



**UNIVERSITY OF  
BRIDGEPORT**

# POLICY AND PROCEDURE

<b>Title:</b>	<b>Intellectual Property</b>
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## **POLICY STATEMENT:**

The University of Bridgeport (“the University”) is growing as an academic and research institution with increasing research labs making discoveries and engaging in collaborative research endeavors. The University’s Innovation Center at Bauer Hall (“Innovation Center,” or “IC”) is a creative space for faculty, staff, and student-entrepreneurs (Collectively, the “University Community”) to create and transform the University’s discoveries into products and services that benefit society and contribute to the growth of our local economy. This policy aims to ensure that intellectual property produced at the University will be developed, as appropriate, for the benefit of the University, the University Community, and the local economy.

This policy aims to:

- (a) Encourage the University Community to discover, create, and innovate patentable inventions, copyrightable works, and other forms of Intellectual Property that merit legal protection and to facilitate the transformation of those discoveries into products and services that benefit society and contribute to the growth of the University and the local economy;
- (b) Define intellectual property (“IP”) and establish rules for the management of IP;
- (c) Establish guidelines for the dissemination of knowledge and transfer of IP;
- (d) Establish guidelines for collaborative and sponsored research; and,
- (e) Comply with federal regulations and laws and the requirements of external partners, if any.

## **PROCEDURE DETAILS:**

To inquire about Intellectual Property assistance:

1. Complete the online form available on MY UB Portal
2. Submit form
3. Receive email from Technology Transfer Office to schedule meeting for evaluation

Post-evaluation:

1. If determined appropriate, an invention Disclosure Form will be completed by application.
2. The invention Disclosure Form will be evaluated by Joint Steering Committee to determined next steps. Next steps can include:
  - a. File a patent application (provisional or non-provisional)
  - b. Waive rights back to inventor
  - c. Order or perform patentability search
  - d. Provide guidance to inventors on how to amend for patentability

For New Employees:

1. Human Resources will provide new hires with an agreement to disclose any IP owned before employment. Any IP that is owned by employee prior to employment is not the property of the University.

2. See Appendix B.

## **OWNERSHIP OF IP:**

The University owns all rights, title, and interest in and to Intellectual Property conceived, created, discovered, or developed as a result of University Support directly from or channeled through the University. By accepting employment with or enrollment in the University, Covered Persons hereby assign and agree to assign to the University all rights, title, and interest in and to Intellectual Property developed as a result of University support. The University does not own rights to, and any provision in this policy requiring a Covered Person to assign rights to an invention does not apply to any invention that a Covered Person develops entirely in his or her own time without University Support, beyond the scope of employment, and unrelated to the University's business, products, activities, research, or development.

The University may transfer any ownership rights by assignment or otherwise to the Inventor or Author.

When software, protectable data, or other tangible research property (e.g., cell lines and data sets), whether patentable or protectable, is developed by faculty using University Support, the University will own all rights to such property, including copyright (subject to agreements with appropriate funding sources).

Copyright to, and royalty from, literary or scholarly works in tangible or electronic form (e.g., textbooks and other curricular materials, reference works, journal articles, novels, music, photographs, etc.) produced by faculty members as a part of their usual teaching, service, and research activities, and which do not result directly as a specified deliverable from projects funded in whole or in part by the University or a sponsored research agency shall belong to the faculty who prepared such works and may be assigned or retained by them.

Notwithstanding the commercial potential, patentability, or copyrightability of University-Supported IP, the University shall have a perpetual, non-exclusive, worldwide right to use any University-Supported IP for any lawful purposes, including, without limitation, University research and teaching, and such use shall not generate any obligations for the University to compensate the Inventor(s) and Author(s) of the IP.

## **DISCLOSURE, LEGAL PROTECTION, AND LICENSING:**

University Responsibilities: The University acknowledges the importance of transferring its Intellectual Property appropriately and cost-effectively. To that end, the University's Innovation Center at Bauer Hall ("Innovation Center," or "IC") has established the Technology Commercialization Group ("TCG" or the "Tech Transfer Office"), whose mission is to facilitate the transformation of University and University partners' discoveries into products and services to maximize the value of the technology or copyrightable work to the University, the University Community, and the local community. The TCG shall:

- (a) Provide general oversight of Intellectual Property (IP) management and technology transfer to ensure adherence to University policies;
- (b) Assist the Schools and Colleges of the University ("Divisions") in establishing and maintaining effective technology transfer mechanisms and Divisional policies and procedures consistent with University policies;
- (c) Provide legal services and cooperate with the Divisions in establishing and maintaining efficient processes for patentability assessment, license opportunity assessment, patent and copyright application filing, patent portfolio management, and licensing of patents, copyrights, and other intellectual property to third-party entities, including University spin-out companies ("Spin-outs");
- (d) Promote technology transfer in a manner consistent with the Division's objectives and academic environment;

(e) Establish policies and procedures for technology transfer and commercialization services and the avoidance of conflicts of interests consistent with University policies; and,

(f) Identify and appoint a team member to serve as a member of the joint steering committee.

Joint Steering Committee. The University shall establish a joint steering committee (“JSC”) to manage the strategic direction of the development and commercialization of the University’s discoveries and innovations and oversee all activities related to IP management and technology transfer. The JSC shall:

(a) Consist of at least three members, including a member of the IC, a member of the TCG, a Division head who may be a Director or a Dean, the Provost, or a representative of the Board appointed by the Board of Trustees. Each member must have appropriate expertise, experience, and authority to make decisions affecting University IP Rights and issues falling within the jurisdiction of the JSC on behalf of the University. The total number of representatives on the JSC may change, provided that there will be, at all times, at least three members. Permanent members of the JSC shall include the Provost and a member of the TCG. The third or additional rotating member(s) shall be appointed based on the needs, facts, and circumstances of each case;

(b) Act as a joint consultative body and consider any matters related to the development and commercialization of the University’s IP;

(c) Set overall strategic objectives and plans for the development and commercialization of products and services, including determining whether to pursue IP protection, waive University IP Rights, or license University IP, including licensing University IP to Spin-out companies (“Spin-outs”);

(d) Review, discuss, and approve the development and commercialization plan and any amendments, revisions, or updates;

(e) Review, discuss, and approve all agreements that convey or affect the University’s IP Rights, including license agreements, joint development agreements, material transfer agreements, and other similar agreements;

(f) Review and determine, in its sole discretion, (i) the law firm and external legal counsel to use for seeking IP protection; (ii) timing and type of IP protection sought on behalf of the University after full disclosure has been received; and (iii) how long to continue prosecution of pending IP or maintenance of issued patents, trademarks, and copyrights; and,

(g) Perform such other functions to further the University’s mission and objectives as may be mutually agreed upon by the Board of Trustees.

## **UNIVERSITY COMMUNITY MEMBER RESPONSIBILITIES:**

University Community members who create, discover, or develop Intellectual Property shall:

(a) Disclose all relevant facts and developments of any potentially patentable discovery or invention they make or discover to the TCG promptly and in sufficient detail by completing the University & Partner Invention Disclosure Form (See Appendix A). The TCG will conduct an initial assessment and determine whether to submit a recommendation to pursue patent protection for the JSC’s consideration and approval. Preferably, Covered Persons will submit the Invention Disclosure Form to TCG before public disclosure to allow TCG an opportunity to conduct the initial patentability assessment. The JSC shall finally determine whether to pursue patent protection or waive the University’s IP Rights;

- (b) Disclose intellectual property other than patentable inventions, including copyrightable software, in cases where the author/creator deems the intellectual property to have commercial potential or otherwise require licensing or transfer to public use other than by publication or placement in the public domain;
- (c) Disclose their intentions or plans to discuss unpublished ideas with a commercial third party and ensure a confidentiality agreement is fully executed before exchanging confidential information. TCG has forms for such agreements and will help to prepare them. If a Covered Person receives an agreement by a third party that relates to University IP, the agreement shall be forwarded to the TCG for its initial review and recommendation to the JSC for approval. If changes are necessary, TCG will help draft, negotiate, and execute a revised agreement;
- (d) Disclose any contracts or agreements, including, without limitation, consulting, material transfer, confidentiality, research, option or license agreements; any prior publications, information, or existing related technologies; any prior public disclosures, sale, offers for sale, or public use; issues regarding conflict of interest, science, or commitment; and any other issues or information related to or affecting University IP;
- (e) Conduct technology transfer activities in a manner consistent with University and Divisional policies and procedures, including those governing conflicts of commitment and conflicts of interest;
- (f) Cooperate with the University to perfect and prosecute patents or copyrights and assist in the defense of any legal actions in response to infringement allegations; and,
- (g) Disclose all allegations of infringement, cease & desist notices, and complaints or other legal documents relating to or affecting University IP or work product, and, if appropriate, cooperate with the University to investigate and prosecute infringement claims.

## **UNIVERSITY OF BRIDGEPORT INTELLECTUAL PROPERTY AGREEMENT:**

All Covered Persons must sign the University of Bridgeport Intellectual Property Agreement (the "Agreement") upon hire or before engaging TCG to protect and commercialize University IP. In addition, all non-University community members who conduct funded research or training at the University must sign the Agreement (See Appendix B). Individuals employed at other institutions who are given faculty appointments at the University of Bridgeport for the sole purpose of teaching and who are not conducting any research activities or developing any copyrightable works or patentable inventions involving University Resources are not required to sign the Intellectual Property Agreement.

## **COMMERCIALIZATION:**

As a general principle, TCG is committed to identifying businesses that can further develop and commercialize the University IP to derive a reasonable financial return for the University. The JSC shall decide on the commercialization plans and disposition of IP owned or controlled by the University. The JSC may solicit and consider the opinions and suggestions of the Inventor(s) or Author(s) while evaluating a disclosure, preparing a patent application, licensing, or other actions regarding the IP.

### **New Company Formation:**

When a faculty inventor forms a new company based on University IP ("Spin-out company" or "Spin-out"), the following conditions must be satisfied before the University will license University IP to the Spin-out company: (i) the faculty inventor may serve as a consultant or scientific advisor, but may not assume an operational role with the Spin-out; (ii) the Spin-out must identify and install qualified and experienced individuals to serve as company directors, officers, agents, employees, or

representatives; and (iii) the Spin-out shall develop a business and fundraising plan. The terms of any license agreement shall be separately negotiated and could include, without limitation, a cash royalty, equity holdings, allocation of costs, and other terms and conditions to be determined on a case-by-case basis.

#### Spin-out Companies and Collaboration:

- (a) A faculty member is not authorized to negotiate or enter an agreement with a Spin-out on behalf of the University.
- (b) TCG, on behalf of the University, shall negotiate any agreements involving a faculty member and his/her lab (collectively, "faculty lab"), and a Spin-out. The agreement shall include a non-disclosure provision, scope of work, defined deliverables, and responsibilities between the Spin-out and the faculty lab. The JSC shall review and approve all such agreements.
- (c) The faculty lab shall safeguard, keep separate, and confidential all University materials, data, and intellectual property (collectively, "Confidential and Proprietary Information") that are not licensed to the Spin-out, and shall not share or use such Confidential and Proprietary Information for the benefit of the Spin-out without prior written approval by the JSC and a written agreement governing the use of such Confidential and Proprietary Information.
- (d) The faculty lab may not use University Resources, including, without limitation, academic lab space, equipment, supplies, or University's purchasing authority for the benefit of the Spin-out without prior written approval by the JSC and a written agreement setting forth the terms of reimbursement for such use.
- (e) Spin-outs may not compete with the University for research grants that could appropriately be conducted in the faculty lab.

#### Sponsored Research:

The University is committed to developing collaborations and supporting research that may be of significant benefit to the public and that merits development of its commercial potential. The University supports such research from its own resources. However, corporations, foundations, and governmental entities may also provide funding for such research ("External Funding"). The sponsors of External Funding often impose contractual terms and conditions in connection with their financial support, including requirements regarding disclosure and allocation of rights to inventions and discoveries produced by such research. The University is committed to fulfilling its obligations under such Sponsor Agreements. Covered Persons intending to work with such entities and secure External Funding should contact TCG to discuss available options and how TCG can help draft, negotiate, and execute sponsor agreements.

#### Government Sponsored Research:

Activity, including research, funded by the federal government carries legal requirements for IP disclosure. The federal government retains certain intellectual property rights to inventions created, discovered, or developed under federal grants. Under federal regulations, i.e., 37 C.F.R. §401, et seq., the University must report all such inventions to the funding agency and elect to file for a patent within a reasonable time. If the University elects not to file for a patent, it must inform the funding agency, which then has the right to pursue patent protection. Inventors must disclose all inventive works conducted under federal funding, identifying the federal contract number and the sponsoring agency. Inventors should also be aware that the federal government retains a perpetual, nonexclusive license to all federally funded research results.

## Student Research:

Students will own the IP that they create, discover, or develop, including work created for a class, unless the student is (i) working under a University research grant or other University Supported research; (ii) working for the University as a full or part-time employee; or (iii) working under a contract that stipulates otherwise. Under these circumstances described under (i) and (ii), the University owns all rights, title, and interest in and to all such Intellectual Property. The University does not own rights to, and any provision in this policy requiring a Student to assign rights to an invention does not apply to any inventions that the Student develops entirely in his or her own time without University Support, beyond the scope of employment, and unrelated to the University's business, products, activities, research, or development.

## INCOME DERIVED FROM IP:

### General Principles:

Revenues received as a result of Licensing Agreements in the form of cash royalties and/or equity holdings or income from the assignment or sale of University IP shall be distributed in such a manner as to encourage technology development within and technology transfer from the University. "Revenues" shall not include funds received for research support.

- (a) University costs for patent prosecution, patent maintenance, licensing, and license maintenance shall be reimbursed from Gross Revenues.
- (b) All shares of revenue, including the inventor's, should contribute to the reimbursement of University costs for patent infringement actions. The manner and amount of such reimbursement will be determined by the JSC and approved by the Board of Trustees to maintain fairness and adequate incentives in revenue distribution.
- (c) The schedule for distribution of Net Revenues shall be designed to provide personal incentives to Inventors.
- (d) The distribution of net revenues to the University shall augment the support and further development of the TCG and its functions.
- (e) This policy provides for the distribution of net revenues from both net cash royalties and equity shares resulting from IP agreements.

### Net Revenue Distribution Schedule (Inventions):

Net revenue means the gross revenue derived from the sale or licensing of the University-Supported IP less the costs and expenses reasonably allocated to such IP. The distribution of net revenue is as shown and as approved by the Board of Trustees ("the Board") as follows:

Inventor's Personal Share	Inventor's Research Share	Inventor's Depart. Share	Inventor's School or College Share	University & TCG Share
35%	15%	15%	15%	20%

The department's share is further divided among the Dean, the department head, and the department faculty members. The University's share will be invested in research-related activities and the support and further development of the TCG and its functions. The Net Revenue Distribution Schedule is subject to periodic review and adjustments by the Board, and the Board may enter mutually agreed distributions that differ from the above formula.

#### Net Revenue Distribution Schedule (Copyrights):

The distribution of net revenue from the sale or licensing of University Copyrights shall be determined on a case-by-case basis but may be distributed similarly to the distribution for inventions described in Section 7.2.

#### Equity Holdings:

Licensing Agreements involving equity participation by the University and its faculty are permitted. Under appropriate circumstances, research sponsored by companies, including Spin-outs, in which faculty and/or the University have equity holdings may also be permitted. Each Division is responsible for establishing and executing specific rules and procedures for implementing the policy guidelines provided below.

- (a) University contracts with licensees must be negotiated by the appropriate University or Divisional office and not directly by the Inventor.
- (b) The Inventor's and the Institution's equity interest will not be traded until after a stipulated Trigger Date.
- (c) The Inventor's equity interest will be held in escrow for the benefit of the Inventor by the University.
- (d) Any association of the Inventor(s) with the licensee will be subject to disclosure, including compensation, prior approval, and annual reporting.
- (e) Divisions from which the Intellectual Property originates must have adequate policies and procedures for conflict of interest consistent with those outlined in Additional Provisions.
- (f) Distribution of Equity Revenue: Unlike royalty revenue, equity revenue distribution is sporadic and likely to occur only once. Cash received from the sale of shares allocated to the Inventor's Laboratory(s) Share will be apportioned in equal amounts annually to the appropriate laboratory(s) over the remaining life of the relevant U.S. Patent or the remaining years under the relevant License Agreement, whichever is shorter, unless the Dean of the School of the Inventor(s) and the Inventor(s) agree to another method of distribution. The distribution schedule for equity revenue distribution is shown in the previous section.

#### Distribution After Termination or Death:

- (a) The inventor's personal share shall survive termination of affiliation with the University and, in the event of the inventor's death, shall inure to his/her estate.
- (b) Upon termination of the inventor's affiliation with the University, the inventor's research share, including the unspent portion and future allocations, shall be reallocated to the inventor's department, school or college, and University according to the applicable distribution policy.

### **UNIVERSITY TRADEMARKS AND USE:**

The University owns all rights, title, and interest in trademarks, service marks, trade names, trade dresses, and other brand designations related to University business, intellectual property, or University-related research or education programs or training. Covered Persons may not use the University of Bridgeport name or any University insignia, slogan, trademarks, or service marks in connection with any commercial product or enterprise or to promote any non-University activity or organization, except for the purpose of identification of named individuals by title and University affiliation, unless permission for such use is explicitly granted by the University. A request to use or license University trademarks shall be directed to the TCG. The TCG shall conduct an initial review and make a recommendation to the JSC for approval or further action.

## **ADDITIONAL PROVISIONS:**

### Research:

The University shall only enter into a research contract or other binding commitment to perform work reasonably expected to be publishable, provide educational opportunities, and/or be in the public interest.

### Use of the University's Name:

Before using the University's name for advertising, marketing, or other promotional purposes, all written or broadcast materials containing it must be approved by the Board of Trustees. A statement on using the University's name shall be included in all appropriate contracts between the industry (company) and the University.

### Publication:

The University shall enter into contracts or other binding commitments to conduct research and training only if they permit the disclosure and publication of research. Delays in publication of up to 120 days may be agreed upon to permit time for filing patent applications.

### Confidentiality:

University faculty shall not undertake research in which the sponsor (i) prohibits the faculty member from disclosing the existence of the agreement or (ii) unreasonably restricts the faculty member's public disclosure of information developed by that faculty member (see Section 9.3. above).

### Avoidance of Conflict of Interest and Conflict of Commitment:

(a) As a general principle, faculty members' activities must be governed by thoughtful consideration of individual circumstances rather than rigid rules. The reporting requirement, as outlined in the following paragraph, is meant to ensure that conflicts of commitment and conflicts of interest are considered openly and fairly, and that appropriate action is taken to resolve those conflicts.

(b) In cases where faculty enjoy rights to Intellectual Property under this policy, they have an obligation to report fully any outside activities and interests related to their teaching, research, or service to their department head, dean, director, or other designated University official (Collectively, "University Official") and obtain their approval before the activity begins. The report must be in writing and must include the names of companies for whom he/she consults, the number of days committed to each consulting agreement, and a copy of any proposed consulting agreements associated with Intellectual Property. Consulting agreements must be reviewed for compliance with University policies and government regulations and approved by the appropriate University Official before the consultation can begin.

(c) Faculty inventors must disclose all financial interests in a Commercial Venture, the receipt of royalties and acceptance of consultant fees, and report such financial interests in all relevant papers prepared for publication or oral presentation to avoid later accusations that adverse results had been suppressed to enhance the marketability of the Invention.

## **PUBLISH POLICY STATEMENT (CLICK ON BOX NEXT TO OPTION-SELECT ALL THAT APPLY):**

UNIVERSITY CATALOG

STUDENT HANDBOOK



## DEFINITIONS:

**Intellectual Property (“IP”)** means and refers to all forms of technology and expression whose ownership is subject to legal protection in the United States and/or internationally, including but not limited to patents, copyrights, mask works, trademarks, and service marks, tangible research property, and rights in data and other proprietary information, each further defined below as:

- (a) **Patents** are patentable discoveries and inventions that may include any new and useful process, machine, article of manufacture, composition of matter, or new and useful improvements thereof.
- (b) **Copyrights** are original and creative works, including, without limitation, written and graphic works, computer software, photographic, video, and audio works.
- (c) **A mask work** is a visual representation of a semiconductor chip.
- (d) **A trade or service mark** includes, without limitation, a word, name, symbol, or device an organization uses to identify its goods or services.
- (e) **Tangible research properties** include biological materials, prototype devices, software, and engineering designs.
- (f) **Protectable data** includes recorded factual material and supporting materials such as experimental protocols and code written for statistical analyses, which are commonly accepted in the scientific community as necessary to validate research findings.

**Inventor** means a member of the University Community who participates in the conception of a patentable invention.

**Author** means a member of the University Community who authors or co-authors a copyrightable work.

**University Community** includes full- and part-time Faculty, staff, students, and postdoctoral scholars. University Community and University Community Member(s) are synonymous and interchangeable.

**Covered Person** is a person who must comply with this policy, including all University Community Members and non-employees who (i) use University resources or support or (ii) participate in University scholarship or research, regardless of whether compensated or not by the University, including visiting faculty, visiting students, visiting technical staff, contractors, consultants, interns, industrial personnel, and fellows, regardless of their obligations to other companies or institutions. Bridgeport residents and local businesses (“Bridgeport Community Members”) who are not part of the University Community but utilize University Resources as part of the Accelerator Business Program are expressly excluded and not Covered Persons. However, Bridgeport Community Members or Students who developed their own IP independently but seek University Support to commercialize their IP may be required to execute a separate Student and Startup Agreement.

**University Support** means funds, space, personnel, or facilities used to support research and scholarship, including direct funding such as gifts, contracts, grants, and University-allocated funds; laboratory space or shared research facilities; and supervision or employment, including student employment, on any such University-funded scholarship or research. The terms University Support and University Resources are synonymous and interchangeable.

**Sponsored Agreement** means a contract between the University and an outside agency, firm, entity, or other institution, including government, academic, non-profit, and for-profit entity, under which support, financial or otherwise, is provided to the University or University Community member to conduct research and development activities at the University.

**Work Product** means all writings, technology, inventions, discoveries, processes, techniques, methods, ideas, concepts, research, proposals, materials, and all other work products of any nature whatsoever that are created, prepared, produced, authored, edited, amended, conceived, or reduced to practice by the Covered Person solely or jointly with others (i) during the period of their employment by the University, and relate in any way to the business or contemplated business, products, activities, research, or development of the University or (ii) result from any work performed by the Covered Person for the University (in each case, regardless of when or where the work product is prepared or whose equipment or other resources is used in preparing the same), all rights and claims related to the foregoing, and all printed, physical, and electronic copies and other tangible embodiments thereof.

**EXCLUSIONS:**

None.

**OFFICES DIRECTLY AFFECTED BY THE POLICY:**

Center for Innovation, Advancement, Academic Affairs

**HISTORY:**

Created January 2025.

Cabinet Approved February 2025

OIE Approved March 2025

<b>EFFECTIVE DATE:</b>	March 2025
<b>RESPONSIBLE OFFICE (ONLY ONE):</b>	Center for Innovation
<b>REVIEW DATE:</b>	March 2025

## **APPENDIX:**

Appendix A: Invention Disclosure Form

### **TECHNOLOGY COMMERCIALIZATION GROUP**

#### **INVENTION DISCLOSURE FORM**

PLEASE E-MAIL THE COMPLETED INVENTION DISCLOSURE FORM (Word document preferred) TO: entrepreneurship@bridgeport.edu. If you have questions, please call the Technology Commercialization Group at: 203-576-4190.

A member of TCG will contact you to discuss your invention and possible courses of action.

**PLEASE NOTE: ALL INVESTIGATORS must complete and sign the INVESTIGATOR SIGNATURE PAGE, which may be mailed to TCG after electronic submittal of an Invention Disclosure Form.**

## INVENTION DISCLOSURE FORM

Date Received \_\_\_\_\_  
(For use by TCG Staff)

Disclosure No. \_\_\_\_\_  
(For use by TCG Staff)

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### (1) CONTACT INFORMATION:

SUBMITTING INVESTIGATOR'S FULL NAME (last name, first name) \_\_\_\_\_

STATUS (faculty, staff, student) \_\_\_\_\_

UNIVERSITY \_\_\_\_\_

DEPARTMENT \_\_\_\_\_

PHONE \_\_\_\_\_

E-MAIL \_\_\_\_\_

### (2) TITLE OF THE INVENTION:

(3) **BRIEF DESCRIPTION OF THE INVENTION (A complete Technical Description is requested in Section 8):** State concisely what has been invented, i.e., what is to be offered to a company? This may be a product to be sold, an improvement to an already available product, or a process to be used in making a product or providing a service. An attachment should not be used to answer this question.

(4) **APPLICATION:** State briefly who the end users would be and how they would use your invention, or if applicable if there is an end product that incorporates your invention (Example: scaffold invention suited for use on metal artificial joints used by orthopedic surgeons).

- (5) **ALTERNATE TECHNOLOGY:** How is the problem that this invention addresses currently solved?
- (6) **IMPORTANCE and BENEFITS of INVENTION:** State briefly why your invention is important for the end-user compared to what is currently used. (Example: saves time, saves money, reduces costly errors, increases life expectancy, etc.)
- (7) **NOVEL FEATURES:** Novelty makes an invention commercially attractive and is an absolute requirement for patent protection. Please describe the unique aspects of your invention, and how it is different and/or better than the existing technologies described in Section 5 above.
- (8) **TECHNICAL DESCRIPTION OF THE INVENTION:** To help in the evaluation of the invention, please provide a complete and detailed technical description below. Please attach any relevant sketches, diagrams, drawings, photographs or other illustrative material. Description may reference separate documents such as a publication, meeting abstract, manuscript in preparation, preprint or report. *(Please insert information here or attach extra sheets; please also provide copies of referenced documents.)*

**(9) STAGE OF DEVELOPMENT:** Please check which of the following most closely describes the current stage of your invention [Technology Readiness Level (TRL)].

TRL2	Concept defined and/or application formulated, analytical tools developed (applied research)
TRL3	Experimental data demonstrates critical function (proof of concept)
TRL4	Invention validated in laboratory environment (feasibility)
TRL5	Invention validated in relevant environment (development)
TRL6	Pilot-scale prototypical system validated in relevant environment (tech demonstration)
TRL7	Full-scale system demonstrated in relevant environment (system demonstration)

**(10) PREVIOUS PUBLIC DISCLOSURES:** Disclosure of the invention to the public can negatively impact the ability to obtain patent protection. Publicly available information includes theses, reports, preprints, abstracts, conference presentations, poster presentations, seminars open to the public, funded grants, homepages, websites, electronic journals, news releases, university publications, etc. Please indicate if any of the following disclosures have been made.

Type	Venue, e.g. journal name, meeting, etc.	Date
<input type="checkbox"/> Oral	_____	_____
<input type="checkbox"/> Written	_____	_____
<input type="checkbox"/> Internet	_____	_____
<input type="checkbox"/> Sample Distribution	_____	_____

**(11) ANTICIPATED PUBLIC DISCLOSURES:** Please indicate if you plan to make any of the following public disclosures in the next 6 to 12 months.

Type	Venue, e.g. journal name, meeting, etc.	Date
<input type="checkbox"/> Oral	_____	_____
<input type="checkbox"/> Written	_____	_____
<input type="checkbox"/> Internet	_____	_____
<input type="checkbox"/> Sample Distribution	_____	_____

**(12) RELATED PUBLICATIONS BY OTHERS (POSSIBLE PRIOR ART):** Please list 3 – 10 publications and/or patents and/or patent applications describing closely related technology. (Do not include those of general background.) Patents and patent applications can be searched at <http://www.uspto.gov/patft/index.html> [U.S. Patents] and <http://ipdl.wipo.int/> [Foreign Patents] and SciFinder.

**(13) FINANCIAL SUPPORT:** Check the funding source(s) for the work that led to this invention. We often need to report inventions to sponsors. Please provide a copy of any relevant industrial contracts, such as Sponsored Research Agreements.

Type	Agency/Company	Grant/Contract No.
_____ Federal	_____	_____
_____ Industrial	_____	_____
_____ University	N/A	N/A
_____ Other	_____	_____

**(14) RESEARCH AND DEVELOPMENT PLANS:**

- a. What additional research is needed to complete development and testing of the invention?
- b. Are you actively pursuing this needed work?
- c. About how long will this work take?
- d. What additional research support, if any, is needed for these efforts?

**(15) DOCUMENTATION:** Please estimate the following dates:

a. The date the invention was first conceived (i.e., when was a definite idea of the complete and working invention made in the mind of the inventor(s)):

b. The date the first written description of the invention was made:

c. The date the invention was first actually made (reduced to practice):

**(16) THIRD PARTY MATERIALS:** Materials owned by an entity other than your university that were used to generate your invention or that are incorporated into your invention may create a legal, financial or other obligation to the third party. Please describe any materials obtained from third parties (such as research collaborators or companies, with or without a Material Transfer Agreement) that were used in the development of the invention. If obtained under a Material Transfer Agreement, please provide a copy.

**(17) POTENTIAL PARTNERS:** Because you are the person most closely involved with your invention and its applications you may already have some ideas about companies that might be suitable partners for developing and selling the invention. Please list as many specific companies as possible that you feel TCG should contact to gauge the level of corporate interest in your invention.

**(18) POTENTIAL CONFLICTS:** To be sure that no other entities might be able to claim ownership of, or any other rights to, this invention, please provide copies of any Consulting or other Agreements that are or might be applicable.

**(19) COMMERCIALIZATION:** Do you have a personal interest in starting a company around this invention?



## INVESTIGATOR SIGNATURE PAGE

**SUBMITTING INVESTIGATOR'S FULL NAME:** \_\_\_\_\_

**TITLE OF INVENTION:** \_\_\_\_\_

**INVESTIGATOR(S) SIGNATURES:** By signing, the investigator(s) confirm: (1) the completeness and accuracy of the information in this disclosure; (2) to the extent that each investigator is or may be determined to be a legal inventor of the invention described herein, each investigator agrees to and does hereby assign all right, title and interest in the invention according to the IP policy investigator's institution; (3) the willingness of each investigator(s) to cooperate fully with TCG during the evaluation,; and (4) their percent contribution to the conception and development of the invention which will be used to determine each investigator's revenue share, regardless of inventorship status. (Inventorship per se is a legal determination based on an individual's intellectual contribution to the claims in a patent. Its determination must wait until a patent application is filed and will be made with the aid of a patent attorney.) If the percent contribution of each investigator is not indicated, it will be assumed that each contributed equally. Further, by signing, the investigator(s) agree to keep TCG informed of any changes in their home address. If TCG does not have the current address, the signatories agree that any payments otherwise due to them shall be retained by the investigator's home institution.

	<i>Investigator(s) Signature(s)</i>	Percent Contribution	Department / University	Date Signed
1.	Signature:			
Print or Type Name: Home Address:  E-mail Address:		Country of Citizenship:		
2.	Signature:			
Print or Type Name: Home Address:  E-mail Address:		Country of Citizenship:		
3.	Signature:			
Print or Type Name: Home Address:  E-mail Address:		Country of Citizenship:		
4.	Signature:			
Print or Type Name: Home Address:  E-mail Address:		Country of Citizenship:		

	<i>Other Investigator(s) Signature(s)</i>		<b>Affiliation/ Employer</b>	<b>Date Signed</b>
1.	<b>Signature:</b>			
<b>Print or Type Name:</b> <b>Home Address:</b>  <b>E-mail Address:</b> <b>Country of Citizenship</b>				
2.	<b>Signature:</b>			
<b>Print or Type Name:</b> <b>Home Address:</b>  <b>E-mail Address:</b> <b>Country of Citizenship</b>				
3.	<b>Signature:</b>			
<b>Print or Type Name:</b> <b>Home Address:</b>  <b>E-mail Address:</b> <b>Country of Citizenship</b>				

List any students and post-doctoral researchers who made intellectual contributions to the described invention:  
*(Please insert information here.)*

## Appendix B: Intellectual Property Agreement

I affirm that I have received and have read the University of Bridgeport Intellectual Property Policy and agree to abide by its terms.

In consideration of the University of Bridgeport's provision of support in the form of funds, space, personnel (including student employees), employment, facilities, instruction, supervision, or other assistance, I hereby accept and will abide by, and fully comply with, the policy as determinative of my rights and obligations concerning any discoveries, patentable inventions, or copyrightable works.

I further agree to assign and do hereby assign to the Trustees of the University of Bridgeport all my rights, title, and interest in such intellectual property that is subject to this Policy. I agree to execute and deliver all documents and do everything necessary and proper to affect such assignments. I further agree to cooperate with the University to perfect and prosecute patents or copyrights and assist in the defense of any legal actions in response to infringement allegations.

I further affirm that I do not have any consulting or other agreements with any third party or organization that grants rights that conflict with this agreement, nor will I knowingly enter any such agreements in the future during my term of employment or association with the University of Bridgeport. I further affirm that I have disclosed, and will continue to disclose, any such consulting or other agreements with the University of Bridgeport as required by the University policy governing conflicts of interest or commitment.

Signature

Date Signed

\_\_\_\_\_  
Name (please type or print)

\_\_\_\_\_  
Dept., School or College

\_\_\_\_\_  
Email

\_\_\_\_\_  
Telephone No.