

UC Patent Acknowledgment Exception Request

This form will assist employees in determining if they qualify for a UC Patent Acknowledgement *exception*. The current UC Patent Policy applies to all employees and others not employed by the University that use University research facilities, and for those who receive gift, grant, or contract funds through the University.

G-40 is an *exemption* category for individuals that are exempt from signing the UC Patent Acknowledgment subject to the condition that the individual **does not use University research facilities or contract, grant, or gift funds obtained through the University**. These exemptions must be captured in writing, approved by the employee department head and UCR Office of Technology Partnerships (OTP), and a copy of the exemption included into the employee personnel file. UCR OTP has an exemption template to document any of the qualified categories listed below:

- 4.a. military personnel on assignment at the University but who are not compensated by the University;
- 4.b. teachers and lecturers of University Extension, and teachers and lecturers of regular University curricula (including visiting scholars) on special short-term assignments of one year's duration or less;
- 4.c. lecturers making one-time appearances or series appearances; and
- 4.d. clinical appointees who are not compensated by the University.

For all other employees, a case-by-case policy *exception* review needs to be submitted to UCR OTP with background and justification on why an exception is being requested for review and if it is determined that a policy exception should be sought, the exception request information will be referred to UCOP Research Policy Analysis and Coordination (RPAC) for their review for approval. The result of the exception review will be placed into the employee personnel file.

Complete the questionnaire below and submit this information to HRPolicy@ucr.edu and to otc@ucr.edu (Director of Technology Commercialization) in UCR OTP.

Date:	Employee:		Employee ID:
Dept:	Submitted By:	Department Head:	
1. Does the employee use University research facilities? Yes No	If Yes, the employee must sign the UC Patent Acknowledgement	If No, proceed to question 2	
2. Does the employee receive contract, grant or gift funds obtained through the University*?	If Yes, the employee must sign the UC Patent Acknowledgement	If No, describe the relationship to the University in the space below.	
Background and Justification for the exception request:(At a minimum, to include the nature of the appointment, nature of the work/research, justification on why the UC policy and requirement to sign the UC Patent Acknowledgement should not apply, and any other pertinent information to consider during the review)			
Is this exception requested for a specific duration of time?			

Employee Signature:
Department Head Signature:
OTP review and signature:

*For assistance in determining if any compensation is considered contract, grant or gift funds, discuss with your Organizations CFAO.

References:

- UC Patent Policy: <https://policy.ucop.edu/doc/2500493/PatentPolicy>
- UC Patent Acknowledgment: <https://ucnet.universityofcalifornia.edu/forms/pdf/upay-585.pdf>
- UC Business and Finance Bulletin – University of California Patent Program (G-40), <https://policy.ucop.edu/doc/3420363/BFB-G-40>
- [Signing PDFs in Adobe Acrobat](#)