

INVENTIONS AND TECHNOLOGY TRANSFER

I. INTRODUCTION TO INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER

Baylor University spends millions of dollars annually on research. The most visible rewards of this research are the host of publications, presentations, and graduate theses, which communicate these research findings to scientific colleagues throughout the world and provide the basis for educating students. Such broad dissemination of research results is unquestionably the primary goal of Baylor University's research activities.

Sometimes, however, research also results in intellectual property. Intellectual property has always been an integral part of this country's economic growth and in recent years has become critical to our country's international competitiveness and industrial health. As a result, a large number of laws, as well as state and federal programs, have been developed to stimulate the inventive process and increase the rate at which valuable inventions move from the laboratory into the marketplace.

This brochure addresses the issues of intellectual property arising from research at Baylor University and the transfer of these inventions into the Texas and the National economy. As a guide for faculty, staff, students, and guests involved in research activities at Baylor University, this brochure (a) discusses the nature of inventions, (b) describes the responsibilities of the Office of the Vice Provost for Research in administering this policy, (c) outlines how inventions are put into economic use through activities of the Office of the Vice Provost for Research, and (d) provides general information on Baylor University's policy concerning inventions.

II. WHAT IS INTELLECTUAL PROPERTY?

Perhaps today, more than ever, the products of the mind are humankind's most valuable assets. Intellectual property, the area of law that pertains to these assets, encompasses the spectrum of human creativity. Intellectual property rights include, but are not limited to, utility patents, trade secrets, copyrights, trademarks, design patent, and plant patents. Intellectual property law defines the rights, which pertain to the subject matter covered, requirements and methods for obtaining these rights, the content of the intellectual property, and the duration of its use.

A few forms of intellectual property are encountered daily. A trademark is any "word, symbol or device a manufacturer or merchant adopts and uses to identify its goods or services." Patent rights confer the rights to "exclude others from making, using, or selling a product or process" claimed by the patent. Copyrights include works of authorship "embodied in a tangible medium of expression." Finally, trade secret rights extend to virtually any concrete information and are secret in a sense that someone derives "economic value" from the details not being generally known.

The remainder of this brochure will discuss the technology transfer process as it relates to patentable inventions. Patenting has been the traditional method for providing economic stimulation for research, development, and investment in the U.S. economy. Its importance has increased in the past decade as the United State's dominance in the world economy has been slowly eroded. The high technology sector, which has been supported by patented inventions, is responsible for the creation of many high wage jobs.

III. WHAT IS A PATENTABLE INVENTION?

Patentable inventions are one of the easiest forms of intellectual property to define, but they can be difficult to recognize. A patentable invention is "the discovery or creation of a new material (either a new manufactured product or a new composition of matter), a new process, a new use for an existing material, or any improvements of any of these." Some computer software may also be classified as a patentable "invention," although the vast majority of software is still protected by copyright.

There are certain elements that must be met if a patent is to be issued. The invention must be novel, the invention must be useful, and the invention must be "non-obvious." To be novel, the inventor must distinguish the invention from all other examples of prior art. To be useful, the invention must include at least one specific use; this is referred to as the "best configuration," and it is required in the patent application. The non-obvious requirement is more difficult to prove. It requires that an individual "with ordinary skill in the art" would not be likely to develop the same invention after reviewing all relevant prior art.

In addition, to receive a patent under United States patent law, an invention must be both conceived and reduced to practice. The patent application must be enabling, meaning that it is explicit, detailed, and able to be reproduced by "someone skilled in the art." An idea by itself is not patentable unless it can be demonstrated that the concept actually works. Reduction to practice doesn't always require a working model, but it requires that the concept can be shown to work through detailed drawings, formulas, and the like. This is considered "constructive reduction to practice."

Some University research projects are clearly oriented toward invention from the outset. For example, the goal of a project may be to develop a new alloy, or it may be to find a new test for AIDS. If the research is successful, the result is likely to be an invention. However, in the course of most University research, inventions may or may not be a direct result of the project. For example, a study of the effects of radiation on plant growth might identify previously unknown effects; but this new knowledge while valuable and publishable, is not

necessarily an invention. However, an invention could result if, while studying the radiation effects, the researcher discovered that a specific radiation frequency applied at a particular period of plant gestation increased the size of the mature plant by an average of 5 percent. The technological process of applying that radiation frequency at that moment in a plant's life could be an invention.

Sometimes identifying which part of a complex research effort might constitute an invention is very difficult. History is replete with examples of inventions buried in scientific studies focused on other issues. Frequently, new tools or processes are developed to meet a particular research objective but are overlooked once the objective is reached. These tools, themselves, may constitute valuable inventions.

Recently, the United States Patent and Trademark Office has permitted the filing of provisional patent applications. These provisional patent applications establish a priority date for filing, but the applications are not reviewed. The inventor has a year to gather data before a complete patent must be filed or abandoned. These provisional patents have been extremely important for universities for protecting intellectual property while permitting publication and further data collection. Additional information on patents and patent law is also available from the Office of the Vice Provost for Research in a companion publication entitled "Patent Law Basics for University Researchers."

IV. WHAT SHOULD A RESEARCHER DO WHEN AN INVENTION OCCURS?

The most important thing to do when an invention has emerged is to disclose the discovery to the Office of the Vice Provost for Research, located in Pat Neff 235 (PO Box 97310). The office can be reached by campus mail or at (254) 710-3763. You may also download forms and procedures from the Research Website (<http://www3.baylor.edu/Research>.)

In the United States, inventorship is given to the first to invent, rather than the first to file, for patent protection. If this issue should arise, the best way to show documentation of the invention is within a bound research notebook. The notebook should document the date of conception and any progress towards reduction to practice. Each page containing newly invented material should be signed by a witness skilled in the art.

Prompt disclosure is necessary for effective transfer of the technology into private industry. It is essential to protect potential patent rights and is a firm requirement of U.S. federal law when any federal money has been used to support the research. Disclosure is made on an Invention Disclosure Form that can be obtained directly from the Office of the Vice Provost for Research or downloaded from its web site. A copy of the Invention Disclosure Form is found at the end of this brochure.

Inventors must use an Invention Disclosure Form to provide necessary information, such as the source of funding, date of impending or issued publications, identity of all inventors, existence of records describing the invention, etc. If difficulty in obtaining this information is encountered or time pressures interfere, the Office of the Vice Provost for Research will assist in the process.

THE INFORMATION IN A DISCLOSURE FORM IS CONFIDENTIAL. COPIES OF THE DISCLOSURE FORM SHOULD NOT BE SENT TO ANYONE (OTHER THAN THE DEPARTMENT HEAD, IF REQUESTED), NOT EVEN TO SPONSORS OF THE RESEARCH. The Office of the Vice Provost for Research has the responsibility to inform the sponsors of the occurrence of inventions under a research contract and to protect potential patent rights.

Inventors should also indicate any special information or desires at the time of disclosure. For instance, collaborations with non-Baylor University colleagues or interest expressed by industrial scientists should be reported. If there is an inventor from another institution, that inventor should sign the form and send a copy of the form to his or her own institution as well. It may also be possible for inventors with an entrepreneurial spirit to commercialize their own technologies. However, an Invention Disclosure form must be filled out in all cases where an invention is identified, and any interest in self-promotion of the invention should be brought to the attention of the Office of the Vice Provost for Research.

V. WHAT HAPPENS AFTER AN INVENTION IS DISCLOSED?

A.) The Role of the Office of the Vice Provost for Research

The Office of the Vice Provost for Research is responsible for managing the commercial aspects of intellectual property arising at Baylor University. The Office assists faculty and staff at Baylor University in understanding the technology transfer process and complying with its requirements. The Office creates the appropriate forms and procedures for disclosing inventions and aids inventors in completing these forms.

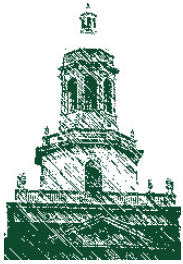
In addition to reviewing Invention Disclosures and evaluating the legal possibilities for protection and commercialization, the Office of the Vice Provost for Research, in cooperation with the inventor(s), may formulate development plans for an invention, stimulate further research on the invention, market the invention concept to private industry, or facilitate the formation of new business entities based on the invention. The Office also ensures that all intellectual property obligations to sponsoring entities are met and negotiates the contracts, which give commercial rights to private companies.

Authority to enter into agreements for the commercialization of University technology resides only with the Office of the Vice Provost for Research. All faculty and staff involved with outside companies expressing interest in commercialization of University technology must refer such companies to the Office of the Vice Provost for Research. No commercialization agreement with outside companies can be honored by Baylor University without a formal license agreement negotiated and signed by the Office of the Vice Provost for Research. All such agreements are made with the Office of the Vice Provost for Research, to which Baylor University assigns all right and title to inventions and discoveries.

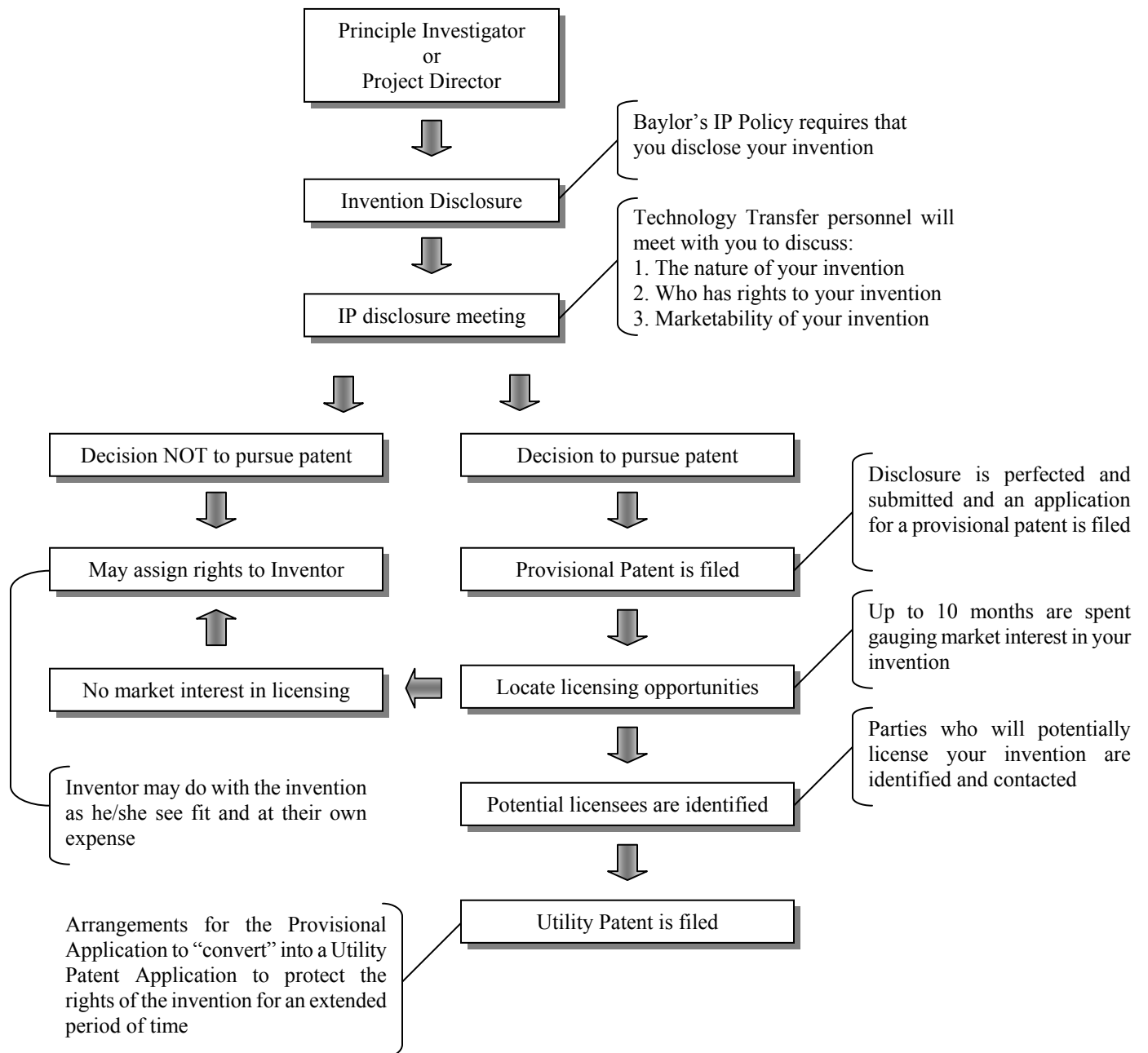
B.) Steps towards Commercialization

Immediately following disclosure of an invention, the Office of the Vice Provost for Research follows a defined set of procedures during evaluation of the Invention Disclosure (see the *Flow Chart of Intellectual Property Disclosure*). A file is established and research sponsors are notified of the invention and any rights they may have to intellectual property. Publication dates and deadlines are checked. Intellectual property protection and commercialization potentials are then evaluated. Although there are multiple mechanisms for licensing University technology, the steps can be summed up as follows:

- Step 1 After a disclosure arrives in the office, the first step is to perform a preliminary patent search. This search provides the inventor with a review of the prior patented art that exists in the field of the invention. Relevant titles, abstracts, and patents are sent to the inventors for their review and comments.
- Step 2 The Office of the Vice Provost for Research relies on the inventors to provide the results of a literature search, which should include any relevant academic literature relating to the disclosure. Material gathered in Steps 1 and 2 will be reviewed during a scheduled intellectual property disclosure meeting and will aid in determining if a provisional patent should be pursued. Outside counsel may also be contacted to evaluate the patentability, and, if appropriate, filing your patent application. During this time, the inventors are requested to keep the Office of the Vice Provost for Research updated on current research.
- Step 3 The Office of the Vice Provost for Research prepares a Non-Confidential Summary of the invention; it summarizes the important concepts, the advantages, and applications without presenting any material which could be considered enabling. The summary is sent to the inventors for review and approval. It is then used to attract potential licensees.
- Step 4 The Office of the Vice Provost for Research uses a number of resources to identify companies that have expressed an interest in reviewing new inventions. Inventor contacts, marketing research, and databases to which Baylor University has access are the most common resources. In some cases the Office of the Vice Provost for Research may work with consultants and graduate students in the business school for the longer-term projects and more detailed market analysis. Once identified, the companies are contacted with the Non-confidential Summary, whereupon the company (or companies) may request additional information. Additional information is usually provided under a Confidential Disclosure Agreement and can be in the form of manuscripts and/or patent applications. Once the technology transfer



Flow Chart of Intellectual Property Disclosure



process has reached this stage, the Office of the Vice Provost for Research encourages direct contact and interaction between the company and the inventors. This direct communication fosters interaction and has the advantage of providing unfiltered access.

Step 5 If there is sufficient commercial interest and legal protection is available, the Office of the Vice Provost for Research may undertake the process of obtaining a utility patent and entering into licensing negotiations for the commercialization of the invention.

C.) Licensing

As an educational and research entity, engaging in commerce is not Baylor University's primary objective. Yet, as outlined above, Baylor claims title to and eventually owns patents on inventions and copyrights on some material. In order to transfer this technology into the private sector, Baylor University must enter into a relationship with a private company.

This relationship normally takes the form of a license agreement whereby Baylor University retains ownership of the patent or copyright, and the private company obtains the right to use that patent or copyright to make and sell products or services. To make and sell these products or services, companies must create jobs, build factories, earn money, and in other words, contribute to the economic health and growth of the state or nation.

A very important part of a university license is the "Due Diligence" clause. As a licensing institution, Baylor University requires proof that the technology it licenses is being successfully commercialized by a licensee. Specific objectives and milestones are included in the license to ensure that the technology does not lie dormant. If these milestones are not met, Baylor has the right to reclaim the technology in order to find a more successful partner.

Start-up Company Licensing

Established companies are not always the best option for commercializing a technology. Although they often possess greater resources, they do not always have the commitment needed to develop and nurture an embryonic technology. Therefore, the Baylor University may encourage interested faculty to commercialize their own technology when the initial requirement for resources is relatively modest. As long as this inventor-formed company can demonstrate ability to meet the Due Diligence requirements, the Baylor University will normally license the technology to the inventor's company.

In a license to a start-up company in which a faculty member plays a major role, the licensing terms are often different from other licenses. Instead of the up-front License Issue Fee being paid in cash, the Baylor University accepts a combination of

fees and the company's stock. Royalty rates may be lower initially as well. Baylor University does not itself have the venture capital, accounting, or legal resources needed by a start-up company. However, the Office of the Vice Provost for Research has a number of reference resources available for interested faculty, as well as a network of contacts throughout the community from whom assistance can be obtained. Anyone with an entrepreneurial interest in commercializing his or her own technology is encouraged to contact the Office of the Vice Provost for Research. As always, an Invention Disclosure form must be filled out when an invention is identified.

VI. GUIDELINES ON INVENTIONS

The policies of Baylor University with regard to inventions, and the respective rights of its employees and guests, are both important and complex. For a complete picture this guide should be read in conjunction with the Baylor University Intellectual Property Policy. The Policy, which supplants this document, formally describes such areas of interest as duties of the inventor; Baylor University's response to intellectual property; distribution of royalties and other income; patents, trade secrets and copyrights; and licensing, management and marketing.

A. Title to Inventions

Baylor University retains title to all inventions originated by its employees or at its facilities. These include: (a) all inventions arising from research performed at Baylor; (b) inventions created through the use of time, facilities, equipment, and/or materials paid for or owned by Baylor; (c) inventions created by Baylor employees as a result of, or in the normal course of, their employment; and (d) inventions created by students participating in organized or sponsored research at Baylor.

In claiming title to inventions, Baylor University follows a policy long practiced by other universities and private corporations. However, unlike most private corporations, the Baylor shares a large portion of the economic benefit of such inventions with the inventor(s) and also reinvests portions of the income in further research efforts.

B. Student Inventions

In general, a student's inventions are the property of the student. However, this general rule has a number of exceptions. Baylor requires students to assign rights to the University under the following conditions:

(a) when the student is working on a project which was funded in whole or in part by an agency of the federal government or by any other sponsor to whom Baylor has obligations to regarding any inventions:

(b) when the student makes "substantial use" of Baylor facilities and/or

equipment in developing the invention ("substantial use" is a term of art and requires a review of the facts in each case);

(c) when the student is an employee of Baylor performing services in return for monetary compensation and the invention arose within the scope of that employment; and

(d) when the student is participating in sponsored or organized research at Baylor.

Procedurally, a student who believes he or she should have clear title to an invention which is developed at Baylor University, and which does not fall under the above categories, should contact the Office of the Vice Provost for Research. Upon disclosure of the invention and examination of the details surrounding its development, Baylor may execute a waiver of rights regarding the invention to the student.

C. Inventor's Obligation to Disclose

Any employee or consultant who believes he or she may have created an invention has an obligation to disclose its nature and background to the Office of the Vice Provost for Research. Obviously, such disclosure must take place before the process of technology transfer can begin and before any of the benefits can be realized. Disclosure is critically important for all projects, especially where any portion of the funding comes from the Federal Government. As mentioned earlier, federal law requires prompt disclosure by the Office of the Vice Provost for Research to the funding agency for all inventions resulting from federally funded research. Baylor University, the inventors, and the involved companies could lose very significant rights if disclosures are not promptly made. To avoid overlooking inventions, researchers should err on the side of inclusion and let the Office of the Vice Provost for Research secure a professional evaluation. The Office has ongoing relationships with multiple patent attorneys, both within the state and throughout the country, and a budget which supports patent searching and when necessary, the preparation of a thorough patentability opinion.

D. Rights of Sponsors

Frequently, research which generates inventions is funded by an organization outside Baylor University. Even when such a sponsor exists, Baylor policy asserting title to inventions still applies. *Private sponsors do not, as a result of their funding, obtain title to any invention developed at Baylor University.* They are however, entitled to negotiate rights to an exclusive license for commercial exploitation of inventions that occurred under their funding. The nature of sponsors' rights will vary according to the circumstances. Principal Investigators do not have the authority to grant commercial rights, to agree to royalty or other terms of a license, or to otherwise give private sponsors anything more than the experimental results of the research

performed.

Sponsors frequently desire that licensing terms be settled before they support research. The Standard Research Agreement administered by the Office of Sponsored Projects spells out these rights; however, the Office of the Vice Provost for Research may negotiate terms to accommodate specific needs. Only by signing a Sponsored Research Agreement can sponsors obtain any rights to the invention they have funded.

E. Inventions Arising Through Consulting

Baylor University claims no right in or to any invention developed as a direct result of private consulting services performed in compliance with the Baylor University Faculty Conflict of Interest Policy, as stated in the Faculty Handbook. Baylor will not claim such inventions as long as University time, materials, or facilities were not utilized in the invention and as long as the time spent by the inventor is within the limits of the Faculty Conflict of Interest Policy. If disputes arise, the burden of proof rests with the inventor.

As described in the Faculty Conflict of Interest Policy, two important means of accomplishing the mission of Baylor University include consulting and the commercialization of technologies derived from research funded from sources outside the University. It is appropriate that faculty be rewarded for participation in these activities through consulting fees and sharing in royalties resulting from the commercialization of their work. However, it is inappropriate for an individual's actions or decisions made in the course of his or her University activities to be determined by considerations of personal financial gain.

Baylor University approves of faculty consulting and research funded from sources outside the University on a project basis on the professional or policy level as long as it supports the mission of Baylor University and does not interfere with the duties and responsibilities of the faculty member to the University. In these cases, the faculty member is expected to submit a written request for off-campus consulting employment to the dean of the particular school and to the Provost.

In cases of approved consulting or research funded from outside sources, it is permissible for a reasonable amount of Baylor University resources to be used to support these activities. The faculty member is expected to monitor the usage of resources and to reimburse Baylor University from fees or royalties earned from these activities.

In order to avoid delays, complications, or disputes over title to inventions, it is advisable for the inventor to submit an Invention Disclosure to the Office of the Vice Provost for Research with a statement describing the circumstances under which the invention was made, and a request for Baylor University to waive its rights to the invention. For additional information and examples of potential and actual conflict

of time and conflict of interest issues, please refer to the Faculty Handbook or call the Office of the Vice Provost for research with any questions regarding potential conflicts of interest.

F. University Obligations to Inventors

Obligations run both ways. Employees' obligations to disclose and assign their inventions to Baylor University are matched by specific obligations that the University owes to employees who submit Invention Disclosures. In addition to the sharing of financial benefits outlined above, Baylor University assumes a number of additional obligations.

Baylor University has an obligation to review submitted inventions, incorporate them into its invention management system, and conduct a thorough evaluation for their potential for patent protection and for commercialization. This review process normally takes from 3 to 6 months, but additional time may be dedicated as needed.

Baylor University normally pursues one or more of the following options: (a) market the invention and technology for commercialization; (b) secure patent rights where appropriate and promote the invention to prospective industrial partners; (c) delay action on securing patent rights and promoting the invention to industrial partners pending results of additional research or reduction to practice of a concept; or (d) waive the University's rights when it has been determined that adequate patent protection is not available, commercial appeal is inadequate, or the University does not have a legal claim to the invention. In these cases, the rights are transferred back to the sponsor or to the inventor(s), when no sponsor's rights exist.

VII. SUMMARY

Inventions and technology transfer play an important part in the dissemination of the results of the research undertaken here at Baylor University. As reference for this fairly complicated process, this brochure can be filed in a handy place and consulted as necessary. Additional copies are readily available, as are answers to your questions regarding inventions and patents. Just call the Office of the Vice Provost for Research at (254) 710-3763.



This form is to be completed and submitted to the Office of the Vice Provost for Research (VPR) by anyone who believes they have developed a new Invention. The purpose of this form is to enable the Office of the VPR to evaluate whether legal protection to the Invention will be sought and/or commercialization pursued. In order for this Invention Disclosure to be processed by the Office of the VPR, it must be signed and dated by all inventors. The Office of the VPR can not process this report until it is complete with all necessary signatures found in Sections A, B and/or C. Visit the Baylor Research website at <http://www3.baylor.edu/Research> for downloadable formats of this form.

INVENTION INFORMATION

Title of Invention:

College(s) or School(s) and Department(s) in which the Invention was developed:

Additional Inventors: Yes No If yes, please complete the Additional Inventors section for each inventor.

Lead Inventor Information: The Lead Inventor is the primary contact person for the Office of the VPR on all matters associated with this Invention Disclosure, including processing, patent prosecution and licensing. For reasons of administrative efficiency, it is the responsibility of the Lead Inventor to keep all other inventors named on this Invention Disclosure informed of the status of such matters.

Name of Lead Inventor:

Last First Middle Degree

Title or Position: College/School: Department:

Business Phone: Business Fax: E-mail:

Business Address: Interdepartmental Address:

Home Phone Number: Home Fax:

Home Address:

Citizenship: Social Security Number:

VPR Internal Use Only: REC: _____ TLA: _____ College/School: _____

ADDITIONAL INVENTOR(S)

If additional pages are needed, please call the Office of the VPR.

Name of Inventor:

Last First Middle Degree

Title or Position: School: Department:

Business Phone: Business Fax: E-mail:

Business Address: Interdepartmental Address:

Home Phone Number: Home Fax Number:

Home Address:

Citizenship: Social Security Number:

Name of Inventor:

Last First Middle Degree

Title or Position: School: Department:

Business Phone: Business Fax: E-mail:

Business Address: Interdepartmental Address:

Home Phone Number: Home Fax Number:

Home Address:

Citizenship: Social Security Number:

ADDITIONAL INVENTOR(S)

If additional pages are needed, please call the Office of the VPR.

Name of Inventor:			
Last	First	Middle	Degree
Title or Position:	School:	Department:	
Business Phone:	Business Fax:	E-mail:	
Business Address:		Interdepartmental Address:	
Home Phone Number:		Home Fax Number:	
Home address:			
Citizenship:		Social Security Number:	

Name of Inventor:			
Last	First	Middle	Degree
Title or Position:	School:	Department:	
Business Phone:	Business Fax:	E-mail:	
Business Address:		Interdepartmental Address:	
Home Phone Number:		Home Fax Number:	
Home Address:			
Citizenship:		Social Security Number:	

RESEARCH SUPPORT INFORMATION

Indicate **ALL** contributions to the development of the Invention in terms of personnel, money, materials and facilities etc.

Check each funding source that applies to this Invention:

None Federal Sponsor(s) University Funding Commercial Funding Other

For each funding source, provide the information below. Additionally, if “Commercial” or “Other” Funding was used, please attach a copy of each such award notice.

<u>Funding Source Attached</u>	<u>Award/Contract Number</u>	<u>Title of Grant</u>	<u>Copy</u>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

Describe how Baylor University resources were involved in the Invention, including personnel, materials and facilities:

Has the Invention been reduced to practice? Yes No

Date of Reduction to Practice:

Stage of development of the Invention:

Conceptual Only Proof of Concept Prototype Fully Developed Working Model

Date the Invention was first subjected to experimental testing:

AGREEMENT SUPPORT INFORMATION

Were any materials, equipment or software under a Special Agreement, such as Material Transfer Agreements, Purchase Agreements, Sponsored Research Agreements or the like used? Yes No

If yes, please provide the following information for each item and attach a copy of the Agreement.

<u>Source of Materials</u>	<u>Attached</u>	<u>Materials</u>	<u>Copy</u>
_____			<input type="checkbox"/>
_____			<input type="checkbox"/>
_____			<input type="checkbox"/>
_____			<input type="checkbox"/>

DISCLOSURES OF THE INVENTION

Check any prior disclosures or anticipated disclosures, either written or oral, of the Invention:

Abstract(s) **Publication(s)** **Seminar(s)** **Presentation(s)** **Other** **None**

For each disclosure, provide the following information as appropriate in the space below:

- If **PUBLISHED**, include all journal citations and attach a reprint.
- If **NOT YET PUBLISHED**, attach a copy of the abstract or manuscript and the anticipated publication date.
- For any other written or oral disclosure, provide the names, addresses and affiliation of anyone to whom you have disclosed the Invention and the date of any disclosure.
- For each disclosure please provide an electronic copy, as appropriate.

<u>Title of Disclosure</u>	<u>Date of Disclosure</u>	<u>Copy Attached</u>
_____		<input type="checkbox"/>
_____		<input type="checkbox"/>
_____		<input type="checkbox"/>
_____		<input type="checkbox"/>

INVENTION ABSTRACT

Please provide a brief summary which addresses the significance of the invention with respect to the state-of-the-art (what problem was solved) and the essential nature of the Invention.

COMMERCIALIZATION

A. List the names of any companies that may be interested in the technology or are doing similar research and include how your Invention would complement their existing technologies/products. Also, provide the names of any companies (and a contact person, if known) who have contacted you regarding your research related to the Invention.

No company interest known at this time.

Company

Previous Contact

	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

B. List other Inventions or products that you know would compete with your Invention.

C. Describe who in the market shall use or have an interest in your Invention and for what purpose.

SOFTWARE IMPLEMENTATION OF THE INVENTION

Is the invention being disclosed software, or is software is implemented in the invention? Yes No
If Yes, describe the implementation of the software completely, using the outline given below.

1. Scope of Work [Is the work original? Is it created within the scope of your employment at Baylor University? Please explain the circumstances of program's development]:

2. Software Developers [Please list any developers of the software if different from invention]:

None

3. Software Derivation [If software is a derivative of an existing work, please explain the original work's source and the modification]:

None

4. Third Party Content [Identify any third party content or other elements and their source included in the software]:

None

5. Brief Software Description [Please characterize how robust and user friendly the work is.]:

SECTION B. BAYLOR UNIVERSITY INVENTOR CERTIFICATION AND ASSIGNMENT

This section is to be completed only by those Baylor University personnel subject to Baylor University Intellectual Property Policy. Non-Baylor Inventors are subject to a separate assignment and must complete Section C. Baylor Inventors who believe they are not subject to the Baylor University Intellectual Property Policy for the Invention described herein must complete Section C.

I/we, the Inventors, hereby certify that the information set forth in this Report of Invention is true and complete to the best of my/our knowledge.

I/we, the Inventors, hereby certify that I/we will promptly advise the Office of the Vice Provost for Research of any commercial interest regarding the Invention described herein.

I/we, the Inventor(s), subject to Baylor University Intellectual Property Policy and not under an obligation to assign intellectual property rights to another party, hereby affirm that in consideration for Baylor University’s evaluation of commercial potential and a share of income which I/we may receive upon commercialization of my/our Invention, on the date of my/our signature(s) as indicated below do hereby assign and transfer my/our entire right, title and interest in and to the Invention described herein unto Baylor University, its successors, legal representatives and assigns.

Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date
Baylor University Inventor Signature	Typed or Printed Name	Date

SECTION C. INVENTOR CERTIFICATION WITHOUT ASSIGNMENT

Non-Baylor Inventors must complete this Section.

Any Baylor Inventor(s) who believes themselves **not** subject to assignment via the Baylor University Intellectual Property Policy for the specific Invention described herein (e.g. the Invention was made under a consulting agreement or other) must sign below and summarize the reasons for their belief. The Office of the VPR will review this summary and may, depending upon the unique facts of the case, require assignment of the Invention at a future date.

I/we, the Inventor(s), hereby certify that the information set forth in this Report of Invention is true and complete to the best of my/our knowledge.

I/we, the Inventor(s), hereby certify that I/we will promptly advise the Office of the VPR of any commercial interest regarding the Invention described herein.

Inventor Signature	Typed or Printed Name	Date
Exception to assignment via the Baylor University Intellectual Property Policy: <input type="checkbox"/> Non-Baylor personnel, <input type="checkbox"/> Other If Other, please provide details of the exception:		
Inventor Signature	Typed or Printed Name	Date
Exception to assignment via the Baylor University Intellectual Property Policy: <input type="checkbox"/> Non-Baylor personnel, <input type="checkbox"/> Other If Other, please provide details of the exception:		
Inventor Signature	Typed or Printed Name	Date
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