

NOTICE OF PROPOSED REGULATION AMENDMENT

Date: January 19, 2024

REGULATION TITLE:
Patents, Trademarks and Trade Secrets

REGULATION NO.:
UCF-2.029

SUMMARY OF REGULATION AMENDMENT:

This regulation is being amended to bring it into alignment with the University's Collective Bargaining Agreement with the United Faculty of Florida and UCF-2.033 Copyright and Works. Proposed amendments are to update definitions; clarify language relating to outside activity, disclosure and university review; update language regarding the university withdrawal and transfer of rights to inventor; eliminate the obligation for thesis/dissertation inventor sharing of proceeds with the faculty advisor; and eliminate the obligation for sharing of proceeds with the university following transfer of rights to the inventor.

AUTHORITY: BOG Regulation 1.001

NAME OF PERSONS WHO INITIATED PROPOSED REGULATION AMENDMENT:

Winston Schoenfeld, Interim Vice President for Research & Innovation

COMMENTS CONCERNING THE PROPOSED REGULATION AMENDMENT SHOULD BE SUBMITTED WITHIN 14 DAYS OF THE DATE OF THIS NOTICE TO THE CONTACT PERSON IDENTIFIED BELOW. The comments must identify the regulation you are commenting on.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED REGULATION AMENDMENT IS:

Regulations Administrator
4365 Andromeda Loop N.
Millican Hall, Suite 360
Orlando, FL 32816-0015
Phone: (407) 823-2482
e-mail: regulations@ucf.edu

FULL TEXT OF THE PROPOSED REGULATION AMENDMENT:

UCF-2.029 Patents, Trademarks and Trade Secrets

(1) General.

- (a) This regulation is applicable to all University Personnel (as defined in section (2)(a)). Nothing herein shall be deemed to limit or restrict the University's full exercise of its legal rights and authority.
- (b) The University possesses all rights to and has the authority, at its option, to take any action necessary and proper to secure Intellectual Property owned by the University, and the University may take all steps necessary and proper to protect and enforce its rights. University profits derived from Intellectual Property subject to this ~~R~~regulation shall be shared with the Inventor and/or Creator in accordance with this ~~R~~regulation,

University Regulation UCF-2.033 Copyrights and Works, any applicable collective bargaining agreements, and policies or procedures established by the University, including the Office of Research, and the University's designated Intellectual Property owner, the University of Central Florida Research Foundation, Inc and Commercialization. In the event of a conflict between this regulation and any departmental or university or direct support organization policy, this ~~R~~regulation shall control.

- (c) ~~It is a purpose of this Regulation to state University wide policies governing the ownership, use, and commercialization of Inventions, Trademarks, and Trade Secrets. The University encourages University Personnel to engage in research and scholarly endeavors that may result in Inventions, Trademarks, and Trade Secrets. To that end, the University has developed a robust operation to support University personnel in research endeavors and to commercialize the Intellectual Property that may result from those endeavors. Where the University asserts ownership rights, the University will share proceeds of any commercialization efforts with the appropriate University Personnel.~~
- (d) ~~Research is a basic objective of the University, undertaken to educate students, stimulate a spirit of inquiry, solve problems, and create new knowledge. Although the research and teaching missions of the University always take precedence over intellectual property considerations, adequate recognition of and incentive to potential Inventors through the sharing of the financial benefits resulting from the transfer and development of patentable Inventions and other marketable forms of Intellectual Property encourages the creation of such Intellectual Property and serves the public interest. In sharing the proceeds with Inventors, the University recognizes inventorship, encourages and supports research within the University, and recognizes the interests held by outside sponsors of University research.~~
- (e) ~~This R~~regulation addresses only Patents, Trademarks, and Trade Secrets. Copyrights and Works are addressed in University Regulation UCF-2.033 and in applicable collective bargaining agreements.

(2) Definitions. For purposes of interpreting and applying the substantive provisions of this ~~R~~regulation, the following definitions shall apply:

- (a) "University Personnel" shall mean all full-time and part-time employees of the University, whether or not they are members of a collective bargaining unit, including all faculty, staff, and post-doctoral fellows; appointees of the University who receive University Support (as defined below), including volunteers, adjuncts, and courtesy faculty; persons paid by or through the University, including contractors and consultants; and anybody working under University auspices and anybody receiving University Support ~~(as defined below)~~. Students, including undergraduate, graduate, and professional students, who are encompassed within any of these categories, shall be considered University Personnel for purposes of this Regulation.
- (b) "Work" means, in accordance with Title 17 of the U.S. Code, any original work of authorship that is or may be subject to Copyright (defined in UCF-2.033). "Work" includes but is not limited to printed material (such as books, articles, memoranda, and texts), computer software or databases, audio and visual material, circuit diagrams, architectural and engineering drawings, lecture, compositions (e.g. written, musical and/or dramatic) ~~compositions, musical works, dramatic works~~, motion pictures, multimedia works, web pages, sound recordings, choreographic works, ~~and~~ pictorial or

graphic illustrations or displays, and any creative expression of a Trademark used in connection with these items. “Work” does not include any patentable material, which is encompassed within the definition of an Invention; ~~but~~ an Invention may include a related Work. Rights to Works are addressed in University Regulation UCF-2.033; ~~Copyrights and Works.~~

- (c) “Invention” ~~shall include~~ means (i) any discovery, ~~invention~~, process, composition of matter, article of manufacture, know how, design, model, technological development, biological material, strain, variety, or culture of any organism, or portion, modification, translation or extension of these items which is or may be patentable or otherwise protected under Title 35 of the United States Code, or that is or may be protected as a Trade Secret, under the Florida Trade Secrets Act, Ch. 688, Fla. Stat. or any similar act of another State, as may be relevant, (ii) any novel variety of plant that is or may be patentable or otherwise protected under the Plant Variety Protection Act (7 U.S.C. §2321 *et seq.*), (iii) any Trademark, and/or (iv) any directly related know-how used in connection with these items. ~~Instructional Technology Material which is or may be patentable is included in this definition.~~
- (d) “Creator” shall mean any University Personnel who create(s) a Work.
- (e) “Inventor” shall mean any University Personnel who make(s) or discover(s) an Invention.
- (f) “Makes” or “made” when used in conjunction with any Invention shall mean the conception or constructive or first actual reduction to practice of such Invention.
- (g) “University Support” shall mean (i) the appreciable non-incidenta ~~l~~ use of University resources, such as funds, personnel, facilities, equipment, materials, technical information, or students, (ii) course release, and/or (iii) in the creation or making of a Work or Invention; and does not include the inconsequential use of resources made available to the University community for common use. ~~“University Support” includes support provided by other public or private organizations when it is arranged, administered, or controlled by the University or a University direct support organization, including but not limited to research and investigations that are sponsored by the University and/or that are carried out by public funds. For a use of University resources to be appreciable, it must go beyond the resources commonly or routinely provided or made available to similarly situated employees for the performance of their assignment. For example, the routine use of resources such as the libraries; one’s office, office computer, and other University computer facilities; and office supplies, is not considered appreciable University Support.~~
- (h) “Patent” means a property right granted by the Government of the United States of America to an Inventor to exclude others from making, using, offering for sale, or selling an Invention throughout the United States or importing the Invention into the United States for a limited time in exchange for public disclosure of the Invention. The term also includes patent rights that may be granted by foreign governments.
- (i) “Trade Secret” means information, including a formula, pattern, compilation, program, device, method, technique, or process that: (i) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.
- (j) “Intellectual Property” refers to Works, Inventions, Trademarks and Trade Secrets.

- (k) “UCFRF” means the University of Central Florida Research Foundation, Inc., a direct support organization of the University which supports the research and sponsored program activities of the University.
- (l) “Trademark” means a name, symbol, figure, letter, word or mark adopted and used to designate the source of goods and/or services arising from an Invention or a Work.
- (m) “Outside Activity” means private practice, private consulting, additional teaching or research, financial interest, or other personal commitment, e.g., service on a Board of Directors, participation in a civic or charitable organization, political activity, etc., whether compensated or uncompensated, that: -(i) is not part of University Personnel’s assigned duties; (ii) is not compensated by the University; and (iii) does not involve University Support. Outside Activity is subject to the requirements of Chapter 112, Part III, Florida Statutes, “Code of Ethics for Public Officers and Employees,” this Regulation and other University Policies and Regulations, including but not limited to University Regulation UCF-3.018.

(3) Rights in Inventions, Trademarks, and Trade Secrets.

- (a) Inventions made as a result of personal endeavors are owned by University Personnel.
 - (i) Inventions made outside the field or discipline in which the Inventor is employed by the University (i.e. the field or discipline in which the Inventor conducts research, teaches, and/or provides service activities for the University), for which the idea came from the Inventor, and for which there has been no University Support (as defined in 2(g)), are the property of the Inventor.
 - (ii) Inventions resulting from Outside Activity. University Personnel, after reporting the details in accordance with applicable University procedures and receiving authorization, may engage in Outside Activity. University Personnel seeking to engage in Outside Activity are advised to review the terms of University Regulation UCF-3.018 and any applicable collective bargaining agreement. University Personnel engaged in Outside Activity should use great care to determine that Intellectual Property clauses in their Outside Activity agreement(s) do not involve conflicts of interest and are not in conflict with sponsored grants or contacts, or with University policy. If the individual University Personnel seeking to engage in an Outside Activity shall furnish is asked to sign an agreement relating to the Outside Activity that purports to waive any University right(s) in any Intellectual Property, a copy of this Regulation shall be provided to the outside employer/party prior to the time an agreement is signed, or if there is no written agreement, person asking for a waiver before the Outside Activity/employment begins. University Personnel are not authorized and do not possess necessary ownership to waive University rights, and any such waiver is deemed void rejected by the University unless specifically accepted by the Vice President of Research & Commercialization or designee.
 - (A) All Inventions arising from authorized Outside Activity and outside the field or discipline of the Inventor are the property of the Inventor.
 - (B) Undisclosed Outside Activity is considered unauthorized. Any Invention arising from undisclosed Outside Activity must be disclosed to the Vice President of Research & Commercialization (see 3(e) section 4). If the Inventor claims the Invention resulted from Independent Effort(s), then as part of the disclosure, the Inventor shall provide sufficient

documentation to substantiate the claim. As used in this section, the term "Independent Effort(s)" means that the Invention is outside the field or discipline of the Inventor and was made without University Support.

(C) Upon receipt of written notice from the Vice President of Research ~~& Commercialization~~ confirming the University's decision not to assert a University interest in -an Invention resulting from unauthorized Outside Activity, the Inventor shall have the right to determine the disposition of such Invention, subject to third party rights, if any. However, the Inventor and the Vice President of Research ~~& Commercialization~~ may agree that a patent for such Invention will be pursued by the University; in that event, the Inventor and University shall share in the proceeds of any Invention as provided by this ~~R~~regulation and any applicable policies or procedures ~~established by the Vice President of Research & Commercialization~~ including applicable UCFRF Guidelines and Procedures for Distribution of Funds or in such other manner as the Inventor and the Vice President of Research ~~parties~~ may agree.

(b) Inventions Owned by the University. Inventions (i) made in the field in which the Inventor is employed by the University (i.e. the field or discipline in which the Inventor conducts research, teaches, and/or provides service activities for the University), or (ii) for which there has been University Support (as defined in 2(g)), are the property of the University, and the Inventor(s) shall share in the proceeds therefrom. Such Inventions and related rights shall be the property of the University and are hereby assigned to the University by the Inventor(s). Where the Inventor is employed by UCF solely to teach in an adjunct capacity, subsection 3(b)(i) does not apply.

(4) Disclosure/University Review.

University Personnel are required to disclose all Inventions owned by the University and all Inventions resulting from any Outside Activity within the field or discipline of the inventing University Personnel. It is the policy of the University that, in general, research results should be publishable; publication of such results in appropriate venues is encouraged. However, if the publication of research results may reveal an Invention in which the University has an interest, University Personnel should seek advice on how and when to publish the results in order that potential patent rights for the Invention are not compromised. That is, upon the making of an Invention and prior to any publication or public disclosure, University Personnel shall promptly and fully disclose to the Vice President of Research ~~& Commercialization~~ any Invention described in section 3(b).

- (a) The disclosure shall be made on the forms and according to procedures prescribed by the Vice President of Research ~~& Commercialization~~. At a minimum the disclosure shall: (1) identify each Inventor, (2) provide a brief description of the Invention, and (3) identify and summarize the research project including the participants and applicable funding sources.
- (b) The Vice President of Research ~~& Commercialization~~ shall inform the Inventor within a reasonable time, not to exceed ninetyone hundred twenty ~~(1290)~~ days from the date of disclosure whether the University will assert its interest in the Invention and pursue patent, trademark, and/or copyright protection for the Invention and/or define certain elements of the Invention for protection as trade secret.
- (c) In the event the University elects to obtain a Patent, register a Trademark or a Copyright, or to formally define a Trade Secret to protect the University's rights in the Invention, University Personnel will execute any and all necessary documents to affirm,

publicly formalize, and record the transfer of all rights to the University or to UCFRF. UCFRF is required to comply with the same policies and procedures regarding allocation of proceeds/royalties as the University.

- (d) In the event the University asserts its rights in the Invention, all costs and expense of patenting, developing, and marketing the Invention and related activities, including those which may lead to active licensing of the Invention, shall be paid by the University.
- (e) Allocation of proceeds/royalties shall be made in accordance with this Regulation and any applicable policies or procedures established by the Vice President of Research & Commercialization including the applicable UCFRF Guidelines and Procedures for Distribution of Funds. The University's costs and expenses shall be recovered before any division of revenue is made. ~~For any Invention that results from research done in a thesis or dissertation or in connection with a thesis or dissertation related project, the amount allocated to the Inventor(s) shall be divided between the faculty member who directed the research and the graduate student(s) who invented the Invention in a manner that reflects their relative contributions to the Invention as determined by the Vice President of Research & Commercialization.~~
- (f) The Inventor shall not commit any act that would tend to defeat the University's or Inventor's interest in the Invention, such as making a public disclosure of the Invention prior to the University obtaining applicable intellectual property protection, and shall take any necessary steps to protect such interests.
- (g) In the event a sponsored research contractor has been offered the option to apply for the patent to an Invention or other rights in an Invention, the University will obtain the contractor's decision regarding exercise of such rights within ninety days, or within the time provided in the sponsored research agreement.

~~(5) Release of University Rights. If the University elects not to assert its interest in an Invention owned by the University, all rights to the Invention shall be released to the Inventor upon the Inventor's request and subject to any existing third party right.~~

- ~~(a) If the University's ownership interest in an Invention is waived, the Inventor must disclose any potential conflict of interest created by the Inventor's ownership of the Invention when proposing research to be conducted using University resources that could reasonably appear to influence the financial value of the Invention.~~
- ~~(b) The University's release of the Invention to the Inventor(s) shall be contingent upon the execution of a written agreement with the Inventor(s) that grants to the University: (1) a right to a ten percent (10%) share of proceeds arising from or attributed to the Intellectual Property valuation of the Invention and received by the Inventor from a third party for commercialization of the Invention or transfer of ownership of the Invention, and (2) a royalty free right to the Invention for educational and research purposes of the University and for the governmental purposes of the State of Florida.~~

~~(6) University Withdrawal and Transfer of Rights to Inventor.~~

- (a) If the University elects not to assert its interest in an Invention owned by the University, all rights to the Invention shall be released to the Inventor upon the Inventor's request and subject to any existing third party right. Additionally, prior to making a patent application, at any stage of the patent process, in the formalizing of Intellectual Property registration (such as making a patent application or maintaining the patent) or in the commercial application of an Invention, if the University has not otherwise assigned to a third party the right to pursue its interests, the University's representative

~~at its sole discretion~~ may elect to waive the University's rights to the patent or withdraw from further involvement in the protection or commercial application of the Invention. ~~At the request of employee in such case, If the University elects to withdraw upon the Inventor's request,~~ the University ~~shall~~may transfer the Invention rights to the employee, not subject to third-party rights ~~to the Inventor~~. After ownership transfer to an employee~~Under these circumstances,~~ the Invention shall ~~become~~ the employee's property ~~of the Inventor~~ and ~~none of the~~any costs already incurred by the University or on its behalf shall not be assessed against the ~~employee~~Inventor; however, the provisions of paragraph ~~(b5) and this paragraph~~ will apply.

(b) Where the University assigns or releases its rights to the Inventor,

(i) the Invention shall be available royalty-free for governmental purposes of the State of Florida and research or instructional and other educational purposes of the University unless otherwise agreed to in writing.

(aii) ~~If the University's ownership interest in an Invention is waived,~~ the Inventor must disclose any potential conflict of interest created by the Inventor's ownership of the Invention when proposing research to be conducted using University resources that could reasonably appear to influence the financial value of the Invention.

~~(b) The University's release of the Invention to the Inventor(s) shall be contingent upon the execution of a written agreement with the Inventor(s) that grants to the University: (1) a right to a ten percent (10%) share of proceeds arising from or attributed to the Intellectual Property valuation of the Invention and received by the Inventor from a third party for commercialization of the Invention or transfer of ownership of the Invention, and (2) a royalty free right to the Invention for educational and research purposes of the University and for the governmental purposes of the State of Florida.~~

Authority: BOG Regulation 1.001, Florida Statutes s. 1004.23. History—New 10-8-75, Amended 7-14-80, Formerly 6C7-2.29, Amended 3-16-03, Formerly 6C7-2.029, Amended 1-24-12, _____-23.