PRINCETON UNIVERSITY
Princeton New Jersey

Formalized research and patent policy, originally adopted 7 November 1938 by the Faculty of the University and revised 15 March 1948 to provide for the designation of the Committee on Project Research and Inventions, established 2 April 1946 by the President of the University to coordinate and plan on a broad scale the sponsored research activities of the University and to administer University policies with respect to patents and inventions arising through the work of members of the University, replacing in these respects an earlier Committee on Contract Research and Patent Policy and a still earlier Patent Committee (further revision of policy under condideration); applicable on a university-wide basis to all members of the University, including faculty, staff and students:

1. There is a committee known as the Committee on Project Research and Inventions appointed by the President and responsible for administering the patent policy as well as for coordinating the activities of the University in connection with outside sponsored research.

2. The University has entered into an agreement with the Research Corporation in accordance with which a member of the University may assign an invention to the Research Corporation, with the understanding that the Research Corporation, if it accepts the assignment, is to carry out the patenting and commercializing of the invention without any expense to the inventor; that the Research Corporation is to pay to the inventor a share (ordinarily seven per cent) of the gross income which the Research Corporation receives from the invention; that tha balance, after any special expenses in connection with the patent have been met, is to be divided between the University and the Research Corporation as provided in the general agreement covering all of these cases, with the understanding that this balance is the balance for all inventions administered under this agreement, and not for each individual one.

3. When a member of the University in the course of his academic activities makes an invention, he may consult the Committee on Project Research and Inventions about application for a patent. If he desires to have the matter handled in accordance with section (4) below, the Committee shall proceed in accordance with this plan. If these methods of procedure would in any case involve undue delay in the securing of protection, the inventor may refer his invention directly to the Research Corporation, or file an application on his own responsibility with the Patent Office.

A member of the University shall be free to bring any patentable invention of his to the attention of the Committee on Project Research and Inventions for action under section (4) whether it has clearly resulted from his academic activities or not.

If a member of the University desires to obtain a patent on his own responsibility he may do so, whether he has consulted the Committee on Project Research and Inventions or not, but he shall furnish to that committee a copy of the patent when issued. The Committee may raise the question of whether the University has an equity in the proceeds of the invention because of financial contribution or the use of its facilities. It is expected that the determination of the character

and amount of the University's equity in any such invention will be established in conference between the Committee on Project Research and Inventions and the member, or members, of the University concerned. It is expected that the same procedure will be followed in connection with any other question arising out of the patent policy.

4. When the question of the patenting of a particular invention is brought to the attention of the Committee on Project Research and Inventions, the Committee will decide upon the soundness of the scientific basis of the invention and upon the advisability of patenting according to the University policy. If the Committee reaches a negative conclusion, it will turn the matter back to the inventor to handle as he sees fit. If the Committee reaches a positive conclusion, or is in doubt, it will refer the matter to the Research Corporation to ascertain its opinion and whether the Research Corporation desires to accept assignment of the invention. If the Research Corporation is unwilling to accept such an assignment, the Committee will decide whether the matter should be turned back to the inventor or other steps be taken. If the Research Corporation desires to accept the assignment, the Committee will recommend to the inventor that he assign the invention to the Research Corporation and enter into an agreement with the Corporation, in accordance with the general plan adopted by the Corporation and the University.

5. In accepting a grant or contract from an outside sponsor for the purpose of research, it is the intent of the University that the grant or contract shall be used for the training of men and the extension of the boundaries of knowledge, and not for the solution of specific design and development problems in which the sponsor may be interested.

If the University accepts a grant or contract from an outside sponsor for the purpose of research in accordance with the above statement, it shall be with the understanding that, should an invention result from this research, the University and the inventor will handle such invention in accordance with section (4), and with the further understanding that, if an invention is patented in accordance with section (4), the sponsor will have special consideration. In case the sponsor desires a specific definition of such "special consideration" the method to be used in establishing such "special consideration" shall be agreed upon in writing at the time the grant or contract is made.

If a sponsor prefers to proceed in a manner other than that of section (4), the Committee on Project Research and Inventions will discuss an alternative procedure with the sponsor. Any such alternative procedure shall take into consideration the equity of a member of the University who makes an invention, the equity of the University, and the protection of the public interest.

It is understood also that the foregoing policy with respect to grants or contracts for research shall not be applicable to fellowships made available to the University. The holders of such fellowships will be under the same regulations as other members of the University.

6. Any funds coming to the University as a result of this patent policy will be used for furthering research and scholarship in the University, the awards to be made by the President, with the advice of the Committee on Project Research and Inventions, with the understanding that

preferential consideration be given to the needs of the particular field of research which gave rise to the patent concerned.

Patent management agent: Research Corporation, both for the University and for individual inventors by voluntary assignment of their inventions.

Incentives program: the equities of inventors in their inventions are recognized; as indicated in the policy statement, the respective equities of the inventors and the University are determined by mutual agreement between the inventors and the Committee on Project Research and Inventions; when an invention is assigned to Research Corporation, the inventor receives a share (ordinarily 7 per cent) of the gross income received from the sale or exploitation of patents obtained on the invention.

No copyright policy.

RUTGERS UNIVERSITY
New Brunswick New Jersey

Formalized research and patent policy, adopted 21 January 1949 by the Board of Trustees of the University, under which the University retains no proprietary interest in inventions made by regular faculty members; inventions resulting from sponsored research projects are subject to the terms of the research contracts arranged in advance by mutual agreement between the inventors and the sponsors; applicable on a university-wide basis:

> All rights to inventions and patents resulting from research conducted in the University belong to the inventor unless otherwise arranged in advance by mutual agreement between himself and an outside cooperating agency.
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> It is recognized that research may lead to invention even though such was not its original aim. Any member of the University staff who may make an invention, whether working privately or conducting research supported by University funds that are not under any restrictions with regard to patents, is free to apply for patents according to his own desires. If the work was done under an agreement executed before the work was begun, which reserves patent rights to the cooperating agency, the staff member is then bound by the terms of the agreement. Such agreements are made by the staff member concerned with the cooperating agency, which assumes all responsibility for enforcing the agreement. The University is not a party to such private agreements.
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> The University retains no proprietary interest in any invention by a member of its staff. It neither owns patents nor does it accept assignment of any patent rights. It desires, however, that inventions by members of the staff, made as a result of their researches, whether alone or cooperatively, shall be administered in an effective manner and with due regard for the public interest. A University Committee on Patents, appointed by the President of the University, gives assistance and advice on patent matters to members of the staff, and serves as a clearing-house for information about patents applied for and secured.
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> If any staff member so desires, he may assign his patent rights to