

Statement of Economic Interests
Supplemental Information

Principal Investigator: _____

Department: _____

Sponsor: _____

Title of Project: _____

Section I. Program Type

Is this a 'Small Business Innovation Research' (SBIR) program?

YES NO

Is this a 'Small Business Technology Transfer Research' (STTR) program?

YES NO

Section II. Financial/Personal Relationship with Sponsor

a. Describe your role in the research program of the sponsoring entity.

b. Briefly describe the nature of your personal financial involvement with the Sponsor. For example, paid position (e.g., employee, director, officer, consultant, etc.), equity stake, bonds, or other financial remunerations. Do you expect this involvement to continue? If so, explain.

c. Is there a written consulting agreement between you and the sponsor? If so, please attach a copy.

d. Are there any other written agreements between you personally (excluding formal proposals, contracts, grants or gifts reviewed and/or executed through the Office of Research) and the Sponsor concerning this contract, grant, or gift? If so, please attach a copy.

Section III. Details Concerning the Research Project

a. Is the Sponsor funding the full cost of the project? (Yes or No) If other funding sources are involved in this research project, please indicate who they are and the dollar value of their support.

b. Describe below in some detail if the research project involves: i) testing of products; ii) licensing or other approval of any product or device by a governmental agency; or iii) development of any product or other device of potential economic value to the sponsor.

c. Describe the University facilities and resources to be used when conducting research supported by the contract, grant, or gift. Explain how the University will be compensated (monetary or otherwise) for such use. (Please note that for gifts used entirely for the benefit of your research, the question of compensation is normally not an issue.)

d. How will results of the research which is supported by this contract, grant, or gift, be made public?

e. Will Sponsor be providing any proprietary data for use on the project? If yes, will possession of such data require controls on access to the research data? Please describe any such requirements.

f. Will the contract, grant, or gift funding this research require the granting of an exclusive license to the Sponsor? If yes, has the Office of Research been notified and approved this?

Section IV. Points Regarding Potential Conflict of Interest

a. Describe the safeguards that you will use to ensure that your financial involvement with the Sponsor of this contract, grant, or gift, will not affect or impair your ability to conduct research in accordance with applicable University policies and the highest professional standards.

b. Describe how the research that you anticipate supporting with this contract, grant, or gift, fits the mission of the University. Comment on how the University and the students will benefit from this research.

c. What potentially profitable opportunities (monetary or otherwise) do you expect the project Sponsor to acquire as a result of this research? If there are any, please explain how the benefits to the Sponsor are balanced by the benefits to the University and the people of the State of California.

(Please attach any additional information that may be of use to the committee in reviewing the proposal, including any background documentation about the development of the project, related research interests, negotiations or other correspondence with the Sponsor and a proposed budget if one has not already been submitted.)

Signature

Date

Privacy Statement

The State of California Information Practices Act of 1977 (effective July 1, 1978) requires the University to provide the following information to individuals who are asked to supply information about themselves: The principal purpose for requesting the above information is to accomplish the independent and substantive review of positive financial disclosures as required by the Policy on Disclosure of Financial Interest in Private Sponsors of Research (Revised March 1984). University policy and State law authorize maintenance of this information. Submission of this information is mandatory. ***The consequences of not providing all or any part of the requested information could be nonacceptance of your award from the proposed sponsor.*** The information is a public record under University policy and State law. Individuals have the right to review their own records in accordance with Academic Personnel Manual, section 160. Information about this records policy may be obtained from the campus or Office of the President--Office of Academic Affairs. The officials responsible for maintaining the information collected on this form are the Associate Dean, Graduate Division and Research and the Senior Vice President--Academic Affairs.