SUPA Questionnaire Concerning

University Patent Policies and Patent Administration

1. Name of Institution _____

2. Who authorized your Patent Policy?
   a. Trustees or Regents _____
   b. Faculty _____
   c. President or Chancellor _____
   d. Other (please specify) _____

3. What office administers the Patent Policy? _____

4. To whom is that office responsible? _____

5. Is there a Patent Committee? _____

6. What is its composition? _____
   _____

7. What are the functions of the Patent Committee? _____
   _____
   _____
   _____

8. Does the Patent Policy cover:
   a. Faculty _____
   b. Professional Staff _____
   c. Nonprofessional Staff _____
   d. Graduate students employed by University _____
   e. Graduate students not employed by University _____
   f. Undergraduates employed by University _____
   g. Undergraduates not employed by University _____

9. Does your institution control the disposition of patent rights by either (it is understood that a sponsor may subsequently take control):

   Taking title to inventions _____

   Or Directing or approving disposition by inventors _____

   Or is the referral of an invention to the university voluntary if there is no sponsor requirement _____

10. Do you enter into agreements with possible inventors (see 8 above) to establish patent rights (complete only one response):

   a. For all possible inventors from 8 above (specify a,b,c,d...etc)

   _____

   b. For all possible inventors from 8 who participate in sponsored research (specify a,b,c.....etc) _____

   c. For all possible inventors from 8 who are employed (specify a,b,c.....etc) _____

   d. For all possible inventors from 8 who are employed just in sponsored research (specify a,b,c...etc) _____

11. Do you or have you considered using a single agreement to cover both patents and copyrights? ____ _____

   _____

   _____

12. Is one or more patent management firm utilized and if so give names?

   _____

   _____

   _____

13. If the institution (not a patent management firm) decided to make a patent application, what office makes this decision? _____

   _____

14. Does your patent policy require reporting by those covered by the policy (see 8) of:

   a. All inventions made even though there is no institutional or sponsor equity _____, or

   b. All inventions made on which patents are applied for, even though there is no institutional or sponsor equity _____

   _____, or

c. All inventions made where there is some institutional or sponsor equity _____, or

d. Only those inventions made which must be reported to a sponsor _____

15. What is the basis of the institution's claim for institutional equity in an invention, i.e. what is the legal consideration for the university to obtain rights?

a. Payment of salary or stipend _____

b. Provision of funds or facilities _____

c. Other _____

16. Is arbitration or some other form of decision-making provided for in the event of a disagreement as to the institution's equity or rights in an invention? _____

_____

_____

17. Does the institution ever relinquish its rights to an invention back to the inventor? _____. If yes, under what circumstances?

_____

_____

18. Does the institution handle inventions for inventors in which it has no equity? _____If yes, what are the conditions?

_____

_____

19. If the institution retains patent rights for inventions, what share of royalties is paid to inventor(s)? Net or gross?

_____

_____

20. What disposition is made of institution's share of royalties?

_____

21. What steps if any are taken to assure that all inventions are properly disclosed? _____

_____

22. Does your institution have any institutional patent agreements (IPA's) with federal agencies? _____. If so, list agencies _____

23. In negotiating sponsored research agreements with industry, do you accept requirements for sponsor to obtain:

a. Title to all inventions _____

b. Exclusive license _____

c. Exclusive license for limited period _____

d. Exclusive license for limited period with march-in rights for lack of diligence _____

e. Nonexclusive license _____

f. Other _____

24. Under the arrangements described in 23 above, is there any provision for royalties or other reimbursements to the university, such as increased indirect costs? _____

25. For inventions owned or controlled by the institution and not assigned to a patent management organization, which of the categories of 23 above best describe the institution's policies for assignment or licensing?

26. How many patents were applied for on your institution's inventions during the last ten years by:

Inventor _____

Institution _____

Patent Management Organization _____

Industrial Sponsor _____

Government Sponsor _____

27. How many of the above patents issued? _____

28. How many of the patents in 27 were licensed? _____

APPENDIX B

Institutions Responding to Patent Survey

University of Akron
Ball State University
Boston College
Brown University
University of California Systemwide
California Institute of Technology
University of Cincinnati
Colorado State University Research Foundation
Concordia University
University of Connecticut
Cornell University
University of Dayton
University of Delaware
University of Denver
University of Georgia
University of Guelph
University of Houston
University of Illinois at Urbana-Champaign
University of Iowa
University of Kansas
Kansas State University
Kent State University
University of Kentucky
Universite Laval
University of Maryland
University of Michigan

APPENDIX B (cont'd.)

University of Minnesota
University of Mississippi
University of Nebraska
University of New Mexico
Research Foundation of State University of New York
University of Oklahoma
University of Oregon
Princeton University
Purdue University
Rockefeller University
Rutgers University
Salk Institute
Simon Fraser University
University of Southern California
Southern Illinois University
Texas A&M Research Foundation
University of Toledo
University of Virginia
Virginia Pol[illegible] University
Washington Sta[illegible]
University of Wisconsin
Yale University