulting activity with any foreign entity, such as a university, research institution, government agency, or business?*

No

## Contract that Infringes on TTU IP

*By Checking the box below, I acknowledge that, as a TTU employee, I may not execute a contract or otherwise enter into an arrangement with an external entity that infringes on TTU ownership of IP in areas related to my employment at TTU.*

✓ I acknowledge.

### Disclosure of Lab outside of TTU

*By checking the box below, I acknowledge that, as a TTU employee, I am to disclose establishment of a laboratory or other research facility outside of TTU, domestic or foreign, to conduct work that relies on or utilizes the same expertise as my TTU teaching, research, scholarly, clinical and/or public service responsibilities. Additionally, I must disclose any participation in externally sponsored projects that are not awarded to and/or administered by TTU.*

✓ I acknowledge.

### Contract Violating U.S. Research Values

*By checking the box below, I acknowledge that, as a TTU employee, I may not enter into a legally binding contract or otherwise enter into an arrangement with any outside domestic or foreign entity that contains provisions that violate U.S. research values [which include but are not limited to free-sharing of scientific data, prohibitions against unethical research, and prohibitions against disclosure of proprietary information].*

✓ I acknowledge.

### Any Outside Employment > \$5,000

*Given that you are required to disclosure potential conflicts of interests (financial interests that could potentially conflict with your institutional responsibilities), do you expect to receive compensation Greater Than \$5,000 from a single Outside Employer?*

Yes

### COI COC Entity Questions (1 of 2)

#### Name of Outside Employer

*Please provide name of outside employer. (You may enter "self-employed" or "consulting services," if applicable, but not sponsored research routed through TTU).*

Nebraska Beef

#### Address of Employer

*Please provide full address of employer or consulting service (If foreign, please provide country).*

4501 36th St.  
Omaha, ME 68107

### **Self-Employment**

*Does the entity represent self-employment, such as a consulting services.*

Yes

### **Self-employment Types of Clients or Services**

*Please describe the types of clients and service provided via self-employment*

Assistance with regulatory compliance.

### **Expected Maximum Hours per Week**

*Please enter the expected maximum hours per week for this employer or consulting services, not to exceed 10.*

2

### **Outside Employment Greater Than \$5,000**

*Given that you are reporting outside employment or consulting, AND, you are required to disclose potential conflicts of interests, do you and your family combined expect to receive, from this single entity, compensation exceeding \$5,000?*

Yes

### **Outside Employment Potential Conflict of Interest**

*Would this compensation appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.*

No

## **COI COC Entity Questions (2 of 2)**

### **Name of Outside Employer**

*Please provide name of outside employer. (You may enter "self-employed" or "consulting services," if applicable, but not sponsored research routed through TTU).*

Hygiena

### **Address of Employer**

*Please provide full address of employer or consulting service (If foreign, please provide country).*

<https://www.hygiena.com/>

### Self-Employment

*Does the entity represent self-employment, such as a consulting services.*

Yes

### Self-employment Types of Clients or Services

*Please describe the types of clients and service provided via self-employment*

Advisement to meet regulatory parameters and AOAC approval.

### Expected Maximum Hours per Week

*Please enter the expected maximum hours per week for this employer or consulting services, not to exceed 10.*

1

### Outside Employment Greater Than \$5,000

*Given that you are reporting outside employment or consulting, AND, you are required to disclose potential conflicts of interests, do you and your family combined expect to receive, from this single entity, compensation exceeding \$5,000?*

Yes

### Outside Employment Potential Conflict of Interest

*Would this compensation appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.*

Yes

### Financial Interest Questions -- NON-PHS

#### Please answer the following questions in the context of...

*whether your foreign or domestic business or financial interests (currently or for the next 12 months) **would reasonably appear to be affected by** the research or educational activities funded, or proposed for funding, by an external sponsor, as required by OP 74.17.*

#### Equity Interest excess \$5000

*Do you and your family (combined) hold equity interest in excess of \$5,000 in a single external entity that would appear to be affected?*

No: I (we) do NOT currently hold such equity interest.

### Equity interest 5%

*Do you and your family (combined) hold equity interest that exceeds 5 percent ownership interest in a single external entity that would appear to be affected?*

No: I (we) do NOT hold such equity interest.

### Member of Governing Board

*Do you or your family members serve as a member of a governing board on an external entity and receive financial benefit that would appear to be affected. (Please exclude governing boards of service organizations, charities, and professional organizations.)*

No: I (we) did not serve nor expect to serve on such governing board(s).

### Financial Interests Effect on TTU Activities

*Do you and your family (combined) hold other significant business or financial interests, or expect to receive other remuneration, that possibly could affect, or be perceived to affect, the results of the research or educational activities performed by you as a part of a sponsored project.*

No: I (we) do NOT currently hold such interest.

### Commercialization of Product

*Are you currently working to commercialize or have you commercialized a product generated from your sponsored research?*

Yes.

#### Details of Commercialization

*Please provide details and explanations.*

no

### Commercialization Origin

*Did the intellectual property (IP) associated with your commercial endeavors originate at TTU?*

No, none of the IP originated at TTU

### Details of Commercialization Origin

*Briefly describe the origin of the intellectual property that you are working to commercialize.*

Not applicable

### Other Remuneration

*Will you and your family (combined) receive other remuneration (such as distribution of equity interest, royalties, gifts, and paid authorship) exceeding \$5,000 from a single entity?*

No

### Employ Texas Tech Students

*Do you or your family members have ownership, or hold an equity interest in, an external entity that employs current Texas Tech students.*

No: I (we) do NOT currently hold such interest.

### Key Personnel

*Please provide the names and email for any Key Personnel working on your sponsored project who should file a disclosure. "Key Personnel" are personnel who contribute to the development, execution and/or reporting of a project in a substantive way. They may or may not receive salary or compensation. Or, state N.A.*

Mark Miller  
Dale Woerner  
Marcos Sanchez  
Kendra Nightingale  
Todd Brashears  
Chance Brooks  
Guy Loneragan

### COI Entity Questions (1 of 3)

#### Name of Entity

*Please provide name of private business. (Not sponsored research routed through TTU.)*

Chr Hansen

#### Address of Entity

*Please provide address of entity (If foreign, please provide country).*

9015 W Maple St.  
Milwaukee, WI 53214

### COI Entity Details #1 (1 of 3)

### Entity Publicly Traded

*Is the entity publicly traded?*

No

### Main Products and Services

*What are the main products and services of this external entity?*

Probiotics

### Type of Business or Financial Interests

*What is the business or financial interest to you or your family members (defined as a spouse and dependent relative or household members)?*

Income related to royalties on patents and copyrights

## COI Entity Details #2 (1 of 3)

### Sponsored Project Impact on External Entities

*List the currently sponsored project(s) that might impact this external entity. Please include the name, nature, and other investigators associated with each project.*

none

### Entity Sponsored Research

*Does this entity itself sponsor projects at Texas Tech that you are involved with?*

No

### Entity Benefits from Sponsored Research

*Using clear, simple language... Explain how your financial and/or business interest in the entity **could benefit from** the **sponsored project(s)** on which you serve as a principal investigator, co-investigator or senior personnel.*

Not applicable. No funded projects.

### Entity Influence on Sponsored Project

Using clear, simple language... Explain how your financial and/or business interest in the entity **could influence, or be perceived to influence, the sponsored project(s)** on which you serve as principal investigator, co-investigator or senior personnel.

Not applicable. No funded projects.

### Entity Does NOT Relate to Sponsored Projects or Institutional Responsibilities

Using clear, simple language... Alternatively, explain how your financial and/or business interest in the entity **does not relate** to your **research or educational activities**.

They do not have funded research with me.

### COI Entity Details #3 (1 of 3)

#### Overlapping Activities

Identify all activities that overlap between this external entity and your sponsored project(s).

none

#### Texas Tech Spaces and Resources

Identify all Texas Tech spaces and resources that are utilized directly, or indirectly, by the external entity.

none

#### Texas Tech Students

Are any Texas Tech students (undergraduate students, graduate students, and/or postdoctoral trainees) employed by this entity?

No

#### Other TTU Faculty or Staff

Explain the roles(s) and activities in the external entity that are performed by any other Texas Tech University faculty and/or staff.

Guy Loneragan

### COI Entity Details #4 (1 of 3)

### Human Subject Research

*Explain how this entity might financially benefit from any human subject research that you are performing (or, indicate Not Applicable).*

not applicable

### Animal Research

*Explain how this entity might financially benefit from any animal research that you are performing (or, indicate Not Applicable).*

not applicable

### SBIR

*Briefly explain your SBIR project (Small Business Innovation Research) and its connection to this entity (or, indicate Not Applicable).*

not applicable

### STTR

*Briefly explain your STTR (Small Business Technology Transfer Research) and its connection to this entity (or, indicate Not Applicable).*

not applicable

### Commercialization

*Briefly explain the relationship between your sponsored project(s), potential commercialization of a product, and this entity (or, indicate Not Applicable).*

not applicable

**CLICK ADD ANOTHER ENTITY BELOW IF YOU NEED TO ADD ANOTHER. OTHERWISE CLICK NEXT TO CONTINUE**

### COI Entity Questions (2 of 3)

#### Name of Entity

*Please provide name of private business. (Not sponsored research routed through TTU.)*

MicroZap

### Address of Entity

*Please provide address of entity (If foreign, please provide country).*

Innovation Hub  
Texas Tech

### COI Entity Details #1 (2 of 3)

#### Entity Publicly Traded

*Is the entity publicly traded?*

No

#### Main Products and Services

*What are the main products and services of this external entity?*

MicroWave Units that reduce bacteria in foods

#### Type of Business or Financial Interests

*What is the business or financial interest to you or your family members (defined as a spouse and dependent relative or household members)?*

Ownership of non-publicly traded entity  
Income related to royalties on patents and copyrights

### COI Entity Details #2 (2 of 3)

#### Sponsored Project Impact on External Entities

*List the currently sponsored project(s) that might impact this external entity. Please include the name, nature, and other investigators associated with each project.*

none

#### Entity Sponsored Research

*Does this entity itself sponsor projects at Texas Tech that you are involved with?*

No

### Entity Benefits from Sponsored Research

Using clear, simple language... Explain how your financial and/or business interest in the entity **could benefit from** the **sponsored project(s)** on which you serve as a principal investigator, co-investigator or senior personnel.

none

### Entity Influence on Sponsored Project

Using clear, simple language... Explain how your financial and/or business interest in the entity **could influence, or be perceived to influence**, the **sponsored project(s)** on which you serve as principal investigator, co-investigator or senior personnel.

none

### Entity Does NOT Relate to Sponsored Projects or Institutional Responsibilities

Using clear, simple language... Alternatively, explain how your financial and/or business interest in the entity **does not relate** to your **research or educational activities**.

none

### COI Entity Details #3 (2 of 3)

#### Overlapping Activities

Identify all activities that overlap between this external entity and your sponsored project(s).

none

#### Texas Tech Spaces and Resources

Identify all Texas Tech spaces and resources that are utilized directly, or indirectly, by the external entity.

Basement of ESB MicroZap room

#### Texas Tech Students

Are any Texas Tech students (undergraduate students, graduate students, and/or postdoctoral trainees) employed by this entity?

No

### Other TTU Faculty or Staff

*Explain the roles(s) and activities in the external entity that are performed by any other Texas Tech University faculty and/or staff.*

Alejandro Echeverry - Service Projects

### COI Entity Details #4 (2 of 3)

#### Human Subject Research

*Explain how this entity might financially benefit from any human subject research that you are performing (or, indicate Not Applicable).*

none

#### Animal Research

*Explain how this entity might financially benefit from any animal research that you are performing (or, indicate Not Applicable).*

none

#### SBIR

*Briefly explain your SBIR project (Small Business Innovation Research) and its connection to this entity (or, indicate Not Applicable).*

none

#### STTR

*Briefly explain your STTR (Small Business Technology Transfer Research) and its connection to this entity (or, indicate Not Applicable).*

none

#### Commercialization

*Briefly explain the relationship between your sponsored project(s), potential commercialization of a product, and this entity (or, indicate Not Applicable).*

not applicable

**CLICK ADD ANOTHER ENTITY BELOW IF YOU NEED TO ADD ANOTHER. OTHERWISE CLICK NEXT TO CONTINUE**

### COI Entity Questions (3 of 3)

### Name of Entity

*Please provide name of private business. (Not sponsored research routed through TTU.)*

BioSafe

### Address of Entity

*Please provide address of entity (If foreign, please provide country).*

3821 148th Street South  
Omaha, NE 68144

### COI Entity Details #1 (3 of 3)

#### Entity Publicly Traded

*Is the entity publicly traded?*

Yes

#### Main Products and Services

*What are the main products and services of this external entity?*

BioSafe Ozone Technology

#### Type of Business or Financial Interests

*What is the business or financial interest to you or your family members (defined as a spouse and dependent relative or household members)?*

Equity held in publicly traded entity  
Consulting

### COI Entity Details #2 (3 of 3)

#### Sponsored Project Impact on External Entities

*List the currently sponsored project(s) that might impact this external entity. Please include the name, nature, and other investigators associated with each project.*

none

#### Entity Sponsored Research

*Does this entity itself sponsor projects at Texas Tech that you are involved with?*

No

### Entity Benefits from Sponsored Research

Using clear, simple language... Explain how your financial and/or business interest in the entity **could benefit from** the **sponsored project(s)** on which you serve as a principal investigator, co-investigator or senior personnel.

none

### Entity Influence on Sponsored Project

Using clear, simple language... Explain how your financial and/or business interest in the entity **could influence, or be perceived to influence**, the **sponsored project(s)** on which you serve as principal investigator, co-investigator or senior personnel.

none

### Entity Does NOT Relate to Sponsored Projects or Institutional Responsibilities

Using clear, simple language... Alternatively, explain how your financial and/or business interest in the entity **does not relate** to your **research or educational activities**.

none

### COI Entity Details #3 (3 of 3)

#### Overlapping Activities

Identify all activities that overlap between this external entity and your sponsored project(s).

none

#### Texas Tech Spaces and Resources

Identify all Texas Tech spaces and resources that are utilized directly, or indirectly, by the external entity.

Meat Lab and Food Micro Lab have units for cleaning and disinfection.

#### Texas Tech Students

Are any Texas Tech students (undergraduate students, graduate students, and/or postdoctoral trainees) employed by this entity?

No

### Other TTU Faculty or Staff

*Explain the roles(s) and activities in the external entity that are performed by any other Texas Tech University faculty and/or staff.*

Mark Miller, Dale Woerner and Marcos Sanchez are also equity owners.

### COI Entity Details #4 (3 of 3)

#### Human Subject Research

*Explain how this entity might financially benefit from any human subject research that you are performing (or, indicate Not Applicable).*

none

#### Animal Research

*Explain how this entity might financially benefit from any animal research that you are performing (or, indicate Not Applicable).*

none

#### SBIR

*Briefly explain your SBIR project (Small Business Innovation Research) and its connection to this entity (or, indicate Not Applicable).*

none

#### STTR

*Briefly explain your STTR (Small Business Technology Transfer Research) and its connection to this entity (or, indicate Not Applicable).*

none

#### Commercialization

*Briefly explain the relationship between your sponsored project(s), potential commercialization of a product, and this entity (or, indicate Not Applicable).*

none

**CLICK ADD ANOTHER ENTITY BELOW IF YOU NEED TO ADD ANOTHER. OTHERWISE CLICK NEXT TO CONTINUE**

### Conflict of Interest Declaration

### Conflict of Interest

*In my judgement, this disclosure of significant business or financial interest does/does not constitute a financial conflict of interest.*

Does not

### User Signature

#### Department

Animal and Food Sciences

#### Unit Head

Legako, Jerrad

**Email:** jerrad.legako@ttu.edu

**Phone:**

#### Delegated Unit Head

Legako, Jerrad

#### Parent Department

College of Agricultural Sciences and Natural Resources Designated Reviewer

#### Designated Official

Bratcher, Christy

**Email:** Christy.Bratcher@ttu.edu

**Phone:**

#### Delegated Designated Reviewer

Akers, Cynthia

#### User Signature

*By clicking "Sign" and entering my password in the space provided, I am electronically signing this form and confirming the accuracy of its content.*

Signed Monday, September 20, 2021 5:20:59 PM ET by Brashears, Mindy

#### Submission Instruction

***Please be sure to click Next and then Submit your disclosure on the next page.***

**Submission Date**

02/10/2022

**Identifying Question Combo**

Animal and Food SciencesYes No

**Click  
'Next' to  
Continue**

**FCOI Review for Completion**  
**- Submitted 09/20/2021 6:02 PM ET by System, The**  
**Under Pre-Review**

**Pre-Review Outcome**

Type	Reviewer	Outcome	Due	Complete
FCOI Pre-review	Alonzo, Marisol	Positive Disclosure Ready for Review	09/27/2021	09/20/2021

**Review Summary**

**Setup Post Pre-Review**

**- Submitted 09/20/2021 6:02 PM ET by System, The**

**Holding Page for routing check**

**Initial Stage Routing Confirmed**

*Have you made certain that the dept. chair and designated official are correct in stage 1?*

*No answer provided.*

**Unit Head Review**

- Submitted 09/26/2021 4:28 PM ET by System, The

**Unit Head Comments**

**Existing Contact Disclosure**

**Unit Head Outcome**

Type	Reviewer	Outcome	Due Complete
Unit Head Review	Legako, Jerrad	Approved	09/26/2021

**Unit Head Review Summary**

**Designated Official Review**

**Designated Official Review Outcome**

**Designated Review Outcome**

Type	Reviewer	Outcome Due	Complete
Designated Official Review	Akers, Cynthia	10/01/2021	

**Designated Official Review Summary**

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**Financial Conflict of Interest Management Plan**

The Office of Research and Innovation (ORI) at Texas Tech University has reviewed the Investigator's Confidential General Disclosure Form and the Confidential Supplemental Detailed Disclosure Form and has determined that a significant business or financial interest relates to funded research and/or institutional responsibilities and may constitute a financial conflict of interest (FCOI). Below is the management plan designed to safeguard objectivity which includes specific actions taken to manage the FCOI.

Name of Investigator:		Title:	College:	Department:
Brashears, Mindy		Professor	CASNR	Animal and Food Sciences
Effective Period of this Management Plan (one year + 1 month):	Required annual review of this plan shall occur no later than this date:		Attendees and dates of meetings to the develop management plan:	
April 1, 2021 – May1, 2022	February 1, 2022		Mindy Brashears; Marisol Alonzo (via email)	
TTU Sponsored Project Title/s:			Sponsor/s:	
Impact of a lean beef diets on reducing the risk of developing cancer, diabetes and obesity in mouse models			Beef Products Inc	
Identified Entity/s:			Significant business and financial interest/s:	
Nebraska Beef			Consulting	
Chr Hansen			Income related to royalties on patents and copyrights	

Significant business and financial interests:	
Consulting Identified Entity's device will be utilized in TTU sponsored research	
#	Guidance provided by the Investigator Financial Disclosure Committee (IFDC)
Guidelines that Promote Transparency & Disclosure:	
1	I will maintain a current/updated disclosure and management plan.
2	My TTU Personnel and Students who have complex business interests will maintain a current/updated disclosure submitting annually or as specified under TTU OP 74.17 ( <a href="http://www.depts.ttu.edu/opmanual/OP74.17.pdf">http://www.depts.ttu.edu/opmanual/OP74.17.pdf</a> ).

3	TTU will get credit for work related to TTU sponsored projects.
4	I will disclose sponsor(s) in publications & presentations. [Related also to HB 1295].
5	In publications and presentations, I will disclose my relationship with Identified Entity/s.
6	I will disclose my relationship(s) with Identified Entity/s to TTU Personnel and Students who are involved in my sponsored project(s).
<b>Guidelines to Generate Separation between Sponsored Project/s and Private Entity/s</b>	
7	I will maintain separation between my Identified Entity/s and TTU activities.
8	I will not share project data, analyses and/or interpretation with the Identified Entity/s before the project results are publicly available.
9	<ul style="list-style-type: none"> <li>• Intellectual Property belonging to a TTU sponsored project cannot belong to any Identified Entity;</li> <li>• Sponsored project and Identified Entity-sponsored Intellectual Property must be kept separate;</li> <li>• Intellectual Property derived from sponsored projects cannot be available to any Identified Entity before it is publicly available, consistent with your sponsored project agreement.</li> </ul>
10	This FCOI management plan applies to current TTU sponsored projects as well as future TTU sponsored projects that are awarded during the effective period of this management plan.

<b>Guidelines that Define the Involvement and/or Impact of Faculty Private Enterprise on the Education or Careers of TTU Students &amp; Personnel:</b>	
11	Sponsored projects will not pay TTU Personnel and Students to work for my Identified Entity/s. Duties and remuneration for the Identified Entity/s and all of my TTU sponsored project(s) will be clearly defined and separated.
12	My relationship/s with the Identified Entity/s will not influence or otherwise restrict the ability of students, collaborators, or research staff to collect, analyze, interpret, or report data.
13	Students will not participate in activities related to the Identified Entity/s as a part of a thesis or dissertation if the terms and conditions of participation would prevent or inhibit them from meeting applicable Texas Tech University degree requirements.
14	I will clearly inform TTU Personnel and Students how their responsibilities for Identified Entity/s are distinguished from TTU.
<b>Guidelines to Separate TTU Resources, Expenditures &amp; Intellectual Property from Faculty Private Enterprise(s):</b>	
15	Intellectual Property developed through TTU sponsored projects is owned by TTU, unless specified by a contractual agreement.
16	My Identified Entity/s must have a facilities use agreement to utilize TTU facilities.

17	I understand that I may participate on Identified Entity/s advisory boards, as long as that participation does not influence funding decisions, Intellectual Property discussions, or my institutional activities.
18	I must follow TTU OPs when conducting business between TTU and my Identified Entity/s.
19	<b><i>Business transactions between TTU sponsored projects and my Identified Entity/s must be supervised by an impartial third party.</i></b>
<b>Guidance provided by the Responsibility Committees:</b>	
20	If my TTU activities involve projects overseen by the Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), Institutional Laboratory Safety Committee (ILSC), Institutional Review Board (IRB), and/or Radiation & Laser Safety Committee (RLSC), I agree to incorporate into this plan any conditions set forth by the appropriate regulatory committee.
<b>Additional Guidance Requested by Investigator:</b>	
21	I will maintain third-party oversight of my research data in accordance with agreements between myself and my chairperson.
<b>Investigator Confirmation:</b>	
<i>I confirm that I have been consulted during the development of this financial conflict of interest management plan and I understand and agree to the terms and conditions herein. I understand that the terms and conditions herein extend to my family members, defined as a spouse and dependent relatives or household members. I understand that failure to adhere to the plan may require Texas Tech University to report such non-compliance to external agencies or sponsors funding my research, may result in the loss of external funding, may require repayment of funds to the external agency or sponsor, and may subject me to disciplinary action in accordance with TTU Operating Policies &amp; Procedures.</i>	

<p><i>Mindy Brashears</i></p> <hr/> <p>Investigator Signature</p>	<p>06/24/2021</p> <hr/> <p>Date</p>
<b>Approvals: (Signature and Date)</b>	
<p>Department Chair or Unit Head:</p> <p>Dean or Director:</p> <p>Associate Vice President for Research (Integrity):</p>	<p><i>Michael D. O'Neil</i></p> <hr/> <p>7/27/21</p> <p>Date</p> <p><i>Cindy Akers</i></p> <hr/> <p>7/30/21</p> <p>Date</p> <hr/> <p>Date</p>

TX-UT-22-0145-A-000043

*Unless otherwise advised, please return to Marisol Alonzo, Administrator for Financial Disclosure, MS 1075, Administration #356.*

TX-UT-22-0145-A-000044