TRANSMITTAL 732

United States of America DEPARTMENT OF COMMERCE	DEPARTMENT ORGANIZATION ORDER 35-9	
DEPARTMENT ORGANIZATION ORDER SERIES	DATE OF ISSUANCE June 26, 1984	EFFECTIVE DATE January 22, 1984

SUBJECT

OFFICE OF PRODUCTIVITY, TECHNOLOGY AND INNOVATION

SECTION 1. PURPOSE.

.01 This Order prescribes the functions of the Office of Productivity, Technology and Innovation.

.02 This revision deletes reference to the National Productivity Advisory Committee, and incorporates new functions related to voluntary metric conversion and patent policy.

SECTION 2. STATUS AND LINE OF AUTHORITY.

The Office of Productivity, Technology and Innovation, a constituent operating unit of the Department, shall be headed by a Director who shall report and be responsible to the Assistant Secretary for Productivity, Technology and Innovation.

SECTION 3. FUNCTIONS.

The Office of Productivity, Technology and Innovation shall serve as the Departmental focus for policy and program activities relating to productivity improvement, technological development and innovation in the private sector. In carrying out these responsibilities, the Office shall:

a. Conduct studies on the effect which Federal policies, programs, legislation and regulations have on productivity growth, technological development and innovation in the private sector;

b. Coordinate the development of, and serve as the principal contact for, Departmental positions on Federal policies and program which affect private sector productivity growth, technological development and innovation;

c. Conduct programs designed to promote the understanding and use of productivity measurement and improvement techniques in the private sector, including:

1. Operation of a Departmental clearinghouse for the collection and dissemination of productivity related information to the private sector, and

2. Conduct of workshops, seminars and related outreach mechanisms to provide business decisionmakers with best practice productivity and technology information;

d. Administer Departmental responsibilities under the Stevenson-Wydler Technology Innovation Act of 1980 (P.L. 96-480), including:

1. Serving as the focal point for policy development and industry-government consultations designed to reduce institutional and other barriers to cooperative arrangements aimed at technological advance, and

2. Develop and implement policies and programs to foster greater private sector commercialization of Federally-owned patents and other Federally-funded technologies, including technologies developed by Federal laboratories and inventions developed under Federal contracts and grants.

e. Establish and provide staff support for Departmental task forces, committees and steering groups responsible for the coordination of Departmental research, data collection and other activities related to private sector productivity improvement;

f. Maintain liaison with domestic and foreign productivity centers, institutes, committees and related organizations on methods, techniques and innovations to enhance productivity growth; and

g. Provide liaison between the public and private sectors on voluntary metric conversion; assist and respond to inquiries from the private sector; coordinate the Federal Government's own metric conversion activities, including coordination of interagency committees; assist State and local governments in metric problems; and identify existing barriers to voluntary conversion and recommend appropriate action.

SECTION 4. EFFECT ON OTHER ORDERS.

This Order supersedes Department Organization Order 35-9, dated April 22, 1982.

Sidney L. Jones
Under Secretary for Economic Affairs

Approved:

Katherine M Bulow
Assistant Secretary for Administration

USCOMM-DC - 84-8995

COTTRELL RESEARCH GRANTS

Cottrell Research Grants are given to help academic scientists conduct basic research of originality and importance in the physical sciences at private and public universities.

The emphasis of this program is support of fundamental investigations performed by faculty members early in their professional careers. Particularly speculative research of established investigators also is eligible for consideration.

Research Corporation seeks to place Cottrell Research Grants in situations of genuine opportunity where well-timed support can lead to significant contributions to scientific knowledge and to the development of the investigator, his students and his institution.

Scientific significance is a prime criterion in the evaluation of research proposed. Competition for these grants demands that the work proposed be sufficiently challenging to require the investigator's best efforts.

Support Provided

Cottrell Research Grants are made for items of direct expense essential to the prosecution of the research proposed.

In general, these include special equipment and supplies, and undergraduate or graduate summer research fellowships. In the case of expensive equipment which will find continuing use beyond the immediate project, a contribution toward the cost will be required from the applicant's institution. Requests for academic year stipends and for computer and instrument time charges are not encouraged.

In keeping with the Research Corporation grant-in-aid philosophy, indirect costs, [illegible] supplies and services, faculty salaries, postdoctoral stipends, secretarial assistance, publication charges and scientific meeting travel expenses are not allowed.

Support normally is given to help initiate research. [illegible] work [illegible] sources [illegible] discouraged.

Application for Grants

A prospective applicant should provide a project description in [illegible] addressed to the Regional Director of [illegible] named in this folder. The following points should be covered in a few pages:

- Subject of the investigation.
- The question [illegible].
- Significance of the research: why [illegible] doing [illegible] contribute [illegible] tion [illegible] scientific [illegible].
- Description of the experiment [illegible] ducted [illegible] pretation [illegible] light of [illegible] posed.
- Itemized [illegible] budget (Grants [illegible] with [illegible] but [illegible] are required).
- Source [illegible] and duration [illegible] rent, [illegible] or requested [illegible] cluding [illegible] financial indicators [illegible] search [illegible] whether related or [illegible] to the proposed project.
- Applicant's position and principal [illegible] appointments.

On receipt of this information [illegible] an application [illegible] be submitted [illegible] furnished.

Formal applications are reviewed [illegible] the foundation [illegible] the application [illegible] with [illegible] and reference [illegible]

uated by the Cottrell [illegible] at meetings held [illegible]

After the [illegible] proves a favorable [illegible] Committee, funds [illegible] the institution for [illegible] cordance with [illegible]

Research Corporation [illegible] search; it disclaims [illegible] any rights in the [illegible] foundation ever, require [illegible] financial rep requests that [illegible] results in journals include [illegible] ment of Re poration's support.

The foundation [illegible] Cottrell ence Program [illegible] research in sciences at private [illegible] graduate instit

Correspondence [illegible] grants sh dressed to:

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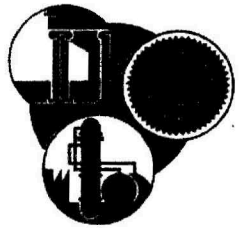

mic and other nonprofit institutions are
l to forward information on new discoveries
.nological significance for evaluation under
ch Corporation's Invention Administration
m. The program staff, representing the major
fic and engineering disciplines, production,
ting and patent law, evaluates the probable
ability and prospects for industrial develop-
nd public use of the discovery.
foundation accepts assignment of inventive
eries that appear patentable, useful and
table, seeks patent protection in those coun-
here warranted, and carries out a carefully
d licensing campaign. Evaluation, patenting
ensing services are donated by Research
ration regardless of the success of licensing

etailed disclosure of an inventive discovery
plains its nature, purpose and operation is
ed to set the evaluation process in motion.
ogram staff works closely with the scientist-
or in appraising his work and obtaining
s. Patent prosecution is conducted by an
ey trained in engineering or science and
law, retained by the foundation specifically
dle the given invention. The attorney con-
ith the inventor as well as the foundation in
ping and prosecuting patent applications.
to license the invention are undertaken
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tion administration agreements

ntion administration agreements are in force
n Research Corporation and more than 200
ional and scientific institutions. These agree-
related organizations, and governmental and quasi-governmental agencies in the U.S. and other countries. Inventions from organizations not having agreements with the foundation—and occasionally from individuals—may be handled on a case-by-case basis with the stipulation that the majority of any royalties realized will be used for Research Corporation or other programs to advance academic science and technology.

Royalties from successfully licensed inventions are distributed between institution, inventor and the foundation as specified by prior agreement. In general, the institution together with the inventor receive the major portion of gross royalties, with the inventor's share being determined by the policies of his institution. Ordinary patenting and licensing expenses are donated by Research Corporation.

The foundation's share of any royalties received is used, in accordance with its charter, to support its philanthropic programs in invention administration and grants for scientific research (see "other foundation activities," back cover).

patents and publications

The importance of timely disclosure of inventive research cannot be overemphasized, for prior publication of the details of a discovery can render it unpatentable. The effect of such publication may be to deny the public the benefit of products based on the invention. (Many manufacturers are unwilling to invest in new technology without patent protection.)

The preservation of patent rights can be achieved without impeding scholarly communications. By the early disclosure of a synopsis of his findings or a draft of a proposed paper, held in strict confidence by Research Corporation, the scientist-inventor can help preserve these rights. When warranted an application for a U.S. patent can be filed prior to publication, and will not only secure U.S. rights, but provide an additional year to consider filing in other countries—subsequent publications to one year after publication. Patent rights in other countries, however, may be irretrievably lost. The best rule: when possible, have a potentially useful discovery evaluated for possible patenting before publishing.

More information on preparing disclosures and the requirements for patenting a discovery can be found in "Evaluating and Patenting Faculty Inventions," a booklet available together with an Invention Questionnaire from Research Corporation's Invention Administration Program. Inquiries may be directed to Manager—Evaluation or other program staff members.

other services

Professional staff members periodically visit academic administrators and researchers to convey a better understanding of the patent system and to encourage the timely reporting of potentially useful discoveries. Visits may also be made to clarify the details of an inventive discovery or its administration. In certain instances the foundation will arrange for the collection of data pertaining to an inventive discovery, such as the screening of a new compound by a chemical or pharmaceutical manufacturer to determine biological activity.

Research Corporation is a source of information on the development and administration of institutional patent policies as well as on patenting procedures in the U.S. and other countries. The foundation also can provide information on the patent policies of government agencies active in research support. Inventions resulting from government or other sponsorship of research can be assigned to the foundation subject to prior rights belonging to the sponsor. Where regulations or other arrangements permit retention of patent rights, the foundation will either prepare the documentation necessary to obtain such rights or help the institution to do so.

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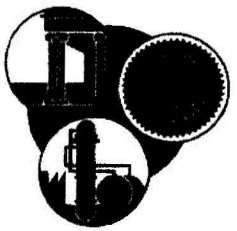

for license at any time are many beneficial
ıcts and processes culled from the hun-
ıvention disclosures evaluated each year
ch Corporation. Included are pharmaceu-
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d information on selected inventions is
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l Invention Administration Program mem-
:onfer with company representatives on
:velopments or on licensable technology
y field of interest. Newsletters and data
also available on request, and provide
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on Administration Program services are
to assist industry in locating and licensing
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al and scientific institutions. Program staff
will assist and encourage communication
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licenses issued by the foundation incor-
ılistic royalty rates and diligence require-
signed to expeditiously bring inventions
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preferred, but exclusive licenses may be
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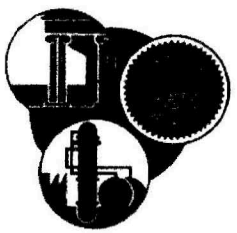
ng, Invention Administration Program,

Research Corporation background and programs



One of the first American foundations, Research Corporation was created in 1912 by Frederick Gardner Cottrell, a professor of physical chemistry, inventor and philanthropist. The purposes of the foundation are to advance science and technology—to support scholarly research in the sciences (see below), and to make inventions and patent rights "more available and effective in the useful arts and manufactures."

Research Corporation helps make inventions available with the assistance of the scientific institutions and licensees which participate in its Invention Administration Program. This folder describes program services contributed by the foundation to nonprofit organizations and their inventors, to the business community, and ultimately to the general public.

other foundation activities

The Research Corporation Grants Program operates independently of the foundation's Invention Administration Program. All grants explicitly disclaim any proprietary interest in the results of research sponsored by the foundation.

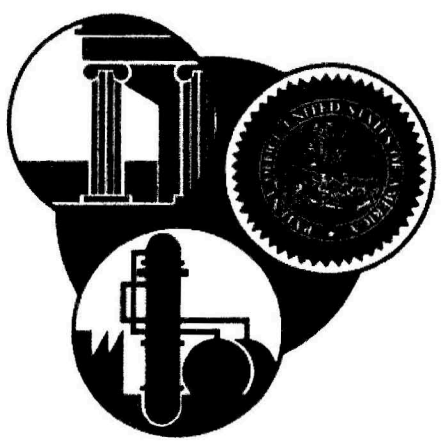
Two major grants programs are conducted to assist basic research in the natural and physical sciences. *The Cottrell Research Program* supports fundamental investigations in the physical sciences at graduate universities and public undergraduate institutions. *The Cottrell College Science Program* is devoted to aiding academic research projects in the natural sciences at private undergraduate institutions.

Inquiries regarding Research Corporation's Grants Program should be addressed to: Vice President—Grants Program.

Incorporated in New York State under the Not-For-Profit Corporation Law, Research Corporation is a private, tax-exempt foundation under section 501(c)(3) of the U.S. Internal Revenue Code.

putting academic inventions to work

From Universities to Industry...
A Program for Technology Transfer



Invention Administration Program

:T HELP FOR A CHALLENGING NATIONAL ASSIGNMENT...

:NTALS OF INDUSTRIAL XTENSION

d-one-half days of highly interactive ce and build upon the essential concepts, are necessary to be successful in the sion.

d by a multi-state consortium of extension ide extension agents in answering the rican industry. It is one in a series of nd technology transfer courses designed siness assistance and technology transfer

p are experienced practitioners and senior- nel from manufacturing and technology ding The Pennsylvania State University, stitute and the Northeast Manufacturing instructors are also trained in skills and ver the Fundamentals Workshop.

ained from attending the Vorkshop?

mentals Workshop will engage in skills s and interactive discussions that provide rience in industrial extension processes

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- Problem Solving
- Client Management
- Group Dynamics
- Networking

should attend?

hop is intended for people who provide e to industry and have a basic knowledge r program's mission and operation.

Workshop fees and registration

The registration fee for the Fundamentals Workshop is $450 per person. The fee covers a participant manual, *personal development plan*, continental breakfast, lunch and refreshments for the two-and-one-half days. Cancellations received two weeks prior to the selected workshop will receive a full refund. Thereafter, no refunds will be made, but a substitute participant may be sent.

To register, complete and send the registration form with your check, credit card or purchase order number to: Fundamentals of Industrial Extension, NTTC, Wheeling Jesuit College, 316 Washington Avenue, Wheeling, WV 26003.

If paying by credit card or purchase order, registration forms may be faxed to the NTTC at (304) 243-2129. Class size is limited and advanced registration is required. For more information, contact the NTTC at 1-800-678-6882.

For more information call 1-800-678-6882

AGENDA

Day One: 8 a.m . - 5 p.m.

Introduction and Overview
- Reviews basic concepts of the Industrial Extension Profession and their importance

Program Organization
- Defines the overall mission of an industrial extension organization and explores program differences
- Describes key roles of an industrial extension agent and lists characteristics needed for success

Resource Identification and Development
- Identifies local, state, and federal/national resources
- Explores resource criteria, limitations, availability and systems for categorization
- Provides practice in developing networking skills

Outreach and Promotion
- Describes the functions of outreach and promotion
- Provides sources for market research and methods of delivery
- Provides practice in the development and delivery of presentations

Day Two: 8 a.m . - 5 p.m.

One-on-One Extension Process Skills
- Includes initial client contact: client screening, program introduction, and closing the initial meeting
- Provides practice in data collection, problem identification, and problem statement development
- Provides practice writing and executing an action plan and monitoring a project
- Explains methods of closing a project and the importance of evaluating and reporting

Day Three: 8 a.m. - 1 p.m.

Multiple Client Approaches
- Explores multiple-client approaches and applications for extension processes
- Describes types of client/supplier networks and explores the agent's role in initiating networks

Continuing Professional Development
- Initiates a forum for follow-up
- Provides a peer partner network
- Provides a means of individual performance measure

DUSTRY...

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The sessions were very
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Assistant Director, Manufacturing
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Deputy Director, Mid-Atlantic
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, District Manager, MANTEC

r more information
-678-6882

Fundamentals of Industrial Extension
National Technology Transfer Center
Wheeling *Jesuit* College
316 Washington Avenue
Wheeling, WV 26003
1-800-678-6882

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A component of the
National Industrial Extension Agent
Curriculum



NTTC

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To participate you must be a federal laboratory or university technology transfer office or a small company (under 500 employees) technology or business development professional and agree to the following:

- *assume responsibility for communications charges in subsidized databases / services and full rate charges in non-subsidized databases / services.*
- *provide capability, technology or expertise descriptions from your institution or company.*
- *possess the appropriate equipment to access the service (IBM or Macintosh compatible computer with mouse, hard drive and disk drive and modem or Internet access.)*
- *intend to use the service regularly.*
- *participate in the evaluation of the National Technology and Commerce Initiative program.*

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