

**UNIVERSITY OF CALIFORNIA, SANTA CRUZ**  
**COPYRIGHT DISCLOSURE FORM**  
Disclosure of Copyrightable Works  
Produced Under University Auspices

1. Description of Material

Title: \_\_\_\_\_

Series title, if any: \_\_\_\_\_

Medium/form: \_\_\_\_\_

Brief description: \_\_\_\_\_

(Detailed information to be entered on Attachment I.)

2. Author

Name: \_\_\_\_\_ Payroll title: \_\_\_\_\_

Basis of participation:

\_\_\_\_\_ within the course and scope of University employment;

\_\_\_\_\_ within the scope of a sponsored research agreement; (Please attach pertinent details.)

\_\_\_\_\_ pursuant to a facilities use agreement; (Please attach.)

\_\_\_\_\_ within the scope of independent academic research (not pursuant to a sponsored research or facilities use agreement);

\_\_\_\_\_ outside the course and scope of University employment (not pursuant to a sponsored research or facilities use agreement);

\_\_\_\_\_ Other: \_\_\_\_\_

3. Co-author (if any)

Name: \_\_\_\_\_ Payroll title: \_\_\_\_\_

Basis of participation:

\_\_\_\_\_ within the course and scope of University employment;

\_\_\_\_\_ within the scope of a sponsored research agreement; (Please attach pertinent details.)

\_\_\_\_\_ pursuant to a facilities use agreement; (Please attach.)

\_\_\_\_\_ within the scope of independent academic research (not pursuant to a sponsored research or facilities use agreement);

\_\_\_\_\_ outside the course and scope of University employment (not pursuant to a sponsored research or facilities use agreement);

\_\_\_\_\_ Other: \_\_\_\_\_

4. Other creative contributors or participants

Name

Basis of participation

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Use of University facilities: (Please describe the University facilities used in this project, including type of facility and extent of use.) \_\_\_\_\_  
\_\_\_\_\_

(If University facilities other than libraries and personal work stations are used to benefit a project conducted outside the scope of University employment, a facility use agreement is normally required prior to use.)

6. Production financing by fund source: Please use Attachment II to list the value of all resources contributed to the project by the University, sponsoring agencies, employees, and others. (This includes any unpaid personal time contributed by the author and/or co-author.)

7. Titles and credits to be incorporated: Please use Attachment III to list titles and credits, including any proposed use of the University or campus name.

8. Date of Completion of the Work: \_\_\_\_\_

9. Recommended Use of the Work

\_\_\_\_\_ Internal use only

Systematic extramural distribution by:

\_\_\_\_\_ Author(s)

\_\_\_\_\_ UCSC campus unit (specify): \_\_\_\_\_

\_\_\_\_\_ UC Extension Media Center

\_\_\_\_\_ External agency (specify): \_\_\_\_\_

\_\_\_\_\_ Other (specify): \_\_\_\_\_

10. Cost of Distribution

If the work is to be distributed by the author or campus unit:

Estimated cost of distribution: \_\_\_\_\_

Funding source(s): \_\_\_\_\_

11. Information on Proposed Licensee(s)

If a non-University entity has expressed interest in licensing this work , please provide the name of the entity and information on any proposed licensing terms. (Attach a separate sheet if necessary):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

13. Disclosure of Economic Interest

Does the author, co-author or any other creative contributor to the work have any financial interest (including investment, income, or a position as owner, director, officer, partner, trustee, or employee) in the proposed licensee organization? \_\_\_\_\_ yes \_\_\_\_\_ no

If yes, the affected individual(s) must complete the attached Statement of Economic Interests (Attachment IV).

14. Royalty sharing

The University may elect to share net royalty income from University-owned copyrighted works with the author(s), except in the case of sponsored works where the sponsor determines disposition of such income. The normal guidelines for allocating royalty income are: one third to the author(s), one sixth to the sponsoring department, one sixth to the division, and one third to the Chancellor's discretionary fund. When the originator has already been explicitly compensated for his/her efforts in creating the work, the University reserves the right to recover its out-of-pocket production costs before any income is allocated to the originator. Furthermore, royalty allocations will normally not be made to employees hired to produce copyrightable works for the University or whose job duties specifically include preparation of such works.

If the author(s) and/ or department head believe that a different royalty allocation is more appropriate in this case, please provide an explanation and justification below. (Attach a separate sheet if necessary.)

15. Authors' Certifications

Any and all works copyrighted by others and included in the material described herein have been included with the written permission of the copyright owners. Appropriate statements of consent, release and indemnification have been provided by all creative contributors or participants to the production of this material. I/we accept full responsibility for these permissions and releases and for the content of this material, except as follows: \_\_\_\_\_

\_\_\_\_\_

Signed: \_\_\_\_\_  
(Author)

Date: \_\_\_\_\_

\_\_\_\_\_  
(Co-author)

Date: \_\_\_\_\_

**ATTACHMENT I—Brief Description of Materials Being Produced.**

**ATTACHMENT II—Production Financing by Fund Source**

Summarize the total production cost of the materials. For each entry, give the estimated monetary value, the basis upon which the value is calculated (e.g., hours x salary, standard rates, etc.), and the funding source, including University account name and number. Also include the approximate value of personal time of employees and voluntary contributions of time by non-employees (including students), as well as the fair value of donated goods and services.

<u>Category</u>	<u>Basis</u>	<u>Est. Value</u>	<u>Fund Source</u>
<b>Faculty Time:</b>			
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
<b>Staff Time:</b>			
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
<b>Supplies/Materials:</b>			
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
<b>Other Expenses:</b>			
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
<b>Equipment Purchase or Rental:</b>			
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____

Total Project Costs \_\_\_\_\_

<u>Breakdown of Total Project Costs</u>	<u>Dollar Amt.</u>	<u>Percentage of Total</u>
University contribution	_____	_____
Extramural agency contribution	_____	_____
Other contribution (specify)	_____	_____
Total	_____	100%

**ATTACHMENT III—Titles and Credits to be Incorporated**

List all main titles and credits *verbatim*, as presently planned for incorporation in the material. Significant changes in the wording or titles and/or credits should be initialed by the appropriate persons and attached as an amendment to this statement.

Omit minor labels, subscripts, etc.

Indicate clearly any planned use of the name “University of California” or the abbreviation “UC” (without reference to the Santa Cruz campus), or of the unofficial corporate seal of the University of California.

If the copyright to this material will belong to the University, the material must include the following copyright notice in a conspicuous place: “Copyright (year of creation) The Regents of the University of California. All rights reserved.”

Check guidelines of extramural funding agency, if any, for proper form of acknowledgments and/or disclaimers pertaining to the agency.

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**Title:**

**Authors:**

**Credits:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Copyright notice:** Copyright (*year*) The Regents of the University of California. All rights reserved.

**Agency Acknowledgment of Support and Disclaimer:**

This material is based upon work supported by the \_\_\_\_\_ under Grant No. \_\_\_\_\_. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the authors and do not necessarily reflect the views of the \_\_\_\_\_.

**ATTACHMENT IV--EMPLOYEE STATEMENT OF ECONOMIC INTERESTS IN POTENTIAL LICENSEE OF COPYRIGHTABLE WORK**

Complete this form if you have participated in the creation of a work copyrighted in the name of The Regents of the University of California and you also have an economic interest in a potential licensee of the copyrighted work..

A. Employee Information:

1. Name:
2. Payroll title:

B. Information on Copyrighted Work:

1. Title of work
2. Medium
3. Description of work
4. Fund source(s) used to produce work: \_\_\_\_\_

If work was produced with sponsored project funding, please indicate name of sponsoring agency, contract/grant name and number \_\_\_\_\_  
\_\_\_\_\_

C. Employee Involvement with Copyrighted Work :

Describe the nature and extent of your participation in producing the work:

D. Employee involvement with proposed licensee:

1. Name of licensee
2. Address
3. Name of contact person
4. Telephone number
5. Type of organization: \_\_\_ corporation \_\_\_ partnership \_\_\_ sole proprietorship \_\_\_ non-profit \_\_\_ governmental \_\_\_ other \_\_\_\_\_

6. Principal business activity of proposed licensee:

7. Nature of employee interest in proposed licensee organization:

(a) Do you, your spouse or dependent child(ren) hold a position such as director, officer, partner, shareholder, trustee, board member, or employee of the licensee? \_\_\_\_\_ No  
\_\_\_\_\_ Yes: Position: \_\_\_\_\_

(b) Do you, your spouse or dependent child(ren), have:

(i) Aggregate equity exceeding \$10,000 in the licensee organization?  
(stock, stock option, real estate, investment, loan or other ownership)

\_\_\_\_\_ No \_\_\_\_\_ Yes - value exceeds \$10,000 but does not exceed \$100,000  
\_\_\_\_\_ yes - value exceeds \$100,000 but does not exceed \$1,000,000  
\_\_\_\_\_ yes - value exceeds \$1,000,000

(ii) Aggregate equity exceeding 5% ownership interest in the licensee?  
\_\_\_\_\_ No \_\_\_\_\_ yes - ownership exceeds 5% but does not exceed 20%  
\_\_\_\_\_ yes - ownership exceeds 20% but does not exceed 50%  
\_\_\_\_\_ yes - ownership exceeds 50%

(iii) Aggregate income (including any payment, such as salary or consulting fees) exceeding \$10,000 or more received from the licensee organization within the past 12 months?

\_\_\_\_\_ No \_\_\_\_\_ Yes - value exceeds \$10,000 but does not exceed \$100,000  
\_\_\_\_\_ Yes - value exceeds \$100,000 but does not exceed \$1,000,000  
\_\_\_\_\_ Yes - value exceeds \$1,000,000.

I have used all reasonable diligence in preparing this statement and to the best of my knowledge it is true and complete.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_  
(print or type)

Date: \_\_\_\_\_

