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SENT VIA EMAIL ONLY ([successact@uspto.gov](mailto:successact@uspto.gov))

Office of the Chief Economist  
Mail Stop OPIA  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

RE: SUCCESS Act Study, Docket ID: PTO-C-2019-0010

Submitted here, please find the joint Statement of the Association of American Medical Colleges, Association of American Universities, Association of Public and Land-grant Universities, AUTM and Council on Governmental Relations for the record as part of the USPTO's gathering of public information pursuant to the SUCCESS (Study of Underrepresented Classes Chasing Engineering and Science Success) Act of 2018 (P.L. 115-273).

Our organizations are dedicated to achieving rigor and excellence in all federally sponsored research; to increasing the equality and inclusion of inventors from all genders, minority groups, veterans, and the full diversity of the US population at-large within the ranks of students, post-doctoral scientists, faculty, staff and leadership of our member institutions; and to securing the most assured and direct means for transferring the products and promise of academic research into economic growth, commercial development, and societal impact. The SUCCESS Act defines the intersection of these three major objectives, as we seek to advance the numbers of women, minority and veteran scientists within the ranks of recognized inventors.

Several of our institutions have already initiated programs to promote and track disclosure of inventions and other entrepreneurial activities from diverse groups of students, post-doctoral scientists, staff, and faculty, and having data from the USPTO to track the success of these measures would be invaluable. We add the observation that the technology transfer and licensing operations of academic institutions, and most faculty development activities, represent investments by the institutions themselves, from their own internal resources. A positive action, like tracking the gender of invention disclosers, is an example of something that could be implemented by most technology transfer offices without much additional resources.

Federal agencies could also help through collection and sharing of consistent data on participation and success in commercialization activities (such as tracking inventors' self-reported data on ethnicity, race, and gender on patent applications), which would allow institutions to better benchmark their performance. The federal government could, we believe, most effectively promote diversity in development of intellectual property and commercial activities through creating positive incentives, such as awards or recognitions, as some of our associations have done. The federal government has multiple entities with specialty expertise, such as the USPTO or regulatory agencies, that could partner with universities to educate underrepresented researchers on the key concepts that are critical to patenting and commercializing technology. Moreover, the USPTO could build upon its current K-12 educational programming to expand offerings to graduate students, post-doctoral scientists, junior faculty members, and other research scientists at universities. These are the key elements that we

would hope to see incorporated in a final report of the SUCCESS Act study, and we look forward to additional suggestions that emerge from the study.

In closing, we note that our organizations are jointly supportive of the SUCCESS Act and we are therefore especially grateful for the diligent response of the USPTO and SBA in undertaking this study.

About Us:

**The Association of American Medical Colleges (AAMC)** is dedicated to transforming health care through innovative medical education, cutting-edge patient care, and groundbreaking medical research. Its members comprise all 154 accredited U.S. and 17 accredited Canadian medical schools; nearly 400 major teaching hospitals and health systems; and more than 80 academic societies.

**The Association of American Universities (AAU)** is an association of 60 U.S. and two Canadian preeminent research universities organized to develop and implement effective national and institutional policies supporting research and scholarship, graduate and undergraduate education, and public service in research universities.

**The Association of Public and Land-grant Universities (APLU)** is a research, policy, and advocacy organization with a membership of 237 public research universities, land-grant institutions, state university systems, and affiliated organizations in the U.S., Canada, and Mexico, that is dedicated to strengthening and advancing the work of public universities.

**AUTM** is the non-profit leader in efforts to educate, promote and inspire professionals to support the development of academic research that changes the world and drives innovation forward. The AUTM community is comprised of more than 3,000 members who work in more than 800 universities, research centers, hospitals, businesses and government organizations around the globe.

**The Council on Governmental Relations (COGR)** is an association of over 190 research universities and affiliated academic medical centers and research institutes. COGR concerns itself with the impact of federal regulations, policies, and practices on the performance of research conducted at its member institutions.