



Applies to: Faculty, staff, and students

Responsible Office

Office of Business and Finance

POLICY

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The university encourages **faculty**, staff, and students to engage in the creation and dissemination of knowledge, including works of authorship, discoveries, inventions, patents, and tangible property that can serve the public through open academic exchange and commercial development. The university is committed to creating a culture and infrastructure that nurtures these activities and highlights the capacity of its **faculty**, staff, and students to advance the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge. The university recognizes the importance of intellectual freedom and autonomy of **faculty**, staff, and students.

Purpose of the Policy

To establish rules regarding the ownership, distribution, and commercialization of **intellectual property** created by university **faculty**, staff, and students.

Definitions

Term	Definition
Artistic works	Works created primarily for their cultural or aesthetic value. Such works may include, but are not limited to, plays, poems, novels, paintings, illustrations, sculptures, and musical compositions.
Copyrighted materials	Works protected by copyright that are authored by the university or its <b>faculty</b> , staff, and students, provided that <b>copyrighted materials</b> will not include <b>inventions</b> for the purpose of this policy.
Creator	A <b>creator</b> is a <b>faculty</b> member, staff member, or student who meets one or more of the following criteria: (a) With respect to <b>copyrighted materials</b> , <b>creator</b> means the author, as that term is defined under U.S. copyright law, provided that if the author is the university due to its position as the employer of the individual <b>creator</b> , then, for the purpose of this policy, the <b>creator</b> will be the individual who would have been considered the author if that individual was not performing the work within the scope of employment. (b) With respect to <b>inventions</b> that are eligible for patent protection, as well as know-how and any other <b>inventions</b> related to such <b>inventions</b> that are eligible for patent protection, <b>creator</b> means any inventor, as the term is construed under U.S. patent law. (c) With respect to <b>tangible research property</b> , <b>creator</b> means any individual who has taken part: (a) in the conception of the idea of the specific <b>tangible research property</b> that is to be made; and/or (b) substantially in making the <b>tangible research property</b> but only when making the <b>tangible research property</b> was not a routine or known practice. An individual will not be considered a <b>creator</b> of a new <b>tangible research property</b> solely because that individual provided materials to be used to produce the new <b>tangible research property</b> . (d) With respect to any other <b>intellectual property</b> that does not fall within the above criteria, <b>creator</b> means any individual who provided substantive and substantial intellectual contribution to the creation of the <b>intellectual property</b> .
Direct expenses	Costs, expenses, taxes, and losses paid or incurred by the university or on its behalf that are directly: (i) attributable to <b>intellectual property</b> being transferred, commercialized, or exploited; (ii) related to the commercialization, preservation, marketing, licensing, and legal protection of specific <b>intellectual property</b> ; or (iii) associated with acquiring, managing, transferring, or liquidating equity to be used for the transference, commercialization, or exploitation of specific <b>intellectual property</b> .
Faculty	Has the meaning set forth in <a href="#">Faculty Rules 3335-5-19</a> . Without limiting the foregoing, it includes those appointed by the board of trustees with tenure track, non-tenure-track (including clinical faculty, research faculty, and associated faculty), and emeritus faculty titles.
Gross proceeds	All cash received from the transfer, commercialization, or other exploitation of <b>intellectual property</b> including, but not limited to, royalties, option fees, license fees, reimbursement of expenses, and/or cash from dividends or distributions on, or the sale or liquidation of, equity. In the case of <b>sponsored research</b> , the cash or other consideration received by the university from the sponsor of such research to do the

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	research, except for royalties for <b>intellectual property</b> , are not part of the <b>gross proceeds</b> . <b>TAF proceeds</b> are not part of the <b>gross proceeds</b> . Unless an agreement pursuant to section VI under Policy Details provides otherwise, the proceeds received from the commercialization of the <b>intellectual property</b> created in <b>sponsored research</b> , except for any <b>TAF proceeds</b> , are part of the <b>gross proceeds</b> .
Instructional works	Works created primarily for the instruction of students or for continuing education and certification programs. Such works may include, but are not limited to, slides and presentation content to be used in classes, class notes, exercises and assignments, syllabi, and examinations.
Intellectual property	All <b>inventions</b> and <b>copyrighted materials</b> .
Inventions	All rights to and interests in discoveries, inventions, and patents covered by <a href="#">Ohio Revised Code §3345.14(B)</a> , as well as <b>tangible research property</b> .
Net proceeds	<b>Gross proceeds</b> less <b>direct expenses</b> .
OSIF	Ohio State Innovation Foundation. A 501(c)(3) organization, formed in 2013 by the university to manage <b>intellectual property</b> developed at or created by the university and to facilitate the commercialization of such <b>intellectual property</b> . The university may assign to OSIF <b>university IP</b> to be commercialized by OSIF. In return, OSIF will transfer, according to this policy, the <b>net proceeds</b> generated from the <b>university IP</b> so assigned to the Technology Commercialization Office (TCO), to distribute according to this policy. OSIF includes any successive entity to Ohio State Innovation Foundation.
Ohio State proceeds	The amount of <b>net proceeds</b> received by the university directly or as a distribution from <b>OSIF</b> .
Scholarly works	Works created primarily to express and preserve scholarship as evidence of academic advancement or academic accomplishment. Such works may include, but are not limited to, scholarly publications, journal articles, research bulletins, monographs, and books (including textbooks and electronic books).
Software	The source code and/or object code of computer applications and subroutine libraries. Software, for the purposes of this policy, does not include other works in the form of computer software including computer-generated works of art or music or the content of other forms of works, such as traditional scholarship, that is recorded in a software medium.
Sponsored research	Research projects that are supported by funding or other consideration (received by the university) provided in response to a request or proposal to a government or industrial sponsor or supported by specific deliverables in a grant from a funding entity, including research or other activity undertaken by the university or one of its units that is subject to specific written obligations to another party.
TAF proceeds	Any non-refundable, fixed upfront or fixed delayed fees (including related option fees), such as technology access fees, paid by a sponsor of <b>sponsored research</b> in addition to the research project funding that entitles the sponsor to rights in <b>intellectual property</b> arising under the university's performance of such <b>sponsored research</b> project.
TAF Researcher	Any university <b>faculty</b> , staff, or student involved in the performance of a research project for which <b>TAF proceeds</b> are received.
Tangible research property	Research results that are in a tangible form as distinct from intangible property. Examples of tangible property include, but are not limited to: cell lines; data; human, animal, and plant tissue; transgenic animals; antibodies; biological organisms; and integrated circuits. Tangible mediums of expression in which <b>copyrighted materials</b> are fixed, including, but not limited to, books, copies of articles, and music sheets are not <b>tangible research property</b> .
University IP	All <b>intellectual property</b> owned by the university as set forth in this policy.

### Policy Details

- I. This policy is subject to all applicable laws including federal and Ohio law, and in particular Ohio Revised Code §3345.14. **Faculty**, staff, and students are bound by this policy by accepting or continuing university employment or by using university resources or facilities and promise to irrevocably assign, and hereby irrevocably assign, all rights, title, and interests in **university IP** to the university.
- II. With the exception of specific written agreements to the contrary (see section VI), and without limiting the general disclosure obligations (see section VII.C), nothing in this policy will be interpreted to prevent any **faculty**, staff, or students from sharing the results of their research and other academic activities with others, including by publishing those results. **Faculty**, staff, and students should however be aware that under certain circumstances disclosure can jeopardize the ability to secure a patent for an **invention** and they are therefore advised to consult with the Technology Commercialization Office (TCO) prior to such public disclosure.
- III. Ownership of **inventions**. Subject to the terms of section VI:
  - A. All rights, title, and interests in **inventions** are the sole property of the university. The university hereby assigns to the **creator(s)** every **invention**:



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1. developed by **faculty** or staff acting outside of the scope of their employment provided that such **intellectual property** was developed with no more than insignificant use of university resources, or
  2. developed by a student, provided that the invention was not developed:
    - a. within the scope of employment of a student who is an employee;
    - b. as part of a **sponsored research** project; or
    - c. as part of a course or a university degree program for which the relevant syllabus, made reasonably available to the students before the **invention** was developed, provided that the student will not own such an **invention**.
- B. Every student hereby grants the university the following licenses:
1. a nonexclusive, perpetual, worldwide, royalty-free license to use any **inventions** created as part of a course or a university degree program for administrative purposes, such as assessment of a work, accreditation, and to prevent and/or remediate research or academic misconduct; and
  2. a nonexclusive, perpetual, worldwide, royalty-free license to any use of any **inventions** that the student owns that were developed by the student with more than insignificant use of university resources not as part of a course or a university degree program. The TCO, in consultation with the relevant principal investigator, may waive or limit that license if it concludes that the invention is not likely to harm future research at the university.
- C. As used in this section III, insignificant use of university resources includes, but is not limited to, de minimis use of: university networks and email systems; office spaces; libraries and their resources; desktops, laptops, cell phones, tablets, and **software** that is commonly installed thereon; servers; and cloud storage services. Insignificant use of university resources does not include the use of:
1. other university employees or students in developing, testing, or distributing the **inventions**; or
  2. university laboratories or equipment besides the equipment referenced above in this subsection III.C or similar commonly used items.
- IV. Ownership of **copyrighted materials**. Subject to the terms of section VI:
- A. All copyrights in **instructional works**, **scholarly works**, and **artistic works** whose **creators** are **faculty** members, except for **software**, remain with their **creators**. The university hereby assigns any of its copyrights in such works, insofar as they exist, to their **creators**. Such works will not be deemed **university IP** under this policy. The copyright in all other **copyrighted materials** whose **creators** are **faculty** members that are created within the scope of the **creators'** employment belong to the university.
  - B. The university hereby grants to every **faculty** member who is a **creator** of **software** that is not eligible for patent protection a perpetual, exclusive, worldwide, sublicensable, royalty-free license to use the **software** for any scholarly, instructional, and artistic purpose, as well as grants a perpetual, nonexclusive, worldwide, royalty-free license to allow others, for no consideration, to use the **software**, subject to terms and conditions determined by the **creator**. Without limiting the foregoing, the university may require **faculty** members to agree to limits on their rights under those licenses as a condition for commercialization of the **software**.
  - C. Each **creator** who is a **faculty** member grants the university the following licenses with respect to the **instructional works** created during employment at the university:
    1. If the **instructional works** were created with the intention to be used for teaching by others at the university, then the **creators** hereby grant the university a perpetual, nonexclusive, worldwide, royalty-free license to use the **instructional works** for any of the university's teaching and educational purposes as well as for administrative purposes such as accreditation.
    2. If the **instructional works** were not created with the intention to be used for teaching by others at the university, then the **creators** hereby grant the university a nonexclusive, worldwide, royalty-free license to use every such **instructional work** that was used for the instruction of the university's students. Such a license is limited to use for teaching in the same course or in a similar course to that for which they were developed as well as for administrative purposes such as accreditation. The license with respect to each such **instructional work** expires at the earliest of (i) that work reasonably and in good faith becoming available on the market or (ii) one year after the **creator** ceases to teach the course for which those **instructional works** were developed for the university.
  - D. Copyright of works whose **creators** are staff will be owned as followed:

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1. Subject to the exceptions set forth below, **copyrighted materials** created by staff within the scope of their employment is owned by the university.
  2. The university acknowledges that a limited number of staff members have certain prerogatives to set their own research, scholarly, instructional, artistic, or creative tasks and in certain circumstances personal ownership of copyright arising from these professional endeavors would be appropriate. The TCO will establish reasonable procedures, which will be reviewed and approved by the Intellectual Property, Patents, and Copyrights Committee (IPPC), to allow unit heads and deans to submit an application to the TCO to request that the university assign copyright of specific works or classes of works to their staff-**creator**. TCO, in consultation with the relevant unit head or dean, may grant, deny, or modify such requests. TCO will report to IPPC from time to time, but at least once a year, about the type of requests that have been approved and have been denied under these procedures.
  3. Notwithstanding the foregoing, post-doctoral research employees will have the same rights and obligations in **copyrighted materials** they create in their capacity as post-doctoral research employees that **faculty** have.
  4. Notwithstanding the foregoing, students who are the instructors of record for a course and author **instructional works** developed for that course own those **instructional works** whether student-employees or not. Those students grant the university the same license that the university would have received under section IV.C above if the works were developed by a **faculty** member.
- E. Students retain copyrights in **copyrighted materials** that they author except that the university owns those materials when they are authored by student-employees within the scope of their employment. The university hereby assigns any of its copyrights in such works (excluding works created by a student-employee within the scope of employment), insofar as it exists, to their **creators**. Such works will not be deemed **university IP** under this policy. Every student hereby grants the university a perpetual, worldwide, nonexclusive, royalty-free license to use such **copyrighted materials** in any way for administrative purposes, such as assessment of the work, accreditation purpose, and to prevent and/or remediate research or academic misconduct. In addition, the university may require students to provide a single copy of their thesis or dissertation to the university for non-commercial library use.
- F. Rights in co-authored **copyrighted materials** will be determined in the following way. First, the co-authors will be identified, pursuant to applicable law. Then, the ownership rights of each co-author will be determined separately pursuant to Sections IV.A-IV.E, as if that co-author created the entire work. The owners identified in this process will be the joint owners of the work.
- V. Proceeds Distribution
- A. For **university IP** transferred to **OSIF** for which **OSIF** receives **gross proceeds**, **net proceeds** will be distributed as follows:
    1. For **net proceeds** up to \$100,000, **OSIF** will distribute 50% of the **net proceeds** to TCO as **Ohio State proceeds** for distribution to **creators** pursuant to subsection V.B.1. **OSIF** will distribute a share of the remaining 50% of the **net proceeds** to units that have borne, in all or in part, the **direct expenses** in connection to the commercialization of **university IP** for which **OSIF** received the **gross proceeds** (if any), in proportion to the expenses borne by those units, and will retain the rest to cover its unreimbursed expenses.
    2. When **net proceeds** exceed \$100,000, the first \$100,000 will be distributed in accordance with subsection V.A.1, and any portion of the **net proceeds** beyond the first \$100,000 will be distributed as follows: 15% of these **net proceeds** will be retained by **OSIF** and 85% of these **net proceeds** will be distributed to TCO on behalf of the university as **Ohio State proceeds** pursuant to subsection V.B.2.
  - B. **Ohio State proceeds** received as a distribution from **OSIF** will be distributed as follows:
    1. For **Ohio State proceeds** up to \$50,000, the **creator(s)** will receive 100% of these **Ohio State proceeds**.
    2. When **Ohio State proceeds** received as a distribution from **OSIF** exceed \$50,000, the first \$50,000 will be distributed in accordance with subsection V.B.1. and any portion of the **Ohio State proceeds** beyond the initial \$50,000 will be distributed as follows:
      - a. 40% to the **creator(s)**;
      - b. 20% to TCO on behalf of the university; and



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- c. 40% to the **creator(s)**' colleges, departments, and centers, according to instructions and guidelines established by the provost.
- C. **Ohio State proceeds** received by the university directly will be distributed as follows:
  1. For **Ohio State proceeds** up to \$100,000, the **creator(s)** will receive 50% of these **Ohio State proceeds**. TCO will distribute a share of the remaining 50% of the **Ohio State proceeds** to units that have borne, in all or in part, the **direct expenses** in connection to the commercialization of **university IP** for which the **Ohio State proceeds** were received (if any), in proportion to the expenses borne by those units, and will retain the rest on behalf of the university.
  2. Any portion of these **Ohio State proceeds** beyond the initial \$100,000 will be distributed as follows:
    - a. 34% to the **creator(s)**;
    - b. 33% to TCO on behalf of the university; and
    - c. 33% to the **creators'** colleges, departments, and centers, according to instructions and guidelines established by the provost.
- D. **TAF proceeds** will be distributed as follows:
  1. For **TAF proceeds** up to \$100,000, the **TAF researchers** will receive, in accordance with subsections V.D.3 and V.D.4, 50% of the **TAF proceeds**, and TCO on behalf of the university will receive 50% of the **TAF proceeds**.
  2. Any portion of the **TAF proceeds** beyond the initial \$100,000 will be distributed as follows:
    - a. 34% to the **TAF researchers**, in accordance with subsections V.D.3 and V.D.4;
    - b. 33% to TCO on behalf of the university; and
    - c. 33% to the **TAF researchers'** colleges, departments, and centers, according to instructions and guidelines established by the provost.
  3. The principal investigator(s) of the research project for which **TAF proceeds** are to be received or that were received will propose to the Office of Research a distribution plan for the **TAF researchers'** share of these proceeds. Such a distribution plan should be created at the commencement of the research project and communicated to the **TAF researchers** who are identified by it. The distribution plan may include details such as what portion of the **TAF researchers'** share each **TAF researcher** will be granted, if any; when distributions to the **TAF researchers** will be made; and whether the portions may or may not be adjusted according to actual contribution of the **TAF researchers**. The distribution plan must be approved by the Office of Research, which may develop, in consultation with the IPPC and TCO, guidelines for the review and approval of such distribution plans.
  4. The **TAF researchers'** share will be distributed only after a distribution plan, pursuant to subsection V.D.3, is approved by the Office of Research and according to the approved plan. If no such distribution plan is approved before the completion of the research project, the **TAF researchers'** share will be distributed according to the Office of Research guidelines among **TAF researchers** who provided substantive and substantial intellectual contribution to the research project as determined by the Office of Research, in consultation with TCO, unless all those **TAF researchers** agree in writing to a different distribution.
- E. When **university IP** has more than one **creator**, the **creators** will equally share the **creators'** share under subsections V.B and V.C, as applicable, unless all the **creators** agree in writing to a different distribution of the **creators'** share. Further, a subset of the **creators** can agree in writing among themselves to have a different distribution of their own share.
- F. When multiple **intellectual property** assets are licensed or otherwise commercialized under a single agreement, TCO, after consulting with the **creator(s)**, will reasonably determine and designate the share of **Ohio State proceeds** to each **intellectual property** asset.
- G. When there are no identifiable **creators** of **tangible research property**, the portion of the **Ohio State proceeds** distributable under subsections V.B and V.C to **creators** will be distributed instead to the colleges, departments, and centers that obtained the **tangible research property**, according to guidelines established, in consultation with the IPPC and TCO, by the Office of Research. When multiple colleges, departments, and/or centers are involved in obtaining the **tangible research property**, the **Ohio State proceeds** will be



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divided equally among these units, unless otherwise specified by the guidelines established by the Office of Research.

- H. Notwithstanding the other provisions in this policy, for licensed plant varieties, proceeds will be distributed pursuant to [Special Circular 178-01](#) entitled “OSU-OARDC Plant Germplasm Release Guidelines and Practices.”
- I. **Creators** and **TAF researchers** will be entitled to receive a share of the **Ohio State proceeds** and **TAF proceeds** as provided by this policy even if their status with the university changes, including, for example, after their employment or program of study was terminated or completed. Following a change in the university Intellectual Property policy, **creators** will be entitled to receive, with respect to any distribution made after such a change, the greater of (i) the share of the **net proceeds** as provided by the university policy in effect at the time the **intellectual property** was disclosed or (ii) the share of the **net proceeds** as provided by the university policy in effect at the time the distribution is made. Following a change in the university Intellectual Property policy, **TAF researchers** will be entitled to receive, with respect to any distribution made after such a change, the greater of (i) the share of the **TAF proceeds** as provided by the university policy in effect at the time the research project for which the **TAF Proceeds** were received commenced or (ii) the share of the **TAF proceeds** as provided by the university policy in effect at the time the distribution is made. For the avoidance of doubt, **creators** and **TAF researchers** will not be entitled to receive any additional distribution or any other compensation with respect to distributions that were made prior to such a change in the policy.
- J. Nothing in this policy is intended to limit the transferability of rights of **creators** or **TAF researchers** to their heirs and assigns. Without limiting the foregoing, the distribution of proceeds to **creators** and **TAF researchers** under this section V will be made to **creators** and **TAF researchers**, their heirs and assigns, as applicable.
- K. This policy will not change the ownership or any other right with respect to **intellectual property** that was created before its effective date. However, any **Ohio State proceeds** or **TAF Proceeds** received after the effective date of this policy will be distributed according to this policy, whether the **intellectual property** was developed before or after the effective date.

#### VI. Conflicting agreements

- A. Notwithstanding any other provision in this policy to the contrary, nothing in the policy will be construed to limit the university from entering into specific written agreements with any **faculty**, staff, or student or with any third party (including in connection with **sponsored research**) that will specify different terms regarding the ownership, distribution, and commercialization of **intellectual property**. Such an agreement will supersede the terms of this policy if:
  - 1. The **creator** is a party to such an agreement; or
  - 2. The **creator** explicitly or implicitly consented to the terms of such an agreement prior to the creation of the **intellectual property**. Without limiting the generality of the foregoing, a decision of a **creator** to develop **intellectual property** under circumstances in which the **creator** knows, or should know, that such **intellectual property** is subject to an agreement will be considered consent to that agreement. However, continued employment or affiliation with the university is not, by itself, sufficient to establish consent as required by this section.
- B. Nothing in the policy will be construed to limit the university from entering into agreements with respect to the commercialization of **university IP**. Subject to subsection VI.A, those agreements would not undermine the university’s obligations under this policy, and in particular, the arrangements set forth in section V.

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### PROCEDURE

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#### VII. Intellectual property Evaluation, Protection, and Dissemination

- A. The senior vice president for business and finance and the provost will implement this policy on behalf of the university. All or a portion of the administration of activities with respect to this policy, except with respect to the responsibilities to administer disputes as set forth in section VIII, may be delegated to other university officials. In consultation with the provost, the senior vice president for business and finance, the senior vice president for research, and IPPC, the vice president responsible for TCO operations will establish operational guidelines and procedures, subject to the terms of this policy, for the administration of **university IP**. This will include, but is not limited to, determination of ownership, assignment, protection, licensing, marketing, maintenance of records, and oversight of revenue collection.
- B. In all its decisions pursuant to this policy, TCO will strive to reasonably: (i) advance the well-being of the people of Ohio and the global community by supporting the creation and dissemination of knowledge, and (ii) maximize the commercial value of **university IP**. Without limiting the foregoing, TCO will:
  1. facilitate evaluation of **university IP**, including consideration of the market for such **university IP** and the competitive market landscape;
  2. identify potential commercial partners for **university IP**, which may include using multiple networks of contacts, including those made available from the **creator(s)**, alumni, and other sources;
  3. negotiate agreements, licensing or otherwise, in connection to the commercialization of **university IP**;
  4. take any other actions reasonably necessary to facilitate the commercialization of **university IP**; and
  5. consult, as reasonably needed, with other constituencies, including university units.
- C. The university trusts **faculty**, staff, and students to participate throughout the **intellectual property** creation and preservation process. **Creators** must promptly disclose in writing all **university IP** they created with commercial value and other **university IP** required to be disclosed pursuant to an obligation to a third party (such as obligations in connection with **sponsored research** arrangements), using a disclosure form.
  1. The disclosure must:
    - a. provide a full and complete description of the **university IP**;
    - b. describe the funding sources used in development of such **university IP**; and
    - c. identify all persons participating in the creation and development of the **university IP**.
  2. Upon request from TCO, the **creator(s)** will furnish any additional reasonable information, including the know-how related to the invention or discovery, and will execute documents in connection with the **university IP**, such as assignments and declarations.
  3. **Faculty**, staff, and students may ask the TCO to verify that pursuant to this policy a specific **intellectual property** is not **university IP** or that it is available for a certain specific use.
- D. Upon receipt by TCO of a disclosure form as described in subsection VII.C, the case will be assigned to a TCO representative. The assigned representative will facilitate evaluation of the **intellectual property** with respect to patentability, commercial potential, and obligations to sponsors or other third parties. This process will include:
  1. a discussion with the **creator(s)** led by the TCO representative;
  2. a search of prior art, if necessary. The TCO representative may reasonably request that the **creator(s)** participate in such search; and
  3. determination of whether **intellectual property** protection, and in particular patent protection, should be pursued, taking into consideration, among other things, commercial potential. Although patent protection is sometimes sought for various noncommercial reasons, such as professional status, TCO will not seek protection for **university IP**, including patent protection, that is not deemed to have commercial potential (even if the **university IP** is intellectually meritorious), unless such protection (i) is requested by the sponsor of **sponsored research** and such sponsor pays for such protection or (ii) is authorized by the senior vice president for business and finance or the provost, at their sole discretion. The evaluation of the



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commercial potential will be based upon, among other things, patentability, scope of potential patent coverage, size of market, competition, and potential market share. The provost and/or the senior vice president for business and finance may establish guidelines regarding the role of the university's units in the process of commercializing and/or protecting the **university IP**.

- E. TCO will regularly update the **creator(s)** on the status of the **university IP** disclosed by such **creator(s)**.
  - 1. TCO will provide the first status update within three months of receiving the disclosure form and a second status update within six months of the date of receipt of a disclosure form. Such status updates will include, but not be limited to, any filing decisions regarding **intellectual property** protection or transfer of the **university IP**.
  - 2. TCO will provide a detailed summary of substantive decisions regarding protection, commercialization, and/or transfer of **intellectual property** promptly after those decisions are made.
- F. In some cases **university IP** will be assigned to its **creator(s)**.
  - 1. Under the following circumstances, **creator(s)** will be allowed to require (subject to any required third party approvals, e.g., approval of a federal funding agency) assignment, free of charge, of **university IP** to them, and TCO will promptly effect such assignment:
    - a. The **creator(s)** provide TCO with evidence of a concrete potential commercialization partner for the **university IP**, such as a potential licensee thereof, and TCO does not complete, in good faith, its review and determination of the university's interest in such opportunity within six months.
    - b. The **university IP** may reasonably be protected by a patent, and TCO does not complete, in good faith, its review and determination of the university's interest in such **university IP** within six months of TCO becoming aware of a public disclosure of such **university IP**. Public disclosure under this section includes any disclosure that will make the **university IP** ineligible for patent protection in the United States, unless patent application is filed within one year of such disclosure.
    - c. TCO does not complete, in good faith, its review and determination of the university's interest in such **university IP** within twelve months of receipt of a disclosure form.
  - 2. The assignment of **university IP** under subsection VII.F.1 will be subject to the following:
    - a. The TCO may reasonably delay, and in extreme cases deny, a request pursuant to subsection VII.F.1 if the **creator's** disclosure pursuant to subsection VII.C lacks material details in bad faith or if the **creator** failed to cooperate in good faith with TCO's reasonable requests;
    - b. All **creators** who are assigned the **university IP** pursuant to subsection VII.F.1 will grant the university a perpetual, worldwide, nonexclusive, royalty-free license limited to non-commercial use of such **intellectual property**; and
    - c. The assignment of **university IP** to the **creator** pursuant to subsection VII.F.1 will not affect any other obligations of the **creator**, including the obligation of disclosure and cooperation, set forth in subsection VII.C, with respect to any other **university IP**.
  - 3. TCO is encouraged to cause assignment to **creators** any **university IP** which, in TCO's discretion, is not currently commercialized by the university or on its behalf and is not expected to be commercialized by the university or on its behalf in the foreseeable future, unless such assignment would have an adverse impact on the ability to commercialize other **university IP** or such assignment cannot be legally made for any reason (e.g., a required third party approval was not secured). The university and **OSIF** may place terms on such assignment including requiring, at TCO's discretion, payment in consideration for such assignment.
  - 4. In the case of multiple **creators**, the university or **OSIF** will assign the **intellectual property** to all **creators** according to this subsection VII.F as joint owners, unless all **creators** agree in writing to a different arrangement. Except for assignment to the **creator(s)** according to this subsection VII.F (or an assignment from the university to **OSIF**), the university and **OSIF** will not assign **university IP** for no consideration.
  - 5. TCO will update the **creator's** unit of any assignment of **university IP** to the **creator** pursuant to this section VII.F.
- G. University employees engaged in external consulting work or business, and those charged with approving such activities, are responsible for ensuring that agreements with external entities do not violate or conflict



**Applies to:** Faculty, staff, and students

with this policy or any other university policy, including the Faculty Paid External Consulting policy and the Conflict of Interest and Work Outside the University policy.

### VIII. Policy Interpretation and Dispute Resolution

- A. University constituents (such as **creators**, **creators'** units, employees, and TCO) should make every attempt to resolve disputes informally among themselves and, if needed, with the assistance of the Office of Academic Affairs, the university Ombudsman, and/or the Office of Legal Affairs.
- B. If informal processes and consultation do not provide resolution of a dispute regarding this policy, the following actions may be taken:
  1. Any person or entity directly affected by decisions or actions of any other person or entity in connection with this policy, may appeal such decisions or actions to the IPPC if such person or entity (the claimant) believes such decisions or actions are inconsistent with this policy.
  2. The claimant will submit the complaint in writing to the chair of the IPPC, who will determine whether the claimant has made a reasonable effort to resolve the dispute informally and whether the substance of the dispute appears to be within the scope of the IPPC's review authority under this policy.
  3. Proceedings will be informal, but all parties will have adequate notice and an opportunity to be heard. The IPPC may establish additional procedures for resolving such disputes and may designate a sub-committee of its members for such procedures.
  4. After considering all relevant information and within 30 days of receipt of the complaint, the IPPC will prepare and send to the senior vice president for business and finance and the provost a report of its findings on the issues raised by the complaint and any corrective actions it recommends, within the scope of this policy.
  5. Within 30 days of receipt of the IPPC report, the senior vice president for business and finance and/or the provost will review the IPPC report and make a final decision on behalf of the university and provide this decision to all the parties involved and IPPC.
  6. IPPC will publish its reports (after removing certain information, as needed, to address reasonable privacy or secrecy concerns) and the decisions of the senior vice president for business and finance and/or the provost. The publication will be reasonably accessible to the university community. Those reports and decisions will guide future actions and decisions by the TCO and IPPC.

### IX. Policy Review and Revisions

- A. IPPC shall maintain this policy and shall review it and its effect, from time to time, as needed. IPPC shall review all proposed changes to this policy, and shall have the power to initiate its own proposed changes to this policy. The chair of IPPC shall be a member of the policy writing group for any revisions to this policy. Revisions to this policy shall be promulgated through the university policy process and then recommended to faculty council and the university senate. All revisions to this policy must be approved by the faculty council and the university senate, in addition to the other approvals required by the university policy process.

### Responsibilities

Position or Office	Responsibilities
Creator(s)	<ol style="list-style-type: none"> <li>1. Disclose in writing to TCO all <b>university IP</b> with commercial value and other <b>university IP</b> required to be disclosed pursuant to an obligation to a third party (such as <b>sponsored research</b> arrangements) as set forth in the policy</li> <li>2. Assist TCO in the commercialization process as set forth in the policy</li> <li>3. Assign <b>university IP</b> to the university</li> <li>4. Grant the university licenses as set forth in the policy</li> </ol>
Employees engaged in external consulting and those charged with approving such activities	Ensure that agreements with external entities do not conflict with this policy, or other university policies, including the Faculty Paid External Consulting policy and Conflict of Interest and Work Outside the University policy
IPPC	<ol style="list-style-type: none"> <li>1. Administer the dispute resolution process as set forth in the policy</li> <li>2. Approve and/or consult the vice president responsible for TCO operations, TCO, and the Office of Research in connection with certain guidelines and procedures as set forth in the policy</li> </ol>

**Applies to:** Faculty, staff, and students

Position or Office	Responsibilities
	3. Review the policy and its effects from time to time and proposed and review changes thereto as set forth in the policy
IPPC Chair	1. Administer the dispute resolution process as set forth in the policy 2. Participate in the policy writing group activities for any revisions to the policy
Office of Research	1. Review <b>TAF proceeds</b> distribution plans submitted by principal investigators as set forth in this policy 2. Establish guidelines, in consultation with IPPC and TCO, for the distribution of <b>Ohio State proceeds</b> when there are no identifiable <b>creators of tangible research property</b>
OSIF	Distribute proceeds received for <b>university IP</b> as set forth in the policy
Principal Investigators	Propose to Office of Research a distribution plan for <b>TAF proceeds</b> as set forth in the policy
Provost	1. Establish instructions and guidelines with respect to the distribution of certain <b>Ohio State proceeds</b> 2. Together with SVP for B&F, implement the policy as set forth therein 3. Together with SVP for B&F, review IPPC reports regarding disputes pertaining to the policy and make a final decision on behalf of the university as set forth in the policy
Senior vice president for business and finance (SVP for B&F)	1. Together with the provost, implement the policy as set forth herein 2. Together with the provost, review IPPC reports regarding disputes pertaining to the policy and make a final decision on behalf of the university as set forth in the policy
TCO	1. Consider requests from unit heads or deans to assign copyrights to staff- <b>creators</b> and report to IPPC the type of such requests approved and denied 2. Distribute proceeds received for <b>university IP</b> as set forth in the policy 3. Facilitate the commercialization of <b>university IP</b> as set forth in the policy 4. Facilitate the evaluation of the patentability, commercial potential, and obligations to sponsors or third parties of all <b>intellectual property</b> disclosed to TCO as set forth in the policy 5. Update <b>creators</b> on the status of disclosed <b>university IP</b> as set forth in the policy 6. Cause <b>university IP</b> to be assigned to its <b>creators</b> under certain limited circumstances as set forth in the policy and update the <b>creators'</b> units of any such assignments 7. At the request of <b>faculty</b> , staff, or students, verify that a specific <b>intellectual property</b> is not <b>university IP</b> or that it is available for a certain specific use pursuant to the policy
Unit heads and deans	May submit applications to TCO requesting that the university assign certain copyrights to staff- <b>creator(s)</b>
Vice president responsible for TCO	In consultation with the provost, SVP for B&F, SVP for research, and IPPC, establish operational guidelines and procedures for the administration of <b>university IP</b> subject to the terms of the policy
University	1. Assigns certain <b>intellectual property</b> to their <b>creators</b> as set forth in the policy 2. Grants licenses to use <b>software</b> not eligible for patent protection to its <b>creator(s)</b> and others for certain purposes as set forth in the policy 3. Distribute proceeds received for <b>university IP</b> as set forth in the policy

### Resources

#### Forms

Disclosure forms, [tco.osu.edu](http://tco.osu.edu)

#### University policies and rules

Faculty Rules 3335-5-19, [trustees.osu.edu/index.php?q=rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html](http://trustees.osu.edu/index.php?q=rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html)

Research Misconduct policy, [orc.osu.edu/files/Misconduct\\_Policy.pdf](http://orc.osu.edu/files/Misconduct_Policy.pdf)

Faculty Paid External Consulting policy, [oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf](http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf)

Conflict of Interest and Work Outside the University policy, [hr.osu.edu/public/documents/policy/policy130.pdf](http://hr.osu.edu/public/documents/policy/policy130.pdf)

#### Additional Guidance

Ohio Revised Code §3345.14, [codes.ohio.gov/orc/3345.14](http://codes.ohio.gov/orc/3345.14)

Frequently Asked Questions (FAQs) [\[to be developed\]](#)

Academic misconduct information for students, [oaa.osu.edu/academic-integrity-and-misconduct/student-misconduct](http://oaa.osu.edu/academic-integrity-and-misconduct/student-misconduct)

Academic misconduct information for faculty, [oaa.osu.edu/academic-integrity-and-misconduct/faculty-obligations](http://oaa.osu.edu/academic-integrity-and-misconduct/faculty-obligations)



**Applies to:** Faculty, staff, and students

OSU-OARDC Plant Germplasm Release Guidelines and Practices Special Circular 178-01, Royalty Distribution  
Associated with Licensed Plant Varieties,  
[kb.osu.edu/dspace/bitstream/handle/1811/71922/OARDC\\_special\\_circular\\_n178.pdf?sequence=1](http://kb.osu.edu/dspace/bitstream/handle/1811/71922/OARDC_special_circular_n178.pdf?sequence=1)

### Contacts

Subject	Office	Telephone	E-mail/URL
[To be added prior to policy finalization]	The committee on Intellectual Property, Patents, and Copyrights (IPPC)	614-292-2423	<a href="mailto:lppc@osu.edu">lppc@osu.edu</a> <a href="http://senate.osu.edu">senate.osu.edu</a>
[To be added prior to policy finalization]	Technology Commercialization Office	614-292-1315	<a href="mailto:innovation@osu.edu">innovation@osu.edu</a> <a href="http://tco.osu.edu">tco.osu.edu</a>

### History

Issued: 05/13/1985      Approved by BOT, 05/03/1985, Resolution #85-117, Issued as Patents and Copyrights  
Revised: 05/04/1989      Approved by BOT, 05/04/1989, Resolution #89-97  
Target Revision Date: 04/15/2018      Approved by BOT, xx/xx/xxxx. Resolution #xx-xx, Renamed Intellectual Property