



*UC Tech Transfer Forum
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Working with UC: Policy, Best Practices and Strategic Approaches

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C&G AUTHORITY

President
(Standing Order 100.4(dd))

SVP Mullinix

UCOP Staff

Chancellors
Laboratory Directors

Campus C&G Officers/
Others

LICENSING AUTHORITY

President
(Standing Order 100.4(mm))

SVP Mullinix

1988 LBL
1988 LLNL
1988 LANL
1989 UCLA
1989 UCB
1994 UCSD
1994 UCI
1996 UCSF
2000 UCD

OTT Executive Director

OTT Staff



OTT/Campus/DOE Lab Relationships

In A Distributed Environment

- Systemwide Coordination
- Policy Development
- Legal Oversight
- Information Systems
- Legislative Review
- Comprehensive Licensing Services

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Invention licensing, patent prosecution and license administration within the Campus Office

Full Service Campus/DOE Office

- DOE LABS
- UCB
- UCSD
- UCSF

On-campus full-time professional staff to facilitate technology transfer

Specialized Service Campus Office

- UCD
- UCI
- UCLA
- UCSC

Campus without full-time staff dedicated to technology transfer

Limited Service Campus Office

- UCM
- UCR
- UCSB

UC's "Principles Policy"

Core principles that guide UC in research and licensing interactions

- Open dissemination
- Commitment to students
- Accessibility for research purposes
- Public benefit
- Informed participation
- Legal integrity and consistency
- Fair consideration for commercial use
- Objective decision making

Key Licensing Policies

- Patent Policy
 - Mandatory patent agreement
 - Mandatory disclosure of inventions
 - Assignment to UC if:
 - Invention is made using UC research facilities, or
 - Using contract, grant, or gift funds, or
 - Within scope of employment
- Equity Policy

Key Licensing Guidelines

- G-40: Implementing guidelines for UC Patent Policy
- G-44: Implementing guidelines for UC Equity Policy
- Licensing Guidelines

Working with Faculty – Key Policies

- Patent Policy
- Conflict of Interest (APM 028)
- Conflict of Commitment and Outside Activities (APM025)
- Guidance for Faculty...on Issues Related to IP and Consulting (3/03)

An Informal Survey:

What Works?
What Doesn't Work?

“Hot Button” Issues

- How to work with faculty
 - Rules for faculty involvement in company
 - Sequence of events
 - Consulting – ambiguous ownership of inventions
- Pace and timing
- Confidentiality
- Control of patent prosecution and UC coordination with company

“Hot Button” Issues *(continued)*

- Scope of rights (e.g., limited field of use)
- Diligence
- Economics: patent cost recovery, milestone payments, royalties, equity
- Rules for licensee sponsoring research
- Where does/doesn't the University *really* have flexibility?

Questions for panel?

