



UNIVERSITY OF ENERGY AND NATURAL RESOURCES

Manual for the Technology Transfer and Commercialization Office (TTCO)

DRAFT

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Article I. I. Purpose and Scope

Section 1.01 Definition of TTO

The Technology Transfer Office (TTO) is a specialized unit within a research institution or university that facilitates the transfer of knowledge, innovations, and technologies from the academic or research environment to the marketplace. The TTO acts as a bridge between researchers and external stakeholders, ensuring that intellectual property (IP) is effectively managed, protected, and commercialized. Its primary role is to maximize the societal and economic impact of research outputs by fostering collaboration with industry, supporting entrepreneurship, and ensuring compliance with IP laws and regulations.

Section 1.02 Mission Statement

The mission of the TTO is to:

- Foster innovation by translating research discoveries into practical applications.
- Protect and manage intellectual property to ensure its value is realized.
- Promote the commercialization of technologies through licensing, partnerships, and start-up formation.
- Drive economic growth and societal benefits by connecting research with industry and investors.

Section 1.03 Scope of Activities

The TTO handles a wide range of technologies and activities, including but not limited to:

- Patents: Managing the patenting process for inventions with commercial potential.
- Software: Protecting and licensing software developed by researchers.
- Inventions: Evaluating, protecting, and commercializing novel inventions.

- Copyrights: Managing copyrights for creative works, such as publications, designs, and multimedia.
- Trademarks: Protecting and managing trademarks associated with research outputs.
- Trade Secrets: Safeguarding proprietary information and know-how.
- Start-up Support: Assisting researchers in forming spin-off companies to commercialize their technologies.
- Industry Collaboration: Facilitating partnerships between researchers and industry for co-development and innovation.

Article II. Key Processes

Section 2.01 Disclosure

(a) Submission of Invention Disclosure Form (IDF):

- Researchers must complete and submit an IDF to the TTO, providing detailed information about the invention, including its technical description, potential applications, and any prior public disclosures.

(b) Initial Assessment:

- The TTO conducts a preliminary review to assess the novelty, feasibility, and commercial potential of the invention.

(c) Confidentiality Agreements:

- Before sharing the invention with external evaluators or industry partners, the TTO ensures that all parties sign non-disclosure agreements (NDAs) to protect the inventor's rights.

Section 2.02 Intellectual Property (IP) Management

1. Patent Strategy:

- The TTO evaluates the patentability of inventions by conducting prior art searches and assessing market potential.
- Decisions to file patents are based on factors such as the invention's uniqueness, commercial viability, and alignment with institutional goals.
- The TTO manages the patent application process, including drafting, filing, and prosecuting patents with the help of external patent attorneys.

(a) Copyright and Other IP:

- For software, creative works, and other non-patentable IP, the TTO ensures proper copyright registration and licensing.
- The TTO also manages trademarks and trade secrets, ensuring they are protected and leveraged effectively.

Section 2.03 Technology Assessment

1. Commercial Potential Evaluation:

- The TTO assesses the market demand, feasibility, and scalability of technologies.
- Industry experts and market analysts may be consulted to provide insights into potential applications and value chains.

(a) Prioritization:

- Technologies are prioritized based on their commercial potential, alignment with institutional goals, and available resources.

Section 2.04 Licensing and Commercialization

1. Licensing Agreements:

- The TTO uses standardized licensing templates to negotiate terms with industry partners, including royalties, milestones, and performance obligations.
- Licensing agreements are tailored to the specific needs of the technology and the licensee.

(a) Start-up Formation:

- The TTO provides comprehensive support for researchers interested in launching spin-off companies, including:
 - Business model development.
 - Access to funding and venture capital.
 - Incubation services and mentorship.

(b) Outreach and Engagement:

- The TTO organizes events such as industry networking sessions, innovation expos, and pitch competitions to promote technologies and attract potential partners and investors.
- Regular communication with industry stakeholders ensures ongoing engagement and collaboration.

Article III. Key Policies and Procedures

Section 3.01 Conflict of Interest

1. Disclosure Requirements:

- Researchers and TTO staff must disclose any potential conflicts of interest, such as financial stakes in companies or personal relationships with industry partners.

(a) Review Mechanisms:

- A conflict-of-interest committee reviews disclosures and implements measures to mitigate risks, ensuring transparency and ethical conduct.

Section 3.02 Confidentiality

1. Non-Disclosure Agreements (NDAs):

- NDAs are required for all discussions involving proprietary technologies with external parties.

(a) Secure Communication:

- Sensitive information is shared only through secure channels, and all parties are reminded of their confidentiality obligations.

Section 3.03 Data Security

(a) Secure Storage Systems:

- Digital and physical storage systems are implemented to protect IP documentation and sensitive data.

(b) Access Control:

- Access to sensitive information is restricted to authorized personnel only, with regular audits to ensure compliance.

Section 3.04 Record Keeping

1. Comprehensive Documentation:

- The TTO maintains detailed records of all technology transfer activities, including invention disclosures, patent applications, licensing agreements, and commercialization efforts.

(a) Regular Audits:

- Periodic audits are conducted to ensure compliance with institutional policies and regulatory requirements.

Section 3.05 Financial Management

1. Revenue Sharing:

- Licensing income is distributed according to institutional policies, typically shared among inventors, the university, and the TTO.

(a) Budget Allocation:

- Funds are allocated for IP protection, legal services, and commercialization support, ensuring sustainable operations.

Article IV. Roles and Responsibilities

Section 4.01 TTO Staff

(a) Technology Transfer and Commercialisation Officer:

- Identify and evaluate technologies with commercial potential.
- Negotiate licensing agreements and manage relationships with industry partners.

(b) Patent Attorneys/IP Specialists/ Para Legal Officer:

- Handle patent filings, legal compliance, and IP strategy.
- Provide guidance on IP protection and management.

(c) Business Development Officers:

- Engage with industry and investors to promote technologies.
- Support start-up formation and commercialization efforts.

Section 4.02 Researchers

(a) Invention Disclosure:

- Submit timely and accurate invention disclosures to the TTO.

(b) Collaboration:

- Work closely with the TTO throughout the IP protection and commercialization process.

(c) Compliance:

- Adhere to conflict-of-interest and confidentiality policies.

Section 4.03 External Stakeholders

1. Industry Partners:

- Engage in licensing agreements, co-development projects, and commercialization efforts.

(a) Investors:

- Provide funding and mentorship for start-ups and spin-offs.

(b) Regulatory Bodies:

- Ensure compliance with national and international IP laws and regulations.