

**COMMITTEE NOMINATION FOR JOINT DOCTORAL DEGREE**

*NOTE: All students must also complete the [Conflict of Interest form](#)  
A copy of the processed form will be sent via email to the student and department/institution*

**Joint Doctoral Committee Regulations:** A minimum of two tenure-track faculty in student's UCSB major department and two tenure-track faculty in major department at partner institution.

Name: \_\_\_\_\_ UCSB Perm: \_\_\_\_\_ Joint ID: \_\_\_\_\_

UCSB UMail: \_\_\_\_\_ Joint University: Sacramento San Diego

*Student's Signature:* \_\_\_\_\_ *Date:* \_\_\_\_\_

**COMPLETE ALL REQUESTED INFORMATION, noting the following:**

- if UC emerita/us, include month and year of retirement or *if recall professor, include payroll title code and contract dates*
- identify member type if serving in different roles on doctoral committee (e.g., Chair, Exam or Chair, Diss)
- identify if serving on only one doctoral committee (e.g., Member, Diss only)

We have been nominated and agree to serve on the above student's committee(s).

<u>Chair, Co-Chair, Member</u>	<u>Member Name (type or print)</u>	<u>Title, Department and/or Institution</u>	<u>Member Signature</u>

**GRADUATE PROGRAM APPROVALS**

**The Department of** \_\_\_\_\_ **recommends this committee nomination and**

- Confirms the committee meets Joint Doctoral Degree regulations *or*
- Has attached a memo requesting exception to Joint Doctoral Degree regulations

JDP Director, Affiliated Institute: \_\_\_\_\_  
*Type or Print Name* *Signature* *Date*

JDP Director, UCSB: \_\_\_\_\_  
*Type or Print Name* *Signature* *Date*

Department Chair, UCSB: \_\_\_\_\_  
*Type or Print Name* *Signature* *Date*

**GRADUATE DIVISION**

Dean, Affiliated Institute: \_\_\_\_\_  
*Signature* *Date*

Dean, UCSB: \_\_\_\_\_  
*Signature* *Date*

## UCSB GRADUATE STUDENT CONFLICT OF INTEREST FORM

The Conflict of Interest (COI) form must be completed, signed and submitted with the Masters Form I, Doctoral Degree Form I, or at any time the agreements or arrangements set forth below arise. The Policy on Conflict of Interest and Graduate Education, at <http://www.graddiv.ucsb.edu/academic/conflict-of-interest>, should be reviewed for guidance before filling out this form. If a conflict of interest related to this policy is identified, the procedures outlined in the Policy on Conflict of Interest and Graduate Education must be followed.

---

**If you have any questions, please call the  
Graduate Division Academic Services unit: 805-893-2277**

The UCSB Policy on Conflict of Interest and Graduate Education deals with any conflict of interest as defined in Section 028 of the Academic Personnel Manual (APM), adopted April 26, 1984. The policy is mandated by Section 025 of the Academic Personnel Manual (<http://www.ucop.edu/academic-personnel/index.html>). This policy affirms joint student and faculty responsibilities as members of the University of California in relationship to potential conflicts of interest and provides mechanisms to ensure that outside activities are consistent with University policy.

### **Disclosures**

The following agreements or arrangements should be disclosed to the Dean of the Graduate Division as soon as the student becomes aware of the facts giving rise to the disclosure obligation:

- i) Agreements or arrangements between a student and a private entity involving research **or other professional activities as required by the graduate degree program** by the student, where the University or a mentor/research/thesis/dissertation advisor is a party to the agreement or arrangement, and the student's mentor/research/thesis/dissertation advisor has a financial interest in the private entity:

*And one or more of the following is true:*

- a) The research **or other professional activities as required by the graduate degree program** are related to the student's project/thesis/dissertation, or
- b) There are restrictions on the student's ability to publish, present, or otherwise disclose the findings from their research activities.

## UCSB GRADUATE STUDENT CONFLICT OF INTEREST FORM

Name: \_\_\_\_\_ UCSB Perm: \_\_\_\_\_ Joint ID: \_\_\_\_\_

UCSB UMail: \_\_\_\_\_ Joint University: Sacramento San Diego

**Does a faculty member have a financial interest (including employment or a consulting arrangement) in a private entity with which the graduate student is involved? (definitions on previous page)      Yes      No**

If yes, the student’s academic interests may be at risk; e.g., *the student’s ability to publish, present, or otherwise disclose the findings from their research or make progress with requirements of their program may be hindered due to the private entity’s sponsorship of the project or other requirements imposed by the sponsor.*

The UCSB Graduate Student Conflict of Interest Policy requires that this conflict be disclosed and that a management plan be agreed upon.

**If the above answer is “Yes” please respond to the following:**

(1) *State the name of the faculty member with a financial interest and describe the nature of the potential conflict. (attach this description on a separate page)*

(2) *How does the Department propose to manage the conflict? (must check at least one)*

Recommendation that the Graduate Dean work with the Department to find a substitute on the student's dissertation or thesis committee for the faculty member with a conflict (specify name \_\_\_\_\_);

Limitation of the length or scope of student's work with the private entity;

Require that all student work to be conducted on-campus;

Appointment of an additional member to serve on the dissertation or thesis committee as an "Oversight Member." This member is chosen by the Department Chair (or the Graduate Advisor if the Chair is the conflicted faculty member) in consultation with the graduate student and their dissertation advisor. The Oversight Member shall be from a different academic specialty (specify name \_\_\_\_\_);

Any **other** condition that the Subcommittee feels appropriate and reasonable to manage the conflict may also be implemented (specify \_\_\_\_\_).

Our signatures certify that we have read the policy and have provided full disclosure of any financial conflict of interest that may be harmful to the academic interests of the above student.

<i>Student</i> - type or print name	<i>Signature</i>	<i>Date</i>
-------------------------------------	------------------	-------------

<i>Dissertation Committee Chair</i> -type/print name	<i>Signature</i>	<i>Date</i>
--	------------------	-------------

<i>Major Department Chair</i> - type or print name	<i>Signature</i>	<i>Date</i>
--	------------------	-------------

**GRADUATE DIVISION**

Conflict Disclosed, Reviewed and Approved: \_\_\_\_\_  
*Graduate Division Dean/Associate Dean* *Date*

No Conflict: \_\_\_\_\_  
*Staff Initials* *Date*