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October 7, 1976

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Gentlemen:

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It was agreed at the last meeting of SUPA that we would endeavor to survey the patent policies and practices of all institutions where there are SUPA members. Through the efforts of several SUPA members a draft survey form has been developed and two copies are enclosed. I would like to ask you to complete the form for your institution on a trial run basis, and to return it to me with any comments or suggestions for changes.

**SECRETARY-
TREASURER**

Dr. Earl J. Freise
Assistant Director
Office of Research &
Sponsored Programs
Northwestern Univ.
Evanston, Ill.
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Your cooperation will be most appreciated.

Sincerely yours,

Raymond J. Woodrow
President

RJW/dh

Enclosures (2)

SUPA Questionnaire Concerning

University Patent Policies and Patent Administration

1. Name of Institution University of Wisconsin
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? Vice Pres. & Controller
4. To whom is that office responsible? Board of Regents
5. Is there a Patent Committee? No
6. What is its composition? _____
7. What are the functions of the Patent Committee? _____
- _____
- _____
8. Does the Patent Policy cover:
- a. Faculty yes
 - b. Professional Staff yes
 - c. Nonprofessional Staff yes
 - d. Graduate students employed by University yes
 - e. Graduate students not employed by University no
 - f. Undergraduates employed by University yes
 - g. Undergraduates not employed by University no

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

Taking title to patents no

or Directing or approving disposition by inventors no

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

except for Federal Agency funding

a. For all possible inventors from 8 above (specify a, b, c, d...etc) no

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 use or have you considered using a single agreement to cover both patents and copyrights? no

12. Is one or more patent management firm utilized and if so give names? Yes. Wisconsin Alumni Research Foundation

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

Institution does not decide.

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 Yes - for purposes of determining any obligation to

a Federal agency because of funding
b. All inventions made on which patents are applied for, even though there is no institutional or sponsor equity

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

15. What is the basis of the institution's claim for equity in an invention: Is the equity as against the inventor or against a claim by the Government based upon Federal funding?

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

- a. Title to all inventions no
- b. Exclusive license no
- c. Exclusive license for limited period no
- d. Exclusive license for limited period with march-in rights for lack of diligence no
- e. Nonexclusive license no
- f. Other Restrictive patent clauses not accepted with funds from private sources.

24. Under the arrangements described in 23 above, is there any provision for royalties or other reimbursement such as increased indirect costs? no

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

Institution does not own or control inventions.

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

Inventor _____

Institution _____

Patent Management Organization 1/66-1/76 - 127

Industrial Sponsor _____

Government Sponsor _____

27. How many of the above patents were licensed? 51

26 & 27 - compare patent applications with patents licensed - should be patents issued and patents licensed.