Before any UH or RCUH employee participates in any technology transfer activity (TTA) where Hawaii Revised Statutes (HRS) Chapter 84, section 10 and Chapter 304A, sections 1951-1959 may apply, UH is required to review the activity for compliance with the Hawai‘i State Ethics Code[[1]](#footnote-1). TTAs will be reviewed with emphasis on innovation and commercialization plans, data management and data integrity plans, use of UH resources, and involvement of UH and RCUH employees, students and staff. Further review by the Hawai‘i State Ethics Commission may be required. In instances where conflicts may arise, TTAs will be subject to a management plan that includes appropriate monitoring and oversight of the activities and any use of UH facilities, equipment and/or resources.

This form will be used to:

* determine whether the activity qualifies as “UH sponsored technology transfer activity” under HRS §84-10
* evaluate whether UH institutional responsibilities, significant financial interests (SFI), and other relevant outside activities create potential conflict
* how best to manage any identified conflict(s)

Submit the completed form to the Office of Innovation and Commercialization:

Email: oic@hawaii.edu

Mail: 2425 Campus Road, Sinclair 10

Honolulu, HI 96822

Hawaii Revised Statutes

HRS §84-10

HRS §304A-1951 through 1959

UH Policies & Resources

EP 12.206 Policy for Ethical Guidelines in the Conduct of Technology Transfer Activities

EP 12.214 Conflicts of Interest and Commitment

AP 5.504 Procedures for Disclosing and Addressing Conflicts of Interest and Commitment

AP 9.240 Record of Outside employment

AP 12.206 Procedures to Manage Ethical Issues in Technology Transfer Activities Sponsored by the University

AP 12.304 Procedures for Disclosing and Addressing Conflicts of Interest Related with Extramurally-Funded Activities

Conflicts of interest and management

Ethics and Technology Transfer Activities: https://research.hawaii.edu/ethics/

ORS COI Information: https://research.hawaii.edu/ors/conflicts-of-interest-coi-information/

myGrant rCOI: http://mygrant.ors.hawaii.edu/rCOI

UH Office of Research Integrity: https://research.hawaii.edu/orc/programs/research-integrity/

If you have any questions, contact oic@hawaii.edu or call 808-956-9024.

# Section I. Requestor Information

|  |
| --- |
| 1. Name:
 |
| 1. Email:
 |
| 1. Campus:
 |
| 1. Department/Unit:
 |
| 1. College/School:
 |
| 1. Immediate Supervisor:
 |
| 1. Chair/Dean/Director:
 |

# Section II. Entity Information

1. Company/Business Name:
2. Company Address:

Street Address:

City/State/Zip Code:

[ ]  Commercial Address [ ]  Residential Address

1. Company Phone Number:
2. Parent Company (if any):
3. Registered Agent/Statutory Agent Name:
4. Email:
5. Agent Phone Number:
6. Type:

[ ]  Sole Proprietorship [ ]  Limited Liability Corporation [ ]  Corporation

[ ]  S Corporation [ ]  General Partnership [ ]  Not for Profit

[ ]  Other

1. Is the entity a party to any agreements with UH?

[ ]  License or Option Agreement [ ]  Sponsored Research Agreement

[ ]  SBIR/STTR Subaward/Subcontract [ ]  Other:

1. Has the company participated in any entrepreneur or innovation program supported by UH?

[ ]  Yes, identify program

[ ]  No

# Section III. Proposed Research/Project/Activity Information

1. Research/Activity Description:

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1. Describe the proposed research/activity that will be performed at UH and/or using UH resources. If there is currently no activity at entity and/or at UH, please so state and provide an estimated time of re-engagement, if any.:

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1. Are you an inventor of any intellectual property being used or developed in the research/project/activity described above? [ ]  Yes [ ]  No
2. Was the intellectual property developed from work funded by UH or using UH equipment, facilities or resources? [ ]  Yes [ ]  No
3. If yes, has the intellectual property been disclosed to OTT? [ ]  Yes [ ]  No
4. Describe the intellectual property being used or developed:

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1. Describe your title(if any), role(s) and responsibilities to the entity and the total time commitment involved (*see,* AP 9.240 – Record of Outside employment):

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1. Does this entity fund any other research/projects in your UH lab? [ ]  Yes [ ]  No
2. If yes, list the project details:

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|       |

1. Are other UH employees, RCUH employees and/or UH students involved in the business of the entity? [ ]  Yes [ ]  No
2. If yes, provide names, titles and a brief description of their title, role and responsibilities to the entity.

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1. List any other activities or information regarding the entity or your relationship to the entity, including ownership interest or equity held by you or your immediate family members.

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1. Do you currently have an approved and executed COI management plan with the Office of Research Compliance? [ ]  Yes [ ]  No

# Section IV: Signature

By signing below, I hereby

1. certify I have read HRS §84-10 and §304A-1951 through 1959, and UH policies and procedures related to Ethical Issues in Technology Transfer Activities , Conflict of Interest and Outside Employment.
2. understand and agree that all my outside activities with the Entity are undertaken as an individual and not as an agent or representative of the University of Hawai`i;
3. agree to cooperate with UH in its review of the technology transfer activities in this form, including development of any related management plan;
4. agree to abide by all relevant provisions of the laws of the State of Hawai‘i, UH policies, procedures, guidelines, management plans and any other conditions required for project/research activities to be allowed;
5. agree and understand that any ethics violation is grounds for disciplinary action, which could include disallowance of technology transfer and/or research activities with the Entity, and termination or suspension of any extramural funding; and
6. certify all information provided in this form and other applications and forms related to this activity is true and accurate to the best of my knowledge.

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| --- | --- | --- |
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| Signed by:       |  | Date |

1. available at https://www.capitol.hawaii.gov/hrscurrent/Vol02\_Ch0046-0115/HRS0084/HRS\_0084-.htm [↑](#footnote-ref-1)