

Industrial Affiliates Program Form for New Applications, Major Revisions and Annual Renewals

Revised May 1, 2015

Industrial Affiliates Programs provide a mechanism for multiple faculty and multiple companies to discuss and explore broad research topics in a pre-competitive environment: <http://doresearch.stanford.edu/industrialaffiliates>. In these programs, Stanford faculty and students can learn about industry perspectives and priorities, and corporate members are exposed to new ideas and research directions.

Industrial Affiliates Programs follow the rules that apply to gifts. Company membership benefits may not include research activities that have a statement of work, deliverables, or rights to intellectual property, in contrast to research grants and contracts with companies, which are arranged as sponsored project agreements.

Industrial Affiliates Programs and any related agreements must be reviewed and approved in advance by the Industrial Contracts Office (ICO) at formation, when renewed each year or if the Program undergoes major revisions. Requirements are outlined below and at: <http://industrialaffiliates.stanford.edu>.

Instructions:

1. Complete this form for each new or continuing affiliates program, or when substantially changing an existing program.
2. Obtain approval from the School Dean(s) for School based programs or the Dean of Research for Independent Laboratory/Institute/Center based Programs.
3. Submit the completed form to the Industrial Contracts Office (ICO) at **ico@stanford.edu**.

If questions, please contact ICO at 723-0651 or **ico@stanford.edu**.

Program Name:

Faculty Director(s):

Email:

Administrator:

Email:

Sponsoring school(s)/department(s) or Independent laboratory/Institute/Center

Check One:

- New Program Request**
- Continuing Program – Annual Report and Renewal Request**
- Existing Program with Major Revisions**

I. Purpose of Program:

II. Participating Faculty: List the faculty (with titles) who plan to participate in the Program (new application) or current faculty participants (renewal). Note that Programs must have at least two faculty who meet PI eligibility requirements: <https://doresearch.stanford.edu/research-scholarship/pi-eligibility-exceptions>

III. Industry Membership

A. New Programs

List companies that have committed to membership, pending university approval of the Program. Separately list those who have shown interest, but have not committed.

B. Continuing Programs

List current members. If only one company, please explain.

C. Membership Fee(s)

1. List membership fees and if membership levels vary, describe any associated features.

2. Provide total program income during the prior Stanford fiscal year (continuing programs) \$_____ (If *none*, please explain.)

3. Will or does the Program invoice members for their membership fees? YES/NO

IV. Agreements

Will or does the Program have a formal agreement with any of its members? YES/NO

If *YES*, attach a copy of the proposed agreement (new) or as approved by ICO (renewal).

V. Membership Benefits (Check all that apply.)

Invitation(s) to meetings/workshops/symposia

Facilitated access to faculty

Facilitated access to students and/or recruitment opportunities

Invitation to send Visiting Scholar(s) to Stanford

Other (Describe)

VI. Program Website Checklist, proposed (new) or existing (renewal):

A. Confirm that the following information will be or is listed on the Program website:

___ Program description

___ Program benefits

___ Membership fees

___ Participating faculty

___ Current corporate members

___ Link to the Research Policy Handbook on Industrial Affiliates Programs

B. Website URL:

VII. Open Source Software

A. Will or do the Program's faculty participants focus on use of open source software?
YES/NO

B. If *YES*, and the program plans to release software under an open source model, please describe the approach.

NOTE: Such Programs are required to use the following text on the Program website or other materials for members and prospective members:

The XX Program researchers will use and develop open-source software, and it is the intention of all XX Program researchers that any software released will be released under an open source model, such as BSD. The Program is open to all Stanford faculty who share this goal.

Faculty Directors' responsibilities

Program Director. Affiliates Programs must have a faculty Director who has PI eligibility. Faculty Directors are responsible for ensuring adherence to the operating principles applicable to Industry Affiliates Programs as follows:

Industrial Affiliates Programs must incorporate the principles of:

- Compliance with the University's Openness in Research policy;
- Publication and broad sharing of results;
- Faculty freedom to pursue research topics and methodology of their choice;
- Conformance to the University's primary mission of teaching and research; and,
- Enrichment of the educational experiences of students and postdoctoral trainees.

Multiple Corporate Members. Affiliates Programs must have, at a minimum, two active faculty members who meet the requirements of PI eligibility, and two active corporate members.

Company Access. Access to membership must be available equally to all companies that meet the requirements of membership.

Faculty Control and Management of Program Funds. While member companies may offer suggestions, faculty must be free to select research and teaching topics, methodology, and participants. Program income is pooled and handled as an unrestricted gift fund and may not be directed by an individual company to an individual faculty member or members. If an Affiliates Program chooses to use membership fees to support research in the lab of a specific researcher, there can be no associated statement of work or "deliverables." If a specific research project is of interest to the faculty member and the company, the work should be done under a sponsored research agreement with the company.

Public Access to Research Results. Program research results must be available to members and nonmembers alike in an open and timely manner in keeping with the policy on Openness in Research: <https://doresearch.stanford.edu/policies/research-policy-handbook/conduct-research/openness-research>.

Intellectual Property. Affiliates Programs do not provide intellectual property rights as a benefit of membership.

Invoices and Agreements. It is Stanford's preference to invoice corporate members based on information that is listed on the Affiliates Program's public website. However, some industry members require a formal agreement. Membership agreements should be uniform for all members of a specific program and the agreements are not negotiable. All agreements need to be drafted and approved, in advance, by the Industrial Contracts Office. A template Affiliates Program agreement is available at: [#1 LINK].

Infrastructure charge. Revenues collected by Affiliates Programs are subject to an 8% infrastructure charge.

Faculty Conflicts of Interest. Industry Affiliates Program funds are managed as gift funds and their allocation is controlled by program leadership, which is expected to mitigate conflict of interest issues. The director and individual faculty participants should ensure that personal financial interests do not

influence uses of the funds. Any questions about potential conflicts of interest should be referred to the faculty member's School COI manager or cognizant dean.

Additional Program Funding. Program members may provide additional funding above the Program fee to support Program work. As in the case of membership fees, this funding is treated as a gift for which there can be no statement of work, deliverables, or other commitments. The program website should state that as with all Program research, research results funded in this way are shared with all Program members and the public.

Visiting Scholars. Industry visitors associated with Affiliates Programs must follow the University's policies for Visiting Scholars at Stanford: <http://doresearch.stanford.edu/visiting-scholars> and must sign the SU-18A agreement at <http://otlportal.stanford.edu/su18a>. Visiting Scholars may work with faculty participants to carry out research in the general area of the program's goals but may not pursue research projects with a defined scope of work or deliverables for the company employer.

Open Source Software. Conditions for open source licensing of Program software may be included on the website or in the member agreement if applicable to the Program goals and only after review and approval by the school dean and ICO, on behalf of the Vice Provost and Dean of Research. Contract ICO. Approved language is: *The XX Program researchers will use and develop open-source software, and it is the intention of all XX Program researchers that any software released will be released under an open source model, such as BSD. The Program is open to all Stanford faculty who share this goal.*

Student/Project Participation. Courses supported by Affiliates Programs cannot require completion of projects or the delivery of prototypes in a manner that could be construed as "work for hire."

Non-Disclosure Agreements. Course activities supported by Affiliates Programs cannot require students to sign nondisclosure agreements as a condition of participating fully in the course.

Program Websites. Industrial Affiliates Programs must create and maintain up-to-date websites describing their research and/or teaching programs, participating faculty, members, membership fees, benefits, and a link to Stanford's policies for Industrial Affiliates Programs.

Faculty director certification:

As faculty director of the _____ Program, I agree to oversee compliance with these requirements by faculty participants and program staff.

Faculty Director(s) signature(s): _____

Name: _____ Date Submitted: _____

Approvals:

Dean's Office: _____

Name: _____ Date: _____

ICO approval (on behalf of the Dean of Research): _____

Name: _____ Date: _____