CONTRACTS AND GRANTS (RESEARCH)
Section: 150-33 EXHIBIT A
Rescinded: 08/16/2021
Effective: 07/01/1983
Supersedes: 04/01/1980
Review Date: TBD
Issuance Date: 07/01/1983
Issuing Office: Office of Contract and Grant Administration

University of California

UNIVERSITY POLICY REGARDING PATENTS

PREAMBLE

The Regents of the University of California, in administering intellectual property rights for the public benefit, desire to encourage and assist members of the faculty, employees, and others associated with the University in the use of the patent system with respect to their discoveries and inventions in a manner that is equitable to all parties involved.

The Regents recognize the need for and desirability of encouraging the broad utilization of the results of University research not only by scholars but in practical application for the general public benefit. The Regents shall acknowledge the impact of the patent system in bringing innovative research findings to practical application.

Within the University, innovative research findings often give rise to patentable inventions as formulations, methods, even though the research was conducted for the primary purpose of gaining new knowledge. Equity in such patentable inventions may involve parties other than the inventor, The Regents. The use of University facilities or services, particularly assignment of duties or conditions of employment, possible claims of a cooperating agency, where research is supported by grants or federal funds, and other situations may give rise to a complex of interrelated rights or title which must be appraised and appropriately disposed by agreement between the parties.

Therefore, encourage the practical application of University research for the general public benefit, to appraise and determine relative rights and equities of all parties concerned, to facilitate patent applications, licensing, equitable distribution of royalties, if any, to assist in obtaining funds for research, to provide for the use of inventions related income for the further support of research and education, and to provide a uniform procedure in patent matters where The Regents believe in the public interest, the policy herein set down is adopted.

STATEMENT OF POLICY

1. All matters relating to patents in which the University of California is in any way concerned shall be administered by an agency known as the University of California Board of Patents.

2. The Board of Patents shall be appointed by The Regents. It shall have full power of organization, except as herein provided, subject to the provision that it shall meet at least once a year. The members shall serve without extra compensation at the pleasure of The Regents.

3. The normal term of appointment shall be for three years.

4. The Board of Patents shall consist of eleven persons selected from among the faculty and the administration of the University, and of such other persons as The Regents may determine, but of this number the Committee on Commercialization of the Academic Senate shall select from the Senate at large one person to serve as a member for the normal term. The Chairman of the Board of Patents and Patent Administration shall be appointed by The Regents upon the recommendation of the President of the University.

5. In its consideration of matters relating to each particular patent case, the Board of Patents shall take into consideration the principles laid down in the patent laws, appropriate judicial decisions, and the laws of the State of California.

6. The Board of Patents shall have the following powers and duties, which may be delegated in whole or in part to the Patent Administrator:

a. To evaluate inventions and discoveries for patentability, as well as assess merit and practical application, and, where desirable, to appoint a committee of experts to examine the merits of each potentially patentable invention and to cause such committee to report its findings to the Board of Patents.

b. To authorize applications for patent and to retain patent counsel, in conjunction with the General Counsel, for matters pertaining to the filing of patent applications, the prosecution thereof, and the litigation that may arise therefrom.

c. To determine the patent and related rights or equities held by The Regents in inventions, and to negotiate agreements with cooperating organizations. If any, with respect to such rights or equities.

d. In the absence of overriding obligations to outside sponsors of research, to release patent rights to the inventor in those circumstances, (i) where The Regents elect not to file a patent application and the inventor is prepared to do so, and where no further research or development that invention will be conducted involving University support or facilities subject to a stip right being granted to The Regents, or (ii) where the equity of the situation clearly indicates such release should be given.

e. To license and negotiate agreements with other parties concerning patent and related rights held by The Regents.

f. To distribute the collection of royalties and fees and the distribution thereof to those entitled to receive.

7. To assist University officers in negotiating agreements with cooperating organizations concerning prospective rights in inventions or discoveries that may arise in the course of the Regents' research carried out under grants, contracts, or other agreements to be funded in whole or in part by such cooperating organizations, and to negotiate Institutional Patent Agreements or other agreements with Federal agencies regarding the disposition of patent rights.

8. To recommend to the President appropriate exemptions from the agreement to assign inventions and patents to The Regents as required by paragraphs 6 of this policy.

1. To make such reports and recommendations to The Regents as The Regents or the President shall direct.

6. An agreement to assign inventions and patents to The Regents, except those resulting from permissible consulting activities without use of University facilities, shall be mandatory for all employees, for persons not employed by the University but who use University research facilities, and for those who receive grant or contract funds through the University. Exemptions from such agreements may be authorized in those circumstances where the mission of the University is better served by such action, provided that overriding obligations to other parties are met and such exemptions are not inconsistent with other University policies.

5. Those individuals who have agreed to assign inventions and patents shall promptly report and fully disclose the invention and/or reduction to practice of potentially patentable inventions to the Patent Administrator. They shall execute such declarations, assignments, or other documents as may be necessary in the course of invention evaluation, patent prosecution, or protection of patent rights, to assure that title to such inventions shall be held by The Regents or by such other parties as may be appropriate under the circumstances. Such circumstances would include, but not be limited to, those situations where there are overriding patent obligations of The Regents arising from grants, contracts, or other agreements with outside organizations. Release of patent rights may be authorized by the Board of Patents where the equities indicate.

7. To refuse any agreement on any net income acquired as a result of such inventions.