

Policy 1107
Intellectual Property

Date of Current Revision: December 2002

Primary Responsible Officer: Intellectual Property Officer

1. PURPOSE

This policy is designed to:

1. Establish ownership criteria for intellectual property developed by members of the JMU community, and protect the equities of the creator as well as the University,
2. Define the responsibilities, rights and privileges of those involved, and
3. Establish basic guidelines for the administration of this policy.

2. AUTHORITY

JMU as a public institution of higher education in Virginia is required to adopt patent and copyright policies consistent with the policy guidelines promulgated by the State Council of Higher Education. See Code of Virginia, Section 23- 4.3, 23-4.4, and 23-9.10:4.

3. DEFINITIONS

Throughout this policy, where it is appropriate, the singular form of a noun also includes the plural: "creator" also means "creators" if there are more than one, etc.

Assigned duty:

(Required by legislation for determining when transfers of intellectual property must be approved by the Governor) - "Assigned duty" is narrower than "scope of employment," and is an undertaking of a task or project as a result of a specific request or direction. A general obligation to do research, even if it results in a specific end product such as a vaccine, a published article, or a computer program, or to produce scholarly publications, is not a specific request or direction and hence is not an assigned duty. In contrast, an obligation to develop a particular vaccine or write a particular article or produce a particular computer program is a specific request or direction and is therefore an assigned duty. At the same time, if the University has contributed time or resources to the discovery or creation of a product, it would claim an equity interest in such discoveries or creations.

Claims an Interest:

The University "claims an interest" in intellectual property when it asserts a right in the property under its intellectual property policy. The University may choose not to "claim an interest" in some forms of intellectual property that it does not want to own, even though it might legally be able to assert ownership.

Creator:

Either an inventor in the context of patentable inventions, or an author in the context of copyrightable works of authorship.

Employee:

Full-and part-time faculty; classified employees, administrative staff; and students who are paid for specific work by the University. Students may be employees for some purposes and not for others. If they are paid as student assistants, for example, or given grants to do specific research, they will be employees. Students receiving general scholarship or stipend funds would not normally be

considered employees.

Finance Officer:

The member of the administration appointed by the President to administer all royalty and licensing arrangements associated with the university's intellectual property.

Fund to Support Research and Innovation:

A fund established by this policy from net revenues resulting from commercialization of intellectual property, designed to support faculty, staff and students in research and development. The fund shall be administered by the Office of the President, and maintained by the Finance Officer.

Intellectual Property:

Anything developed by anyone covered by the University's intellectual property policy that fits one or more of the following categories:

- A potentially patentable machine, article of manufacture, composition of matter, process, or improvement in any of these; or
- An issued patent; or
- A legal right that inheres in a patent; or
- Anything that is copyrightable (in legal terms, this means anything that is an original work of authorship, fixed in a tangible medium of expression)

Intellectual Property Committee:

The committee appointed by the President to advise him on all intellectual property matters at the university. Intellectual Property Committee members are appointed by the President annually.

Intellectual Property Office:

The office in the Academic Affairs Division charged with administration of this policy.

Intellectual Property Officer:

The member of the administration appointed by the President to serve as the contact between the President and the Intellectual Property Committee as an ex officio member of the committee.

Reporting Period:

The period from July 1 of one year through June 30 of the following year.

Royalties Received:

Any value received during the reporting period, including cash payments as well as the market value of any property or services received, in consideration for a transfer of any intellectual property in which the University claims an interest.

Significant Use of General Funds:

(Required by legislation for determining when transfers of intellectual property must be approved by the Governor). This phrase, and the phrase "developed wholly or significantly through the use of general funds," means that general funds provided \$10,000 or more of the identifiable resources used to develop a particular intellectual property. A reasonable cost should be assigned to those resources for which a cost figure is not readily available, such as salary, support staff, and other equipment and resources dedicated to the creator's efforts. Resources such as libraries that are available to employees generally should not be counted in the assessment of the use of general funds.

State Council of Higher Education for Virginia ("SCHEV"):

The Commonwealth of Virginia's coordinating body for higher education.

Student Course Work:

Copyrightable or patentable creations made during the course of activities leading to academic credit.

Substantial use of university resources:

What constitutes "substantial use" of university resources must be answered on the basis of the facts and circumstances of each situation. The university will not ordinarily construe the provision of office or laboratory space, access to the library, use of the university's information technology infrastructure, or the payment of employees' salary as substantial use of university resources. Any colleges, departments or offices that support the employee's activities must be consulted in any determination of substantial use. As a general guideline, the use of university resources, (other than the library, the employee's office or laboratory, and salary) will be considered substantial if the value of those other resources used exceeds \$10,000 in any twelve consecutive month period. Examples of resources subject to the \$10,000 limitation include computer charges, graduate assistant or technical salaries and wages, laboratory equipment and materials, and secretarial salary.

NOTE: If the combination of university resources and general funds exceeds \$10,000 in any twelve consecutive month period, the university will consider the use of university resources to be substantial.

University Research Program:

Any university sponsored or supported program of research.

Works Made for Hire:

For the purpose of this policy, it shall be deemed that an invention has been "Made for Hire" if the employee is employed, directed or assigned to:

1. Invent, improve, develop or perfect any art, machine, design, manufacture, or composition of matter,
2. Conduct or perform research, development work, or both,
3. Supervise, direct, coordinate, or review University financed or conducted research or development work, or both, or
4. Act in a liaison capacity with agencies or individuals engaged in such research or development.

This assignment, however, does not preclude the sharing of royalties or other payments with the employee in accordance with this policy.

4. APPLICABILITY

This policy applies to all employees, students, visiting faculty and researchers, and employees and visitors covered by sponsored program agreements or other contractual arrangements.

Individuals outside the university who hold intellectual properties that they wish to exploit, may request inclusion under this policy. If it is in the university's interest to accept such a request, the university and the individual shall execute a legally binding contract, clearly stating the terms and conditions of the arrangement. The sharing of royalties will be explicitly stated. Requests should be made to the Intellectual Property Officer. The IPO, in consultation with the Intellectual Property Committee, shall consider its acceptance under this policy. An evaluation of and recommendation on a request for inclusion shall be made within ninety (90) days of the receipt of the formal request. If the request is honored, the Intellectual Property Officer will develop special royalty arrangements with the external property holder to mutual satisfaction.

5. POLICY

5.1 Patentable Discoveries and Inventions

University Ownership: Patentable materials developed by University employees shall usually be the property of the university. A discovery or invention developed by an employee that is a work made for hire, or that is developed or created using substantial university resources, or that is related to any university research program involving the employee within the past twelve (12) months, is the property of the university. Under this policy, the rights to all patentable discoveries and inventions are retained by the University unless that right is preempted by an external project sponsor. Different sponsors have different policies with respect to inventions resulting from work done under sponsored projects. In general, the University is unwilling to give up its patent rights unless the full cost of the research is supported by the sponsor. Should royalty income be generated from the application of technology, the university will share in that income according to the formula found in section 6.3.

Sponsored Research and Outside Ownership: Depending on the terms of the grant or contract, Sponsors of research projects may be entitled to ownership of a discovery or invention made by an employee of the University without payment of any royalty. This ownership may occur when the sponsor provides funds for the entire project and in research involving the testing of a product or products developed by the sponsor. Agreements on patent matters may be negotiated where it is necessary to do so as a prerequisite to University participation in the project or receipt of a grant or contract. The Principal Investigator on a project should be familiar with the patent policies of both the university and the sponsor. The Office of Sponsored Programs should be consulted prior to submitting a proposal that may result in patentable discovery or technology. The Intellectual Property Officer is authorized to ratify such agreements on patent matters where it is necessary to do so as a prerequisite to university participation in the project or receipt of a grant or contract.

Employee Ownership - A discovery or invention developed by an employee shall be the exclusive property of the inventor(s), only if: (a) the discovery or invention is not a work made for hire; (b) the University has not contributed substantial resources, and (c) the discovery or invention is not along lines related to any University research program then in progress or completed within the past twelve (12) months with which the inventor may have a connection.

Student Ownership - Ownership of patentable discoveries or inventions developed by students who are also employees of the university will be determined by the rules that apply to all university employees. In general, patentable works developed in connection with course work assignments belong to the student. However, in all cases of work made for hire or significant use of university resources in the development of the patentable discoveries or inventions, the university may exercise its right to ownership or position of equity.

5.2 Copyrightable Works

University Ownership - The 1976 Copyright Act (P.L. 94-553) provides that, when a copyrightable work is produced by one person who has been employed by another for that purpose, it is the employer and not the actual producer that is the copyright proprietor. At JMU, traditionally faculty members have been granted the copyrights in their works by the institution.

Sponsored Research and Outside Ownership - Funds and facilities provided by governmental, commercial, industrial, or other private organizations, which however are administered and controlled by the University, shall be considered to be funds and facilities provided by or through the University for the purpose of this policy statement. Agreement between the University and the sponsor pertaining to share of royalties and title to copyrightable materials shall be addressed in the contract between the University and the sponsor. University employees who contract with third parties for the development of copyrightable materials can relinquish no greater interest in the materials than they legally possess. Therefore, if substantial University resources are employed in

the development of material subject to copyright, the University retains interests in the materials, regardless of the terms of a contract between the third party and the University employee, unless the University specifically waives its rights.

Employee Ownership - Copyrightable materials developed by University employees shall usually be the property of the employee. The University will exercise ownership under the work-made-for-hire rationale only when the employee was assigned to create the specific product whose ownership is in question. A faculty member's general obligation to produce scholarly works (for example, textbooks and related instructional materials) does not constitute an assigned duty for purposes of determining copyright ownership. If a copyrighted work, produced as an assigned duty of an employee, is marketed, the employee ordinarily will not share in any royalties from sales of the work. Online course components created for distance or distributed learning activities, including lecture recordings, are an exception to this provision under the section below.

Student Ownership - Ownership of copyrightable material developed by students who are also employees of the university will be determined by the rules that apply to all university employees. In general, copyrightable works developed in connection with course work assignments belong to the student. However, in all cases of work made for hire or significant use of university resources in the development of the copyrightable material, the university may exercise its right to ownership or position of equity.

Specific Applications:

1. **Audio and Video Recordings** - When a faculty member has been assigned to teach a specific class, and that class is transmitted electronically to another site, on or off campus, and in the performance of those duties a recording is made simultaneously with such transmission, the resulting fixed work shall be considered University property. The retention and/or marketing of recordings for subsequent instructional use, on or off campus, will be undertaken only with the consent of the faculty member.
2. **Performance Recordings** - This special case of audio and video recordings covers the live performing arts as well as those arts and events that otherwise use performance (such as film and video), excluding documentation of lectures (as above in (a)). For performance recordings the following policy measure apply without administrative review:
 - The university reserves the right to use the recordings made by the university of performances by its employees and students for archival, educational, and commercial purposes, as described below. Copyright in the recording itself, but not in the performance, is assigned to JMU. Recordings of musical and dramatic performances of university employees and students made in any format can be duplicated for preservation in the same or any other appropriate analog or digital format to maintain an archival record at the university.
 - The university can use such recordings, in whole or in part, for educational purposes, including activities in criticism, comment, news reporting, teaching, scholarship, research, library services and institutional promotion in any appropriate format.
 - When the university uses such recordings, in whole or in part, for commercial or profit-making purposes, it will normally obtain the permission of the performers for such endeavors before the recording is made. If no permission is obtained in advance, the university will make reasonable good faith efforts to obtain such permission from the performers when the decision to offer the recording for sale is made. If the university is unable to secure permission from the performers for such an endeavor, the university will make available to each performer a pro rata portion of any net profits realized from the commercialization of the recording. The university will determine the amount of the share of profits for each performer.
 - The university office that makes and archives the recording may provide each JMU performer involved in it with one personal copy, under a reimbursement arrangement determined by the university to provide reimbursement up to the cost for the duplication.

3. Distance Learning Materials - Distance learning materials and courseware created by faculty without the substantial use of university resources remain the property of the faculty member. If the development of distance learning materials or courseware has required substantial use of university resources, the university will own the copyright, but the faculty member and the university will both retain a non-exclusive license to use these materials in educational settings, even if the faculty member leaves the university. Should there be any commercial potential for the materials or courseware developed with substantial use of university resources, the faculty member and the university shall share in any revenues per the royalty distribution matrix described in this policy.

5.3 Required Disclosure

All discoveries, inventions and copyrightable materials for which a university employee is responsible and which may involve an interest by the university must be reported to the Intellectual Property Officer as promptly as possible, but always prior to the start of any commercial exploitation, using the Intellectual Property Disclosure Notification form appended to this policy. The purpose of this disclosure is to determine whether, and to what extent, the University has a proprietary interest in the discovery, invention or material. This report shall include a full and complete disclosure of the discovery, invention or material concerned and identity of all persons participating in the development.

Each discovery, invention or copyrightable material should be disclosed regardless of whether or not the inventor or creator plans to exploit the discovery, invention or copyrightable material for financial gain.

6. PROCEDURES

Please note that disclosure forms and detailed filing instructions are located at the following two websites:

<http://www.jmu.edu/sponsprog/ipdisclosures.html>

<http://www.jmu.edu/sponsprog/ipsubmit.htm>

6.1 Disclosure

The Intellectual Property Office will receive all disclosures forms. The Intellectual Property Officer will promptly refer the submission to the Intellectual Property Committee for review and evaluation of possible proprietary interest on the part of the university. Confidentiality will be maintained on all disclosures to the extent possible by all parties. However, notice of filing will be sent by the Intellectual Property Office to the academic unit head or department head, dean, and appropriate vice president.

6.2 Evaluation

The disclosure should be reviewed by the university before information about the discovery, invention or copyrightable material is made available to any other party. The Intellectual Property Committee shall complete and report its evaluation to the Intellectual Property Officer and the inventor or creator within ninety (90) days from the date of receipt of the disclosure, unless it is mutually agreed by the Intellectual Property Committee and the inventor or creator that additional time is needed and an alternative deadline is established. The inventor shall have the right to make recommendations pertaining to such determinations.

The Intellectual Property Committee will determine that the university has a proprietary interest in discoveries, inventions and copyrightable materials resulting from work made for hire, from substantial use of university resources, or from significant use of general funds.

When the university does not claim an interest in an intellectual property about which it is notified, the Intellectual Property Committee will so advise the creator in writing.

If the evaluation report indicates that the University has a proprietary interest, the Intellectual Property Committee will recommend handling that interest by either royalty or licensing arrangements with the inventor or creator of the property.

The university may decide to commercialize an intellectual property on a case-by-case basis.

6.3 Royalty and Licensing Arrangements

The Intellectual Property Office will negotiate any license or royalty arrangements concerning property in which the university claims a proprietary interest. The contract for such license or royalty arrangement must conform to the university's contract approval process. The Finance Officer will administer all licensing and royalty arrangements associated with the intellectual property under such licenses or royalty arrangements.

If the university pursues commercial exploitation of an intellectual property created by a member of the JMU community in which it has a proprietary interest, the following royalty distribution matrix applies. The amounts listed are based on net revenues.

Of the first \$25,000,

60% to creator

20% to creator's academic unit or department

20% to central Intellectual Property Office

From \$25,001 - \$50,000

50% to creator

20% to creator's academic unit or department

10% to creator's college or division

20% to central Intellectual Property Office

From \$50,001 - \$100,000

50% to creator

20% to creator's academic unit or department

10% to creator's college or division

20% to Fund to Support Research and Innovation

Above \$100,000

50% to creator

20% to creator's academic unit or department

30% to central Fund to Support Research and Innovation

However, in cases in which the intellectual property is the result of a work for hire or the university is the original owner of the property, the appropriate vice president in whose division the intellectual property is created will determine the distribution of any royalties.

Joint creators must agree at the time of their notification on the fraction that each will share in any royalties. In the absence of such agreement, the creator's share of royalties will be split evenly between the joint creators.

If the university decides not to pursue commercialization, it retains the right to license intellectual property to the creator in return for an equitable royalty to be determined by the Intellectual Property

Officer, 80% of which shall be returned to the creator's department or program for the purpose of supporting additional research and innovation, after any development costs have been recouped. The Finance Officer and the sponsoring academic unit head or department director will be responsible for determining the extent of any development costs. This licensing shall be in lieu of any additional royalties to the creator.

For all intellectual property, the University retains a non-exclusive license to use the intellectual property for its own educational and administrative purposes.

6.4 Dispute Resolution

Should any issues develop as to the ownership of the intellectual property involved in an evaluation, the Intellectual Property Committee shall document the dispute and notify the Office of the President. The parties involved shall be entitled to appear before the Committee and to present evidence with respect to the disputed ownership. The Committee's determination shall be made in writing and shall contain a statement of the basis for its decision and recommendation. The President of the University, on his/her own motion or at the request of any interest party, may review any determination of the Committee. The President may affirm, modify, or reject any determination of the Committee. The decision of the President is final.

6.5 Transfers of University Intellectual Property

Except when the Governor's prior written approval is required, the Board of Visitors may transfer any intellectual property in which the university claims an interest.

The Governor's prior written approval is required for transfers of title to patents and copyrights that were:

1. Developed wholly or significantly through the use of State general funds, by an employee of the university acting within the scope of his or her assigned duties; or
2. Developed wholly or significantly through the use of state general funds, and are to be transferred to an entity other than the following:
 - The Innovative Technology Authority; or;
 - An entity whose purpose is to manage intellectual properties on behalf of nonprofit institutions; or
 - An entity whose purpose is to benefit the university.

When prior written approval is required, the university will send a description of the intellectual property and the proposed transaction to the State Council of Higher Education for Virginia ("SCHEV"). Within thirty (30) days, SCHEV will recommend action to the Governor, including any conditions SCHEV thinks should be attached to the proposed transfer. The Governor may also attach conditions to the transfer.

Approval is not required for the grant of a license to use an intellectual property, but only when the actual title is to be transferred.

When an employee creates intellectual property on his or her own initiative, or as part of his or her general obligation of scholarship, the university may transfer title to the property without approval if the transfer is to one of the entities noted under this section above.

If the development of an intellectual property by an employee is a work made for hire, and is done with significant use of state funds, the university must obtain the Governor's approval before transferring the property, whether or not the transferee is one of the entities listed under this section above.

6.6 Reporting Requirements

The Intellectual Property Officer will compile and submit annual reports to SCHEV. Each annual report will include the following information:

1. The name of the university;
2. The name of the IPO submitting the report;
3. The number of intellectual properties in which the institution claims an interest under this policy, divided into patentable subject matter and copyrightable subject matter;
4. The names of all transferees to whom the university has transferred any interests, including licenses, in intellectual properties (If the university is not able publicly to identify the transferee, the university will identify the particulars of the transfer as well as the reasons why such information should not be reported.);
5. The total royalties received by the university during the reporting period.

7. RESPONSIBILITIES

The Intellectual Property Officer is responsible for compiling and submitting the annual reports to SCHEV.

The Finance Officer has responsibility for the administration of applicable royalty and licensing arrangements associated with intellectual property in which the university has a proprietary interest. The Finance Officer will also maintain the Fund to Support Research and Innovation.

The Finance Officer and the sponsoring academic unit head or department director will be responsible for determining the extent of any development costs to the university of any intellectual property.

The Committee on Intellectual Property has the following authority and responsibility with respect to intellectual property.

- To publicize and administer existing policy and guidelines for the evaluation, disposition and exploitation of intellectual property in which the university has a propriety interest;
- To develop and recommend University policy to the President dealing with intellectual property;
- To hear and make recommendations to the President on disputed ownership of discoveries, inventions, and copyrightable materials;
- To hear and make recommendations to the President on disputed equities of the University, the creators and other parties associated with the intellectual property concerned;
- To make recommendations to the President for the sharing of royalties between the University and the creator of the intellectual property in which the University has a proprietary interest;
- To promulgate such guidelines and procedures as may be necessary for the implementation of this policy, subject to review and approval of the President.

8. SANCTIONS

Failure to make a required disclosure may result in a forfeiture by the creator of any proceeds or profits that the University would otherwise be obligated to pay pursuant to this policy. Failure to disclose is considered professional misconduct under the terms of the Faculty Handbook and Staff Handbook, and a violation of university disciplinary policy under the Judicial Conduct standards in the Student Handbook, and may subject the creator to sanctions up to expulsion for students.

Sanctions will be commensurate with the severity and/or frequency of the offense and may include termination of employment.

9. EXCLUSIONS

The university claims no interest in an invention, discovery or copyrightable work if the work is produced completely outside of and using no university resources, facilities or personnel other than the inventor. An example would be inventions or copyrightable works resulting from pursuance of a hobby, not related to the employee's university activities, and conducted off-campus.

10. INTERPRETATION

The authority to interpret this policy rests with the President, and is generally delegated to the Intellectual Property Officer.

Date of Last revision: June 1, 1997

Approved:
December 31, 2002
Linwood H. Rose, President

INDEX TERMS:

Copyright
Patent
Intellectual Property
Licensing
Technology Transfer
Inventions
Discoveries
Research

SAMPLE FORM FOLLOWS

Appendix A
JAMES MADISON UNIVERSITY
INTELLECTUAL PROPERTY DISCLOSURE NOTIFICATION
for Copyrighted works

NOTE: INVENTION DISCLOSURES ARE CONSIDERED CONFIDENTIAL AND PRIVILEGED INFORMATION. EXCEPT FOR INDIVIDUALS ENGAGED IN THE EVALUATION AND APPROVAL PROCESS, THE INFORMATION WILL NOT BE DIVULGED TO OTHERS WITHOUT THE PERMISSION OF THE CREATOR(S).

1. Title of the Copyrighted work:

Type of Copyrighted work:

Software; _____ Book; _____ Article; _____ Video; _____ Film; _____ Other
(Describe) _____

I. List of originators (writers or other creators)

Originator: _____

Percentage of contribution: _____ %

Department: _____

Phone: _____

Email: _____

Signature Date: _____

Department Head or Director Signature: Date: _____

Originator: _____

Percentage of contribution: _____ %

Department:
Phone:
Email:
Signature Date:
Department Head or Director Signature: Date:

Originator: _____
Percentage of contribution: _____%
Department:
Phone:
Email:
Signature Date:
Department Head or Director Signature: Date:

II. SPONSORSHIP INFORMATION

A. Was the labor that led to this work undertaken as part of a sponsored project: ____ Yes ____ No
If no, please move to Section II.E. If yes, complete the appropriate blanks below.

B. Provide name and signature of Principal Investigator (if sponsored project funding was involved in development of the work)

Name:
Title:
Signature: Date:

C. JMU Grant or Project Number

Name of Sponsoring Agency or Company

Grant or Contract Period.

D. As far as you know, does the sponsor have any prior claims to the work? (____ Yes ____ No)
If yes, please indicate the nature of these commitments.

E. Were University facilities, equipment, materials, funds, information, or the time or services of other University employees used in the production of the work?

____ Yes ____ No
If yes, please indicate the nature of these contributions.

What is the estimated value of these contributions? _____

F. Do you consider that this work resulted from your normal work activities? (____ Yes ____ No)

III. DESCRIPTION (Attach separate documents if needed)

Please provide a description of the work you are submitting. Your description should describe:

- The content of the copyrightable work;
- The work's relationship to other similar works;
- Novel or unusual features of the work;
- Advantages of the work;
- Possible uses of the work;
- And, limitations of the work.

Appendix B
JAMES MADISON UNIVERSITY
INTELLECTUAL PROPERTY DISCLOSURE NOTIFICATION
for Inventions and Discoveries

Invention and Intellectual Property disclosures are considered confidential and privileged information, except for individuals engaged in the evaluation and approval process. The information will not be divulged to others without the permission of the creator(s). Title of the Invention or Discovery:

I. List of originators (inventors)

Originator: _____
Percentage of contribution: _____ %
Department:
Phone:
Email:
Signature Date:
Department Head or Director Signature: Date:

Originator: _____
Percentage of contribution: _____ %
Department:
Phone:
Email:
Signature Date:
Department Head or Director Signature: Date:

Originator: _____
Percentage of contribution: _____ %
Department:
Phone:
Email:
Signature Date:
Department Head or Director Signature: Date:

II. SPONSORSHIP INFORMATION

A. Was the labor that led to this work undertaken as part of a sponsored project:
____ Yes ____ No
If no, please move to Section II.E. If yes, complete the appropriate blanks below.

B. Provide name and signature of Principal Investigator (if sponsored project funding was involved in development of the work)

Name:
Title:
Signature: Date:

C. JMU Grant or Project Number

Name of Sponsoring Agency or Company

Grant or Contract Period.

D. As far as you know, does the sponsor have any prior claims to the invention or discovery?
(____Yes ____No)

If yes, please indicate the nature of these commitments.

E. Were University facilities, equipment, materials, funds, information, or the time or services of other University employees used in the production of the invention or discovery?

____Yes ____No

If yes, please indicate the nature of these contributions.

What is the estimated value of these contributions? _____

F. Do you consider that this work resulted from your normal work activities? (____Yes ____No)

III. DESCRIPTION (Attach separate documents if needed)

A. If you are submitting an invention, is it a new process, application or method; composition of matter; a device or one or more products for a new use or an improvement to an existing product, process, application or method?

B. Identify and expand on the novel or unusual features. How does the invention differ from present technology? What problems does it solve, or what advantages does it possess?

C. If not indicated previously, what are possible uses of the invention? In addition to immediate applications, are there other uses that might be realized in the future?

D. Does the invention possess disadvantages or limitations? If so, can they be overcome? How?

E. Attach sketches, drawings, photographs and other materials that may help illustrate the description. Rough art work, flow sheets, Polaroid photographs, and penciled graphs are satisfactory as long as they tell a clear and understandable story.

IV. OTHER PERTINENT DATA

A. Has the invention been described in specific detail or in a general way in a publication? (For this purpose, "publication" includes abstracts of public presentations, news stories, etc. as well as published scientific papers.) Has the invention been described orally at meetings? Please provide exact details including dates and copies of any publications.

B. Is a publication or oral disclosure descriptive of the invention planned within the next six months? Give date (estimate if unknown) and attach copies of any existing manuscripts, preprints, or abstracts.

C. Has the invention been tested experimentally? Are experimental data available?

D. Are there known inventions by other research workers that are related to this one? Please describe, including information on relevant patents and publications, if available.

E. Has the material been disclosed to industry representatives?

F. Has any commercial interest been shown in the invention?

G. Do you know of other firms that might be interested in the material?

If yes, name companies and specific individuals and their titles.