

Office of Technology Management

The role of the Office of Technology Management (OTM) is to *identify, protect, commercialize* and *manage* UH's innovation portfolio, and to help create a culture of innovation at UH. Historically, innovation management has focused on advancing tangible products such as pharmaceutical drugs, medical devices, diagnostics and software. However, OTM's approach to innovation management is more holistic and is built around UH's focus on the patient experience and advancing UH's mission: To Heal. To Teach. To Discover.

UH Policy GM-21 – Intellectual Property

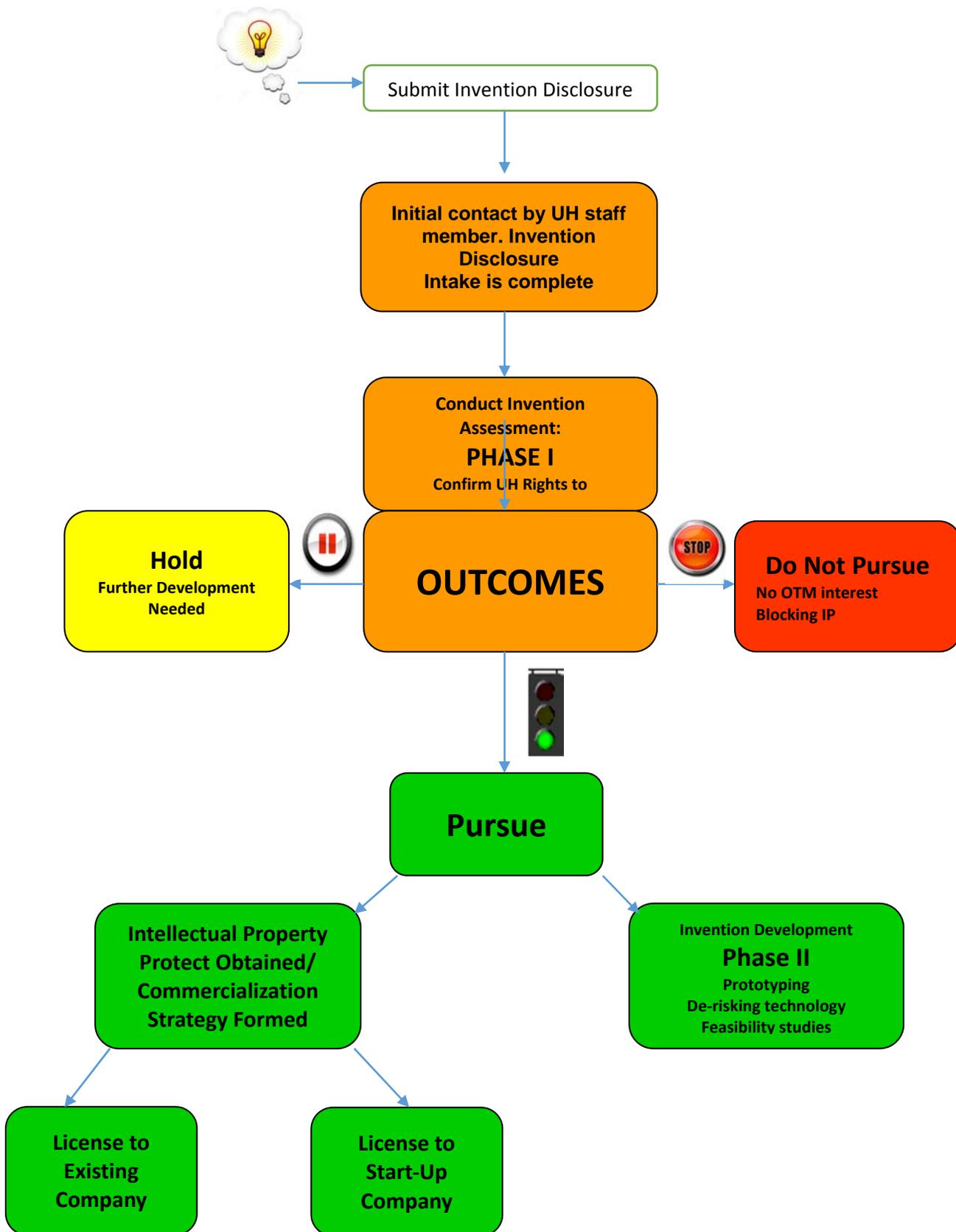
The GM-21 policy provides for the management of Intellectual Property and Confidential information to promote commercial development and to comply with any applicable laws, regulations and contractual obligations. The policy also outlays royalty distribution should there be any revenue from commercialization of an invention. We encourage everyone to read the policy which can be found at (https://intranet.uhhospitals.org/uhadministration/policies/universityhospitals/sytem/docs/imported_documents/gm-21.pdf)

Briefly summarized:

1. UH exclusively owns all intellectual property conceived in whole or in part by any UH employee during the course, and within the scope, of their employment at UH or otherwise developed using UH funds. Inventions include copyrights, trademarks, trade secrets (or know-how) and patents.
2. All intellectual property conceived needs to be reported to the OTM, after which a determination is made whether to proceed
 - a. If UH decides to proceed, the hospital will invest in protecting and commercializing the IP
 - b. If UH decides not to proceed, the IP is conditionally released to the creator(s).
3. Should the IP ultimately generate revenue for UH, net proceeds are distributed as follows:
 - a. For cumulative net income (after expenses incurred by UH in the protection and commercialization of the intellectual property) of up to \$100,000, proceeds are shared equally between inventors and UH.
 - b. For cumulative net income greater than \$100,000 an administrative charge of 15% will be charged on all earnings. The remaining 85% is divided equally between the inventors and UH.

Below is a representation of the workflow and evaluation process, along with expected timelines:

University Hospitals Commercialization Process



Invention review process – Expectations of Licensing team:

1. Acknowledge receipt of invention disclosure inventor within **2 business days** of submission – ensure that there is sufficient detail to proceed.
Provide name and contact information of the licensing professional that will handle the technology.
2. Within **14 days** of receipt, the licensing professional will reach out to arrange for an initial meeting to:
 - i. gather additional information regarding the disclosure;
 - ii. complete any missing information in the disclosure
 - iii. ensure that the licensing professional has a good understanding of the problem, the proposed solution, and any underlying technology.
3. **Phase I-Assessment:**
 - i. Within **90 days** of receipt, the OTM team will, in consultation with the inventor, determine the appropriate course of action. This could include pursuing the idea further awaiting further development or data generation, or conditionally releasing the technology back to the inventor.
 - ii. This Phase I level of assessment usually contains information such as:
 - **Market Opportunity**
 1. Identification of the problem the product solves for the customer
 2. The size and segmentation of the overall, general market
 3. General market trends
 4. Likely regulatory approval pathway
 5. Listing of primary competing companies
 6. Relative market share(?) of competing companies
 7. Identification of the technology's main advantage over existing technology
 8. Sustainability of the technology's advantage
 9. Determine stage of development of technology
 - **Patentability**
 1. Keyword searches
 2. Obvious Prior art
 3. Publications
 - iii. During this phase, OTM may ask the inventor(s) to share any industry contacts that they may have.

4. Phase II- Advancement

- i. Once a determination is made to proceed with a disclosure, and depending on stage of development of the technology, OTM will work with the inventor and outside parties to **de-risk** the technology. This can be done by developing **working prototypes**, performing **additional studies, conducting formal patent searches** etc.
- ii. In addition to de-risking the technology, OTM will continue to refine its Phase I assessment studies by taking a deeper dive into the technology, markets and applications.
- iii. OTM anticipates taking **a minimum of 6 months** from the date of receipt to complete this phase.
- iv. Some of the additional questions that OTM will look to answer, include:
 - Market information
 1. Regulatory timetable and likely requirements
 2. Other technologies that solve the customer problem, and their relative cost
 3. Comparison of the new and existing technologies' strengths and weaknesses
 4. External forces driving the field
 - Patent Analysis
 1. Engage outside patent consul with expertise in given area to conduct a thorough search of patents/publications and any other material that can be considered as prior art.
- v. During this time OTM, in consultation with the inventors and outside patent counsel, will determine best possible intellectual property protection strategy. This may include:
 - Patent filing
 - Copyright filing
 - Trademark filing
 - Or any combinations of the above
- vi. Also, during this time the OTM, in consultation with the inventors, will determine the best commercialization pathway. This may include
 - **License technology to established companies**
 - **Start a company to commercialize technology**