

# NIMH-COR APPLICATION

## Student Instructions

1. Complete Undergraduate Student Participation Application
2. Provide current transcripts (unofficial copy is acceptable)
3. Must read the Software Policy/Patent Waiver and sign the release agreement.
4. Return completed form via instructions at end of application.

If you are accepted into the program, you will need to return to the office to:

5. Provide copies of your Social Security Card, and Drivers License for identification. (or)
6. **If you are not a US Citizen**, you must provide a notarized statement certifying that they have a valid Alien Registration Card (I-151 or I-551) or other legal verification of such status, and provide a copy of the documentation (upon acceptance to program).
7. Sign the Appointment and Fellowship forms.

# State University of New York College at Old Westbury

---

## Career Opportunities in Research (COR) UNDERGRADUATE STUDENT PARTICIPATION APPLICATION

(Please print or type)

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Please complete all and check your preferred method of contact:

Local/campus Phone \_\_\_\_\_  Home Phone \_\_\_\_\_

E-mail \_\_\_\_\_  Cell Phone \_\_\_\_\_

Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_

Sex:  Female  Male Soc. Sec. #: \_\_\_\_\_

Citizenship/Residency:  U.S. Citizen

Permanent Resident # \_\_\_\_\_ exp \_\_\_\_\_

Student visa # \_\_\_\_\_ exp \_\_\_\_\_

Other # \_\_\_\_\_ exp \_\_\_\_\_

Are you Hispanic (or Latino)?  Yes  No

Racial Background (check one or more):  American Indian or Alaska Native  White

Native Hawaiian or other Pacific Islander  Asian  Black or African American

Have you received support from a National Research Service Award (NRSA) before? \_\_\_\_\_

If so, please provide dates and award title: \_\_\_\_\_

Current School Attending: \_\_\_\_\_

Major: \_\_\_\_\_ Credits Completed: \_\_\_\_\_ Date of Graduation: \_\_\_\_\_

GPA: Major Field: \_\_\_\_\_ Overall: \_\_\_\_\_ (ATTACH TRANSCRIPT!) *unofficial*

List ALL other colleges, DATES attended, and MAJORS, or DEGREES achieved below:

\_\_\_\_\_  
\_\_\_\_\_

Is it your intention to complete your undergraduate science education at the College at Old Westbury?

Yes  No (If no, explain) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

*You may attach additional pages if you need more space.*

List any science courses and/or work experience relevant to scientific research: \_\_\_\_\_

---

---

---

Write a paragraph describing your plans for a future career. Explain why you are choosing such a career:\_\_\_\_\_

---

---

---

---

---

---

---

---

---

---

How do you feel this program will benefit you in your future endeavors? \_\_\_\_\_

---

---

---

---

---

---

---

---

---

---

Return the completed application to:

Danielle Benz  
Neuroscience Research Institute  
Room S231  
Natural Sciences Bldg  
Ph: 516-876-2732  
Fx: 516-876-2732  
Email: COR@sunynri.org

Or mail your completed application to:

Danielle Benz  
Neuroscience Research Institute  
SUNY College at Old Westbury  
P.O. Box 210  
Old Westbury, NY 11568

## Patent Waiver and Release Agreement

I have read the **Patent and Inventions Policy** and the **Computer Software Policy** of The Research Foundation of State University of New York. I agree to abide by any additional terms and conditions relating to the above policies as required by any sponsor from whom I accept support through The Research Foundation of State University of New York.

In fulfillment of the above, I will promptly report to the Research Foundation or its designee such patentable inventions, discoveries, and computer software and software support materials as may arise out of work supported by the sponsor and will cooperate with the sponsor, the State University of New York, or the Research Foundation in the preparation and prosecution of any patent or copyright applications relating to such inventions, discoveries, and computer software and software support materials, and will execute all documents necessary to such applications. I further agree to assign all patent rights and copyrights applicable to such inventions, discoveries, computer software and software support materials to the sponsoring agency, to the State University of New York, to the State University of New York's designee, or to the Research Foundation in those instances where the applicable sponsor policy or the State University of New York's Patents and Inventions Policy or Computer Software Policy places ownership of such in either the sponsor, the State University of New York, or the Research Foundation.

**THE RESEARCH FOUNDATION IS AN EQUAL OPPORTUNITY EMPLOYER, PERSONNEL ARE CHOSEN ON THE BASIS OF ABILITY WITHOUT REGARD TO RACE, COLOR, RELIGION, SEX, AGE, HANDICAP OR NATIONAL ORIGIN, IN ACCORDANCE WITH FEDERAL AND STATE LAWS.**

Name (Print) \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

## **Purpose**

This document provides the "Patents and Inventions Policy of State University of New York" as approved by the Board of Trustees on September 19, 1979 and amended November 16, 1988, and provides the "Current Guidelines of the Patent Policy Board" dated October 4, 1985.

## **Policy**

The Patents and Inventions Policy of State University of New York outlines appropriate steps to be taken to ensure that the public receives the benefit of all inventions made by persons working in State University facilities. The June 1, 1977 Agreement between State University of New York and the Research Foundation states: "The University's Patent and Copyright Policy and implementation thereof shall govern all patent and copyright matters arising out of any sponsored programs covered by this agreement." In accordance with the Agreement, the Research Foundation has adopted the State University policy as its own.

The "Current Guidelines of the Patent Policy Board" outlines the use and approval of exclusive licenses and option agreements, and provides a definition of "royalty."

Additional copies of the policy or guidelines may be obtained through the Technology Transfer Office.

### **Patents and Inventions Policy of State University of New York**

The patents and inventions policy of the State University of New York as approved by the Board of Trustees on September 19, 1979 and amended on November 16, 1988, reads as follows:

Title 8, Chapter V, Subchapter B, Section 335.28 of the Official Compilation  
of Codes, Rules and Regulations of the State of New York.  
(Article XI, Title J, Section 1. of the Policies of the Board of trustees.)

335.28 Patents and inventions policy.

(a) - Purpose.

(1) State University recognizes that the three primary missions of an educational institution are teaching, research, and public service. While carrying out its research mission, State University further recognizes that inventions of value to the public will be made by persons working in its facilities. It is the policy of State University to encourage such inventors and inventions and to take appropriate steps to aid the inventor and ensure that the public receives the benefit. Appropriate steps include securing research support, identifying inventions, securing appropriate patents, marketing inventions through licensing and other arrangements, and managing royalties and other invention-related income. These activities are undertaken in a spirit of cooperation with governmental agencies and private industry as part of State University's contribution to the economic well-being of the State of New York and of the nation.

(2) In implementing its policies State University will take appropriate steps to ensure that its faculty may freely publish the results of scholarly research pursuant to the State University board of trustees policy on unrestricted disclosure of research activities as set forth in trustees' resolution number 66-258. In conformance with this principle, all concerned shall cooperate so that essential rights to inventions shall not be lost.

(3) All net proceeds after payment of the inventor's share as defined in subdivision (c), and other appropriate costs associated with the university technology transfer program, realized from the marketing of State University inventions shall be used for the support of State University research programs.

(b) All inventions made by faculty members, employees, students, and all others utilizing university facilities at any of the State-operated institutions of State University shall belong to State University and should be voluntarily disclosed, or shall be disclosed to State University upon request of the university. The inventor or inventors shall make application for patents thereon as directed by State University and shall assign such applications or any patents resulting therefrom to or as directed by State University. However, non-university organizations and individuals who utilize university research facilities under the trustees' policy on cooperative use of research equipment, or policy and guidelines on use of State University facilities by emerging technology enterprises, will retain ownership of all patentable inventions. Also, an invention made by an individual wholly on such individual's own time, and without the use of such university facilities, shall belong to the individual even though it falls within the field of competence relating to the individual's university position. For purposes of this provision, an individual's "own time" shall mean time other than that devoted to normal and assigned functions in teaching, university service, direction and conduct of research on university premises and utilizing university facilities. The term "university facilities" shall mean any facility available to the inventor as a direct result of the inventor's affiliation with State University, or any facility available under the trustees' policy on cooperative use of research equipment, or policy on use of facilities by emerging technology enterprises, and which would not otherwise be available to a non-State University-affiliated individual. Where any question is raised as to ownership of an invention or patent under these provisions, the matter shall be referred to a committee of five members to be named by the chancellor of State University. At least three of such members shall be members of the academic staff of the university. Such committee shall make a careful investigation of the circumstances under which the invention was made and shall transmit its findings and conclusions to the chancellor for review. If the committee determines that the invention has been made without the use of university facilities and not in the course of the inventor's employment by or for the university, and the chancellor concurs in such determination, the university will assert no claim to the invention or to any patent obtained thereon.

(c) With respect to any invention obtained by or through State University or assigned to or as directed by it in accordance with the foregoing provisions, the university, in recognition of the meritorious services of the inventor and in consideration of the inventor's agreement that the invention shall belong to the university, will make provision entitling the inventor and the inventor's heirs or legatees to a nonassignable share in any proceeds from the management and licensing of such invention to the extent of 40 percent of the gross royalty paid, unless this exceeds the limits fixed by applicable regulations of the relevant sponsoring agency, which will control in such cases. State University may make suitable arrangements with non-profit patent management agencies for the purpose of obtaining services and advice with respect to the patentability of inventions, the obtaining of patents thereon and the management and licensing of inventions. Such arrangements may provide for division of the net income from any invention after payment of the inventor's share between the management agency and State University.

(d) Upon recommendation of the patents and inventions policy board, the chancellor may grant exclusive licenses for a fixed period for the marketing of inventions, since it is recognized that in the absence of such a condition some inventions may not reach the marketplace for the public benefit. Granting of exclusive licenses for a fixed period may be accepted by the chancellor as a condition for industrial sponsorship of research programs, within guidelines recommended by the patents and inventions policy board.

(e) Grants made available to State University by or through The Research Foundation of State University of New York shall be subject to the policy herein stated except in special instances as hereinafter provided. Nothing in the policy herein stated shall prevent the acceptance of research grants from, or the conduct of research for, agencies of the United States, either directly or through the Research Foundation, upon terms and conditions under applicable provisions of Federal law or regulations which require a different disposition of inventions or patent rights, nor shall anything herein contained prevent cooperative arrangements with other agencies of the State of New York for research.

(f) The chancellor, acting with the advice of the patents and inventions policy board or State University's designated patent management agent, may determine not to file a patent application in the case of any specific invention or continue efforts at marketing. The university's decision shall be arrived at, in consultation with the inventor, within a period not to exceed six months from the date of first submission of the inventor's properly executed statement of disclosure of invention to the university or its designee. In every instance in which the university determines not to file a patent application or continue efforts at marketing, or fails to elect to do so within six months from the date of submission of said disclosure statement, all of the university's rights to the invention shall be released to the inventor, who may then file for a patent, subject only to those restrictions that may be required by an external sponsor, if any. In every instance in which the university determines to file a patent application or continue efforts at marketing, the inventor may, at any subsequent time, request the patents and inventions policy board to recommend such release. For any invention so released to an inventor, State University, at its option, shall receive 10 percent of the net proceeds, in recognition of the contribution of the State and people of New York to the support of the research which resulted in said invention. For purposes of this provision, the term "net proceeds" shall mean earnings to the inventor from the invention over and beyond reasonable costs incurred in the process of patent application and management.

(g) In all cases, any person is entitled to request an exception or waiver to the provisions of this patents and inventions policy. The person requesting an exception or waiver shall have the right to appear, accompanied by representatives of the person's choice, before the patents and inventions policy board for consideration of the request for an exception or waiver. The patents and inventions policy board shall prepare a report of its findings and an advisory recommendation to the chancellor for review. The decision of the chancellor on the findings and recommendations of the patents and inventions policy board shall be final.

(h) The chancellor shall establish and appoint a patents and inventions policy board of the State University of New York and designate the chair thereof in accordance with the following:

(1) The patents and inventions policy board shall have no more than 10 members, and shall include one representative of the central administration, two from the university centers, one from the health sciences centers, one from another major research institution of the university, one from the colleges of arts and sciences, one from the agriculture and technology colleges, one from The Research Foundation of State University of New York, and two representatives from business and industry.

(2) The patents and inventions policy board shall have full powers of organization.

(3) The members of the patents and inventions policy board shall serve without extra compensation and at the pleasure of the chancellor. The normal term of appointment shall be for three years.

(4) The patents and inventions policy board shall meet at least once annually.

(5) The patents and inventions policy board shall advise the chancellor in the following matters:

(i) guidelines and procedures for the implementation of these policies;

(ii) exceptions to these policies in unusual circumstances;

(iii) determining the extent of the university's interest in inventions;

(iv) determining whether or not to grant exclusive licenses or to commit the university to the future granting of exclusive licenses as a condition of sponsorship for particular research projects; and

(v) such other matters as the chancellor may deem appropriate.

(6) The patents and inventions policy board shall undertake continual review of these policies and advise the chancellor and the board of trustees thereto.

(7) The patents and inventions policy board shall maintain current information concerning patent and invention activities within the university, disseminate information to the faculty of State University concerning such activities, and encourage general awareness of and interest concerning patents within the university community.

(8) The patents and inventions policy board, through the chancellor, shall report annually to the board of trustees concerning its activities and recommendations during the preceding year.

### **Current Guidelines of the Patent Policy Board**

#### **1. EXCLUSIVE LICENSES**

To insure that University inventions are made available for public use and benefit and that the University and its inventors receive appropriate income, the Technology Transfer Office actively seeks appropriate and favorable licensing agreements with industrial concerns. Such licensing negotiations must be conducted in a professional and businesslike manner, for the interests of both the University and the public are best served if the mechanisms of the market are allowed to operate. As the Patent Policy recognizes, exclusive licenses are often the key mechanism. They give to industry the vital protection which is sometimes necessary to warrant an investment for developing an invention into a marketable form. Although exclusive licenses are not always necessary and nonexclusive licenses are often desirable, both nonexclusive and exclusive licenses should be considered normal modes of licensing (subject, of course, to Federal sponsor restrictions when applicable). To be commercially viable, nonexclusive licenses must often be granted for periods longer than five years.

THE PATENT POLICY BOARD finds that exclusive licenses are usually the most effective way of marketing inventions. The Executive Committee is authorized to act for the Board in recommending that the Chancellor approve of exclusive licenses, including agreements in which the period of exclusivity is longer than five years.

#### **II. OPTION AGREEMENTS**

As an alternative to, or in conjunction with, an extended period of exclusive license, the Option Agreement provides a useful mechanism for negotiating a marketing agreement. In an option agreement, a particular firm is provided with the right of first refusal on the rights to a discovery. Thus the firm may work towards development of a product for an agreed time without the obligation to market it, if it is not satisfied with the commercial potential, while having the assurance that the rights will not pass to another during this period. Needless to say, the price of an Option Agreement would be set to provide the same level of payment as would be reasonable during the first non-commercial years of an exclusive license. The exclusive license for marketing then takes effect only when the discovery is actually ready to enter the marketplace. Thus, a pharmaceutical might be developed and tested under an Option Agreement and the period of exclusive license for marketing could be kept at five years or at some higher level but still shorter than might otherwise be required. Such an alternative device will add flexibility to the Technology Transfer Office in conducting negotiations.

THE PATENT POLICY BOARD considers Option Agreements, followed by licensing, to be a normal device available to the Technology Transfer Office, though not expressly sanctioned or forbidden by the Patent Policy. The Executive Committee is authorized to act for the Board in recommending that the Chancellor approve option agreements.

#### **III. SPONSORSHIP AGREEMENTS**

Grants or contracts from industrial concerns for the sponsorship of research are a desirable form of research support which is presently too little enjoyed by the University. In order to encourage a greater volume of such support, the Patent Policy recognizes that an exclusive license provision covering such discoveries as may ensue from the sponsored research is often necessary. THE PATENT POLICY BOARD therefore favors the approval by the Chancellor of an exclusive license provision as a condition for the industrial sponsorship of research, when requested by the sponsor. In addition, the Executive Committee is authorized to recommend approval of such provisions to the Chancellor.

#### **IV. RETURN OF INVENTIONS TO INVENTORS**

The Executive Committee is authorized to review specific inventions or discoveries which the Technology Transfer Office does not consider it profitable to pursue and to recommend for the Board that the Chancellor release such inventions to the inventors.

#### **V. DEFINITION OF "ROYALTY"**

THE PATENT POLICY BOARD defines the term "royalty," as used in the Patent Policy, to include all gross proceeds received by the University or the Research Foundation, pursuant to negotiated agreements such as licensing agreements and option agreements, including such proceeds as up-front and lump-sum payments, fixed payments (annual minimum royalties), running royalties, and termination payments. Research sponsorship agreements, including grants and contracts for specific research, are not included in this definition of "royalty."

# Computer Software Policy of the State University of New York

## Introduction

The use of computers within the University may result in the creation of computer software. Computer software can be either copyrighted or patented, depending on the particular circumstances, and can often be licensed for commercial use. This policy covers the various aspects of ownership, administration and promotion of such computer software.

The proprietary interests of several groups can be involved when computer software is generated within the University; the creator or creators, the University or the Research Foundation, or an outside sponsoring agency. The University wishes to clarify and protect the rights and interests of all these parties.

This policy addresses only computer software and software support materials and not other literary, and instructional works nor dramatic, musical, and artistic works created by faculty, employees, or students of the State University of New York.

## Disclosure

Computer software and software support materials shall be disclosed promptly to the Research Foundation, Technology Transfer Office, which functions by formal agreement as the agent of State University of New York for the administration of such materials. All concerned shall cooperate to insure copyright protection is secured when needed.

## Ownership

Title to computer software and software support materials developed by faculty, employees, and students of the State University of New York or employees of the Research Foundation shall belong solely to the State University of New York or the Research Foundation unless all of the following conditions exist, then it belongs to the creator:

- The work was not created within the scope of employment of the creator;
- The work created was not the result of a work-for-hire situation;
- The work created was not a product or byproduct of sponsor funded or contracted activity; and
- The work was not developed through the use of facilities, funds, or personnel of the University or the Research Foundation or under the control of the University or the Research Foundation.

## Royalties

Where software is created within the scope of employment or is the result of a work-for-hire situation the Research Foundation shall retain all royalties generated by commercialization, for distribution in accordance with the policies of the University and the Research Foundation.

If the work was developed through the use of University or Research Foundation facilities, funds, or personnel or resulted from sponsor funded or contracted activities, the creator shall receive forty percent of all gross royalties received for products or services which embody the creator's work, unless the payment exceeds the limits fixed by applicable regulations of the relevant sponsoring agency, which will control in such cases.

The remaining royalties will be distributed in accordance with the policies of the University and the Research Foundation. (These remaining royalties, after deduction of an administrative fee, are deposited in a royalty account under the control of the campus president where the software was created. The originating academic units, laboratories, or centers, as determined by the campus president, may receive a percentage of the royalties thus returned to the campus.)

## Exception or Waiver

In all cases, the creator of software is entitled to request a waiver or exception to the provisions of this computer software policy. This waiver or exception will be reviewed by the appropriate Patent Policy Board of the State University of New York, which will make a recommendation on the request to the Chancellor.

## Definitions

*Scope of Employment* shall mean tasks assigned in a job description, letter of appointment, or other specific written documents.

*Work for Hire* shall mean work done by faculty, employees or students under campus consulting, extra service or technical assistance arrangements either through contract, consultancy or purchase order, but not within their Scope of Employment.

*Software* shall mean computer programs in machine readable or interpreted form, including printed listings or printout forms produced from machine-readable input, required operating documentation, input information, or format specifications necessary for operating of the program.

*Software Support Materials* shall mean all additional materials pertaining to software including narrative and instructional documentation, user and operational guides, and program training guides.

*Creator* shall mean one who originates the computer software code or who makes a significant contribution to structure or organization of the software.

*Royalties* shall mean the gross amount of all payments received from the commercialization of software and software support materials.

**Ratified on January 16, 1998**