



COMMITTING RESEARCH TO RESULTS



**A Guide to Technology Transfer
at the University of Missouri**





From basic to more applied research, from the humanities to the life sciences, the University of Missouri is at the forefront of cultivating new discoveries and bringing those ideas to the marketplace.

We are taking a deliberate and focused approach to our mission of economic development. We ask that you join us as we continue to explore new and exciting ways to improve our state and nation.

ELSON S. FLOYD, PH.D.
President • University of Missouri





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OUR COMMITMENT

The first and primary objective of any university is to provide the best possible education for its students. Given the important role of higher education in the 21st century, the University of Missouri also recognizes the growing obligation to convert its research into results for the public good. We feed a pipeline of scientific and technological innovation for our knowledge-based economy. The University's role is critical to the future of our institution, state and nation.

We seek the following benefits from committing research to results:



- **Public good:** Fulfilling our role as innovators to improve the health and well-being of society.
- **Research mission:** Enhancing competitiveness, assets and funding for the benefit of the University.
- **Economic development:** Leveraging the University's innovation strengths to enhance our economy, spur job growth and foster an entrepreneurial culture.
- **Faculty & staff:** Fulfilling our obligation for the stewardship of creativity, thereby providing career and financial incentives for our employees.





While some of these goals (such as an entrepreneurial culture) are difficult to measure, others are easily tallied to track progress. They also allow us to compare ourselves to other institutions and parts of the country as a benchmark of Missouri's progress.

We consider our faculty and staff as the foundation of the University's value. All of their works — as captured in grants, publications, and other scholarly endeavors — create the climate that spawn invention disclosures, patents, copyrightable works, start-ups and a vibrant economy.

UNIVERSITY TECHNOLOGY BASE

[diagram to be replaced with drawing at later date]





OUR GUIDING PRINCIPLES

The public research university occupies a special place in today's world. We must be both a reliable and transparent source of knowledge while also the engine of innovation. Maintaining our integrity requires diligence and deliberate action.

Intellectual property stewardship

Faculty are called upon to be creative in academia — teaching classes, authoring textbooks and scholarly papers, developing new concepts and making discoveries. Regardless of form, an invention is defined as having two necessary conditions: the completed mental conception of a new idea and reducing the new idea to practice.

In the private sector, the outcomes from such creativity are typically retained exclusively for the company's benefit. Similarly, as an employee of the University of Missouri, the state also retains ownership of the outcome of faculty creativity. However, the University of Missouri is committed to partner with the faculty member in protecting their works, and to steward any financial return for the benefit of both the University and employee.

As in any partnership, there is a two-way obligation. When the creative work is determined novel, discreet, and valuable enough to protect, both the faculty member and the University are called upon to live up

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to the obligations of being public servants in Missouri.

The faculty member:

- Must disclose their creative work to the University
- Retains the right and obligation to publish results
- Can request a waiver of University ownership rights if the intellectual property was developed outside the scope of employment

The University:

- Must report disclosures and maintain compliance to sponsors (if applicable)
- Provide a timely evaluation of both the technical and business aspects of the creative work
- Partner with faculty member in best stewarding/ marketing the creative work
- If not deemed feasible, be willing to consider waiving ownership back to faculty member



Managing conflicts of interest

As defined in the Collected Rules, a conflict of interest is “...*knowingly engaging in outside matters of financial interest incompatible with the impartial, objective, and effective performance of duties.*”

Such conflicts occur in the routine of being a faculty member. Dealing with these conflicts is best achieved by recognizing and deliberately managing them.





Financial conflicts arise when there is a possibility that an employee's action influence their own money, power, position, authority or other personal benefits.

Conflicts of commitment occur when there is a possibility of an employee's outside activities interfering with their University responsibilities, goals and mission.

As an engaged public University, converging interests are managed with involvement of Conflict of Interest committees on each campus. They operate under the following guiding principles:



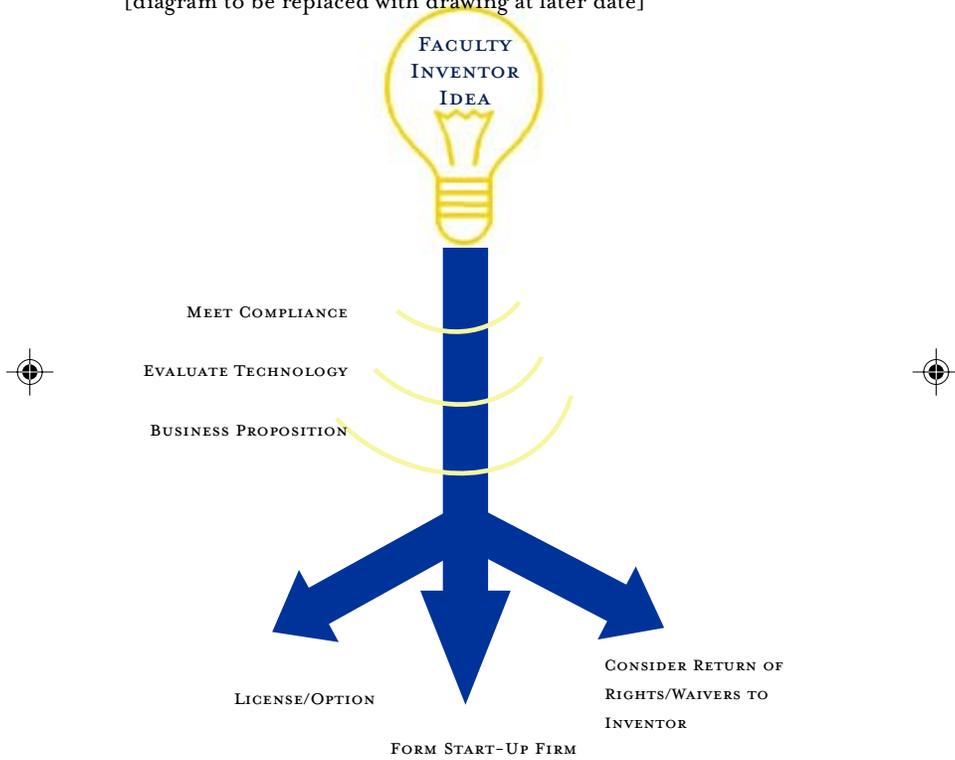
- Potential conflicts of interest are inevitable.
- Responsibility for disclosure of potential conflicts lies solely with the employee.
- There is a presumption in favor of allowing employees to act in dual roles.
- There may be instances where it's best determined the employee does not engage.
- Administrators have responsibility of educating and notifying employees of their obligation to report.





FROM AN IDEA TO PRACTICE

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Just as research, technology and the economy have evolved, so too has the University of Missouri's means and ability to manage technology transfer. The University recently decentralized much of the technology transfer operations. Using the same policies and principles, each campus now has its own office customized specifically to the faculty and local culture. The central office of Intellectual Property Administration supports the campus offices through development of standard policies and procedures, maintenance and support of a common technology management database, creation of standard forms and agreements, revenue distribution and intellectual property protection.

Each campus technology transfer office provides the following functions:



- Manage the reporting and compliance in accordance to federal, state and sponsor agreements. These must be conducted on all inventions created and disclosed by faculty.
- Evaluate the technology disclosed for its novelty, uniqueness, and relationship to other inventions already published, patented and reported.
- Estimate the feasibility to generate investment and income for existing or new businesses based on the technology.
- If determined viable, the campus office will seek intellectual property protection, work to identify





potential licensees, and, as necessary, negotiate intellectual property agreements.

In consultation with the faculty inventor, one of three outcomes are possible:

- 1) The technology is furthered, using the most appropriate practice of stewardship including the possibility of patents, copyrights, trademarks, trade secrets, folkloric and appellation protection, and potential licensees are sought.
- 2) The technology is considered as the basis for a business start-up. The University is in the process of establishing a foundation to formulate start-up companies and accept equity in exchange for licensing rights. The foundation will oversee management of the equity received through license agreements with the start-up companies.
- 3) The technology is deemed either technically or financially not feasible. In this case, the technology is moved to an inactive status and no longer managed, or, if requested by the faculty member, the University will consider a waiver of rights.





REWARDS



As inferred by our goals, the ultimate reward of strengthening our commitment should be felt across society. Missouri's economy should be more robust and resilient as it increasingly becomes innovation-based. As the state's research university serves the state, so in turn should

stature and support for the University be earned from the public, nation and world.

Both the quantitative and qualitative aspects of research, technology transfer and economic development will be used to assess the entire contribution of faculty.

For faculty and staff, their careers and the criteria for which promotion and tenure are earned should only be strengthened by a demonstrated commitment to research and economic development.

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Financially, the University of Missouri is committed to sharing proceeds with the faculty inventor, their department, and campus given the following model:



The first $3/9^{\text{th}}$ of income — before expenses — is awarded to the faculty inventor.

After expenses associated with procuring and defending intellectual property rights are paid:

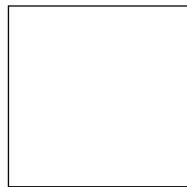
- $2/9^{\text{th}}$ go to the faculty inventor's department.
- $2/9^{\text{th}}$ go to the faculty inventor's campus to support research and technology transfer activities.
- $2/9^{\text{th}}$ go to the UM System Intellectual Property Administration to support systemwide technology transfer activities and partial support of the campus offices.





CONTACT US

www.umsystem.edu/



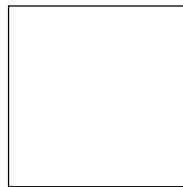
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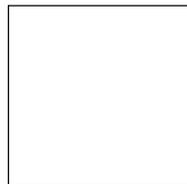
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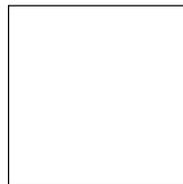
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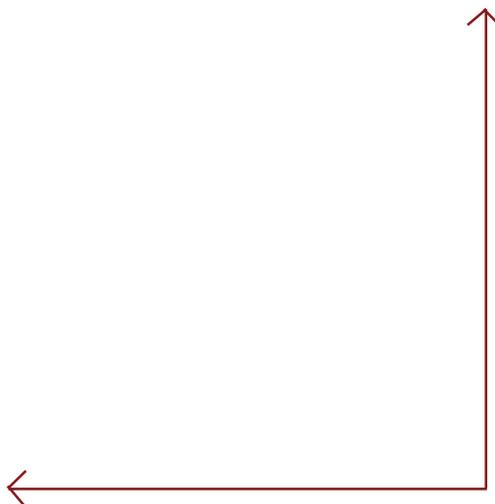
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