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**PATENT COORDINATORS  
CONTRACT AND GRANT OFFICERS  
VICE CHANCELLORS--RESEARCH ADMINISTRATION  
ADMINISTRATIVE CONFLICT OF INTEREST COORDINATORS**

**SUBJECT:** Supplement to Managing Potential Conflicts of Interest in Licensing under the California Political Reform Act

OTT Operating Guidance Memo No. 01-02 ( August 1, 2000) issued the new University of California Guidelines on Managing Potential Conflicts of Interest in Licensing (Exhibit B) for use by campuses and Laboratories in establishing their Licensing Decision Review (LDR) plans. The guidelines addressed some of the most common issues concerning potential conflicts of interest in University licensing activity and serve as a guide to implement the requirements of the California Political Reform Act. Also enclosed with that Memo were Exhibit C, "Required Elements for Campus/Laboratory Plans for Licensing Decision Reviews," which outlined the elements that any local LDR process must include to be in compliance with the Political Reform Act, and UC Form TT-100, "Inventor Statement Concerning Involvement in Licensing Decisions" (Exhibit D) to be used in accordance with the Guidelines. For information, I also included in that August 1 Guidance Memo OTT's own Plan for Carrying Out Licensing Decision Reviews (Exhibit F) including a sample notice that OTT would provide to inventors, "What Inventors Need to Know about Conflict of Interest in Licensing" (Exhibit E). All of the Exhibits to the August 1 issuance are included here for your convenience.

I stated at that time that I considered OTT's own plan an interim one until we had gained experience in this area and that it would be revised from time to time based on our experience.

Having gone through some early OTT implementation activities and already initiated several Licensing Decision Reviews, we wish to now modify certain elements of the package that was issued on August 1. The following Exhibits have been updated:

- Exhibit C - Required Elements for Campus/Laboratory Plans for Licensing Decision Reviews
- Exhibit E - Sample Notice: "What Inventors Need to Know about Conflict of Interest in Licensing"
- Exhibit F - OTT Plan for Carrying Out Licensing Decision Reviews.

In each case, the document has been modified to reflect a change in the approach that OTT will take in asking inventors to complete Form TT-100. Each Exhibit will now indicate that at OTT, the most likely time that a Form TT-100 will be sent to an inventor will be just prior to the commencement of negotiations with a potential licensee(s), and only when the OTT Licensing Professional determines that the inventor has or will in the future be involved in University licensing decisions. The Licensing Professional will be required to complete and sign a new form for retention in the case file called Licensing Professional Statement of Influence. It is expected that this approach will minimize the administrative burden involved in addressing these matters, while helping to ensure that inventors are informed of and act in accordance with their obligations under the Political Reform Act.

Please be sure that you refer to the most current versions of all Exhibits as dated below.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan B. Bennett", followed by a small star-like flourish.

Alan B. Bennett  
Executive Director  
Research Administration  
and Technology Transfer

- Exhibit A - Letter from Senior Vice Presidents King and Mullinix, June 18, 2001
- Exhibit B - Guidelines on Managing Potential Conflicts of Interest in Licensing (August 1, 2001)
- Exhibit C - Required Elements for Campus/Laboratory Plans for Licensing Decision Reviews (October 1, 2001)
- Exhibit D - UC Form TT-100, "Inventor Statement Concerning Involvement in Licensing Decisions" (August 1, 2001)
- Exhibit E - Sample Notice: "What Inventors Need to Know about Conflict of Interest in Licensing" (October 1, 2001)
- Exhibit F - OTT Plan for Carrying Out Licensing Decision Reviews (October 1, 2001)

cc: Managers Academic Conflict of Interest Coordinators  
Senior Vice President Mullinix  
OTT Associate Directors