

PUBLICATIONS



PRINCETON UNIVERSITY
OFFICE OF TECHNOLOGY LICENSING AND INTELLECTUAL PROPERTY
CONFIDENTIAL INVENTION DISCLOSURE FORM

1. Title of Invention:

Inventor(s) Name(s)	Princeton University DEPARTMENT	Email Address AND Telephone Number	Home Address

* The Office of Technology Licensing and Intellectual Property will contact the first named inventor to discuss patenting and licensing.
Please indicate if any Inventors are not Princeton University employees. If not, indicate their corporate/inventor affiliation or Princeton University status. If any (i.e., Visiting Researcher, etc.).

2. Sponsorship: Was the work that led to the invention sponsored? YES ___ NO ___ If yes, list all of sponsors below and include grant number(s) for government agencies (for NIH, NSF, DARPA, etc.) (NIH: 01-012345)

a) Sponsor: _____ Award / Grant Number: _____

b) _____

3. Publications, Oral Presentations, Poster Sessions, Web Postings:
a) Have you described the invention in a publication, oral presentation, poster session, or spoken to the press or media? Has it been posted on a website? What was the date of publication, presentation, or posting? Was it described in specific or general language? Include abstract or talk notes material, etc. Be sure to include copies of any publications, listed here collectively as Attachment A.

b) Any planned future publications or public disclosures? YES ___ NO ___ If yes please include a date when the publication will go into the U.S. mail for distribution and the date any public disclosure such as a talk will take.

4. Contingency and General Disclosures: Is the invention a new process, composition of matter, a device, or one or more products? Attach the file, data, information to an existing product or process?



INVENTION DISCLOSURES & PATENTS



WHY must I submit my peer-reviewed accepted manuscript (PRAM)??

- FY2016 - DOE Order 241.1B



– *“OSTI will provide accountability for all DOE scientific and technical information”*

– Lab funding may be impacted by compliance to this order



- Publication and editorial review processes (Slides 4-6)
- What is a “**Peer-reviewed, accepted manuscript**” (PRAM)? (Slides 7-9)
- DOE Requirements  (Slides 10-13)
- Collaborating with others (outside of PPPL) (Slides 14-15)
- Publication Fees and Invoices (Slides 16-17)
- Overview of ORCID: (Slide 21)
How it works and why it's important for YOU and PPPL
- Invention Disclosure and Patent Process (Slides 22-29)

Publications & Editorial Review

Many PPPL authors have been submitting their articles after the peer-review process, sometimes after the article has already published.

Per the DOE and USPTO, scholarly articles and research **MUST** be reviewed by the appropriate department head and submitted for Publication and Patent Clearance **BEFORE** undergoing the peer-review process.

Publications & Editorial Review: Order of Operations

- 1. Author submits draft publication for Publication and Patent Clearance: [CLICK here for FORM](#)**
- 2. Author submits manuscript to Publisher with DOE Copyright Notice.**
- 3. Paper undergoes peer review process with the publisher.**
- 4. Publisher confirms submission as Peer-Reviewed Accepted Manuscript (PRAM)**
- 5. Author submits PRAM to Publications Office: [CLICK here for FORM](#)**
- 6. Author emails Publisher's invoice to Accounting when notified of Publication charges.**

Publications & Editorial Review: Order of Operations



What is a PEER-REVIEWED ACCEPTED MANUSCRIPT??

As defined by osti.gov

A “PRAM” is the version of the article that has been accepted for publication by a publisher and includes changes made by the author during the peer-review process. It includes the same content as the published article **but is not the final published version** or a reproduction of what appears in the journal; i.e., it **is not a “reprint” or a downloaded PDF of the published article.**

Why can't I just submit the published version of my paper?

The U.S. Government's public access license agreement extends to accepted manuscripts, **NOT** the published version of peer-reviewed articles. Publishers own copyright on the published formatting of your paper, which means posting or widely sharing the published version of paper is

copyright infringement!

The exception to this rule would be publication in an open-access journal.



What else needs to be submitted to OSTI?

The DOE order for public access focuses on peer-reviewed journal articles and requires submission of a PRAM.

However, if a **conference paper** is subsequently published in a peer-reviewed journal, either as an individual paper or as a part of the conference's proceedings, then submission to OSTI is **required**.

If a
Conference
Paper is...

Published in
a Journal...

Then an AM
should be
Submitted!

WHO must submit the PRAM?

Does your name appear on the paper?

Per OSTI, you are required to submit a PRAM even if you are not the first author on the paper.

In cases of internal collaborations, the first PPPL author must submit the PRAM.



Why is it so difficult to locate every PRAM?

- The author does not know what version of the manuscript from the publisher is a PRAM.
- The publisher does not label the version as PRAM.
- Every FIRST author receives a PRAM, however, sometimes not EVERY author receives the PRAM - it varies by publisher.
- The definition of a PRAM is unclear.

If the PPPL Publications office knows that a PRAM exists for my paper, why can't they access it?

- The Publications Office does not have access to the PRAM; only the author can download/access this version of the article from the publisher.
- PPPL Librarian harvests weekly for new publications from Scopus, Web of Science, etc.



which means the PRAM



WEB OF SCIENCE™

- Publications emails author requesting the PRAM



What must PPPL Authors do?

1. Submit your PRAM *ASAP* if you can identify it as such...“Congratulations” email
2. REPLY promptly to Publications emails requesting PRAMS. ([publications@pppl.](mailto:publications@pppl.gov)
3. Apply for **ORCID** number and submit it to Publications



ORCID

Connecting Research
and Researchers

Your responsibility as a coauthor

If you are collaborating with a researcher outside of the PPPL community, **communicate upfront that you are funded by DOE and would like access to the peer-reviewed accepted manuscript resulting from your research.**

Publication Fees and Invoices

Invoices are paid by PPPL Accounts Payable.

Invoices should not be sent to the Publications office.

In order to pay your publication fees, Accounts Payable needs:

1. An invoice
2. An account number with signature approval (email approval is accepted)
3. Publications & Patent Clearance Form approved.

NOTE If you are publishing in an IOP journal, Accounts Payable has a customer ID number for your convenience: **E222107**

Invoice example

Registered in England Number 1982084 Elsevier, Fulfilment Centre, The Boulevard, Kidlington, Oxford, OX5 1GB, UK

CRPP FFJ

PAGE NO	SOURCE CODE	DUE DATE	INVOICE DATE		INVOICE NO				
1	E-Mail Order	12-APR-2017	12-APR-2017		W1386498				
PRODUCT REF	DETAIL		PURCHASE ORDER NUMBER	QTY	PRICE	NET AMOUNT	POSTAGE	TAX	TOTAL AMOUNT
17740 2352-1791	Cancellation of Invoice W1379864 tax exempt RN 170410-011349 NUCLEAR MATERIALS AND ENERGY [REDACTED] Article Title : [REDACTED] [REDACTED] Author : [REDACTED] Pii Code:s:2352-1791(16)30270-8 Tax on 700.00 = 48.13				700.00	700.00		48.13	748.13
	TOTAL VALUE OF THIS CREDIT NOTE						0.00	48.13	748.13
REMARKS							Credit amount in US Dollars		USD 748.13

STARTING in JULY 2017!!!

New Google form for Publication and Patent Clearance!

Why it's an improvement:

- Completely paperless
- Includes your ORCID ID
- Answers follow up questions from the Publications department (so we don't have to send you annoying emails anymore)
- Sends a notification to your department/division head for electronic approval, so you don't need to meet for a physical signature.
- Technical reports and scholarly articles can be posted much FASTER!

[DOE Performance Evaluation Report FY 2016](#)

[2016 Safety Culture Survey](#)

[Lessons Learned](#)

[PPPL External Website](#)

[PPPL Lobby Slide Show](#)

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Announcements
The last time PPPL had a lost time accident was March 17, 2016 .
To contact the <i>ORPS Duty Facility Manager</i> , please call the <i>ESU Communication Center</i> at Ext. 2536.
Letter of Integrity and Disclosure Form
<p>Revised JHA Form <i>Jerry Levine, 2/16/2017</i> The corrective measures for "Falls/Elevated Work" now notes for clarification that contacting Safety for review is required for roof work..... read more...</p> <p>Revised JHA Form <i>Jerry Levine, 2/16/2017</i> The Job Hazard Analysis (JHA) form was recently revised to incorporate lessons learned from a recent incident... read more...</p>
Observing Barricade Tape

 [Suggestion Box For Director](#)

 [Institutional Compliance Program](#)

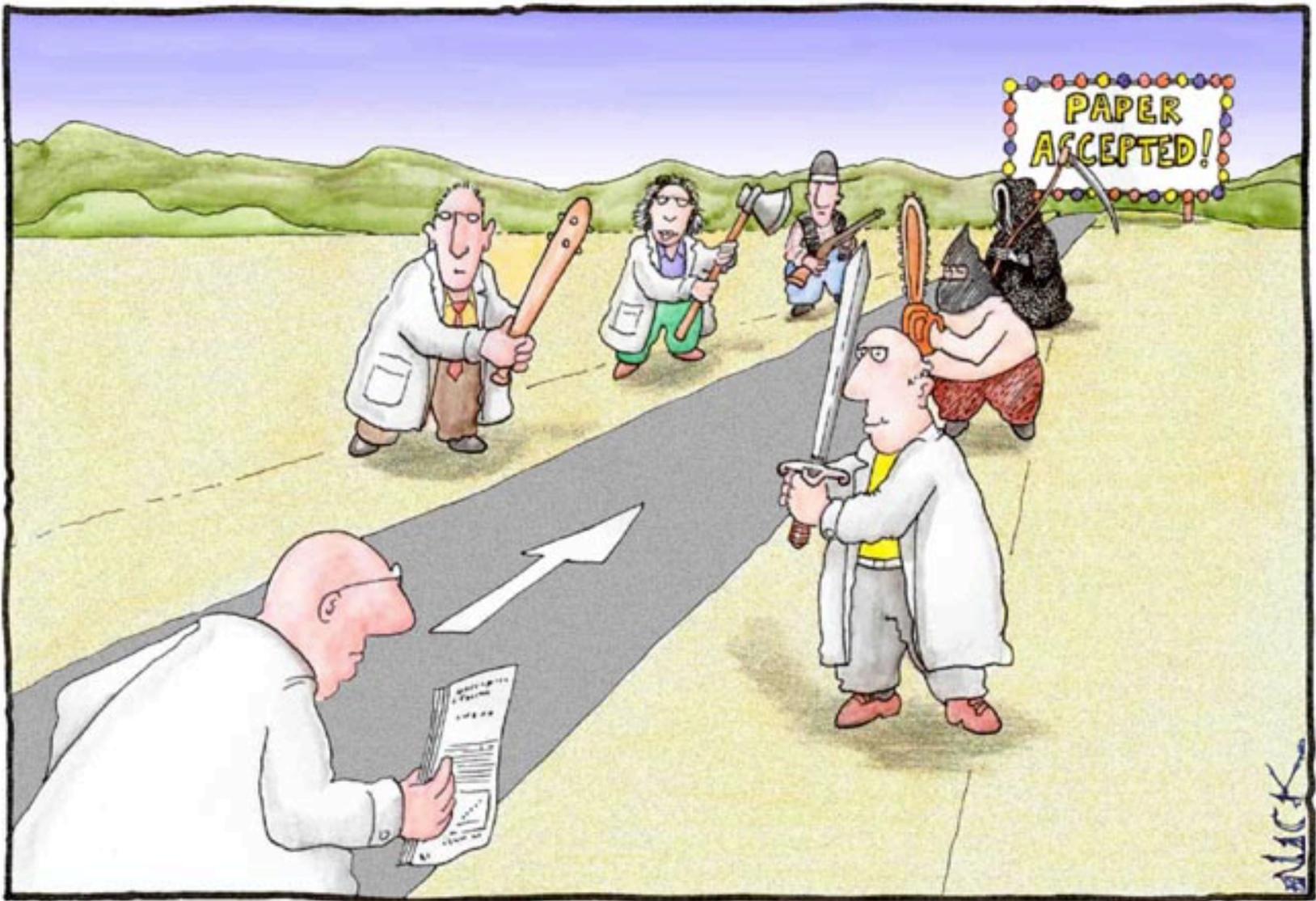
Princeton University is committed to conducting its academic and administrative responsibilities in an ethical manner and in accordance with applicable laws, regulations, and University policy. [University Hotline](#)

<p>Search PPPL:</p> <input type="text"/> <input type="button" value="Search PPPL"/>	<p>ES&H Drop Box <i>Safety or Suggestions Box</i></p> 	<p>Find a PPPL Phone Number:</p> <input type="text"/> <input type="button" value="Go"/> <input type="button" value="Clear"/>
		<p>Emergency Security/Fire/EMS: x3333 Non-Emergency Security: x2536 emergency.pppl.gov</p>

ALL FORMS & PRESENTATIONS ARE HERE!

Information and Services by Function		
<ul style="list-style-type: none"> • Acronyms • Building Evacuation Program • Building Plan Drawings • Cafeteria Menu and Catering Request Form • Calendar (Laboratory Calendar) • Colloquia (PPPL) • Computer Software Training via lynda.com <ul style="list-style-type: none"> • help page for lynda.com • Conduct of Operations Info and Links • Conference Management • Conference Rooms and Contacts • Contract Documents • Disclosure Form (Consulting/Conflicts/Integrity) • Dashboard • Directories / Information (phone/fax/pager/location) • EVMS (Earned Value Management System) • Environment, Safety & Health (ES&H) <ul style="list-style-type: none"> • Ergonomic Evaluation Request • Lessons Learned • Laboratory Posting System (CLASP) • Safety Wiki • STOP Program • Environmental Management System 	<ul style="list-style-type: none"> • Export Control Information and Resources • Facilities Work Order Requests and Work Order Status • Facility Managers • Job Cost Reports: <ul style="list-style-type: none"> • Current Month • Last Close • IOI Information (coming soon) • Job Hazard Analysis - Forms and Procedure • Lab Status/ emergency.pppl.gov • Logo files (all logos) • Map of C-Site & D-Site • Memoranda of Understanding (MOUs) • MSDS On-line system • Office Supply System (CMF) • Parking, Traffic & Bicycle Regulations • PCard On-line System • Phishing Updates • PPPL Experts (OSHA, PPE, Safety, and SM) • PPPL Forms • PPPL Google Apps • PPPL Highlights 	<ul style="list-style-type: none"> • PPPL Parking Decal Request Form • PPPL Property Pass System • PPPL Work Planning System • Press Releases • Princeton University Web Site • Procedures/ Policies/ Mission Statements <ul style="list-style-type: none"> • New Alternate Site - PPPL Procedures, Policies and Document Management • Project Engineering Drawings • Project Management • PS&T Seminar Schedule • Requisition On-line System • Requisition Status Log • Service Now • Shipping Requisition On-line System • Site Access Notification form (Visits/Assignments) • Site Protection Division Emergency Contacts (EMCON) <ul style="list-style-type: none"> • PPPL Emergency Preparedness Plan • PPPL Hazards Survey • Tech Shop Web Site and Work Request Form (Tech Shop) • Weather/ Credit Union/ Useful Links

[PPPL Forms](#)



Most scientists regarded the new streamlined peer-review process as "quite an improvement."

What is an ORCID number?

- Open Researcher and Contributor IDentification
- A permanent identifier for researchers
- Supports any type of scholarly output
- PPPL is now requiring ORCID
- Takes 30 seconds to register!



orcid.org

Invention Disclosures and Patents

**Contact Laurie Bagley, lbagley@pppl.gov, x2425 or
Aileen Pritch, apritch@pppl.gov, x2245**

Invention Disclosures and Patents

...a work or invention that is the result of creativity, such as a manuscript or a design, to which one has rights and which one may apply for a patent, copyright, or trademark.

Four Types:

- **Patents** 
- **Copyrights**
- **Trademarks**
- **Trade Secrets**

INVENTION DISCLOSURES & PATENTS

Patent:

- Every Patent starts off as a trade secret =
- Decision made to convert ID to patent
- To be patentable, it must meet the NUN factors:

**Invention
Disclosure**

- ✓ **Novel**
- ✓ **Useful**
- ✓ **Non -obvious**

INVENTION DISCLOSURES & PATENTS

When should I submit an Invention Disclosure?

If you have ***discovered something unique*** and/or ***solved a significant problem*** with ***possible commercial value***

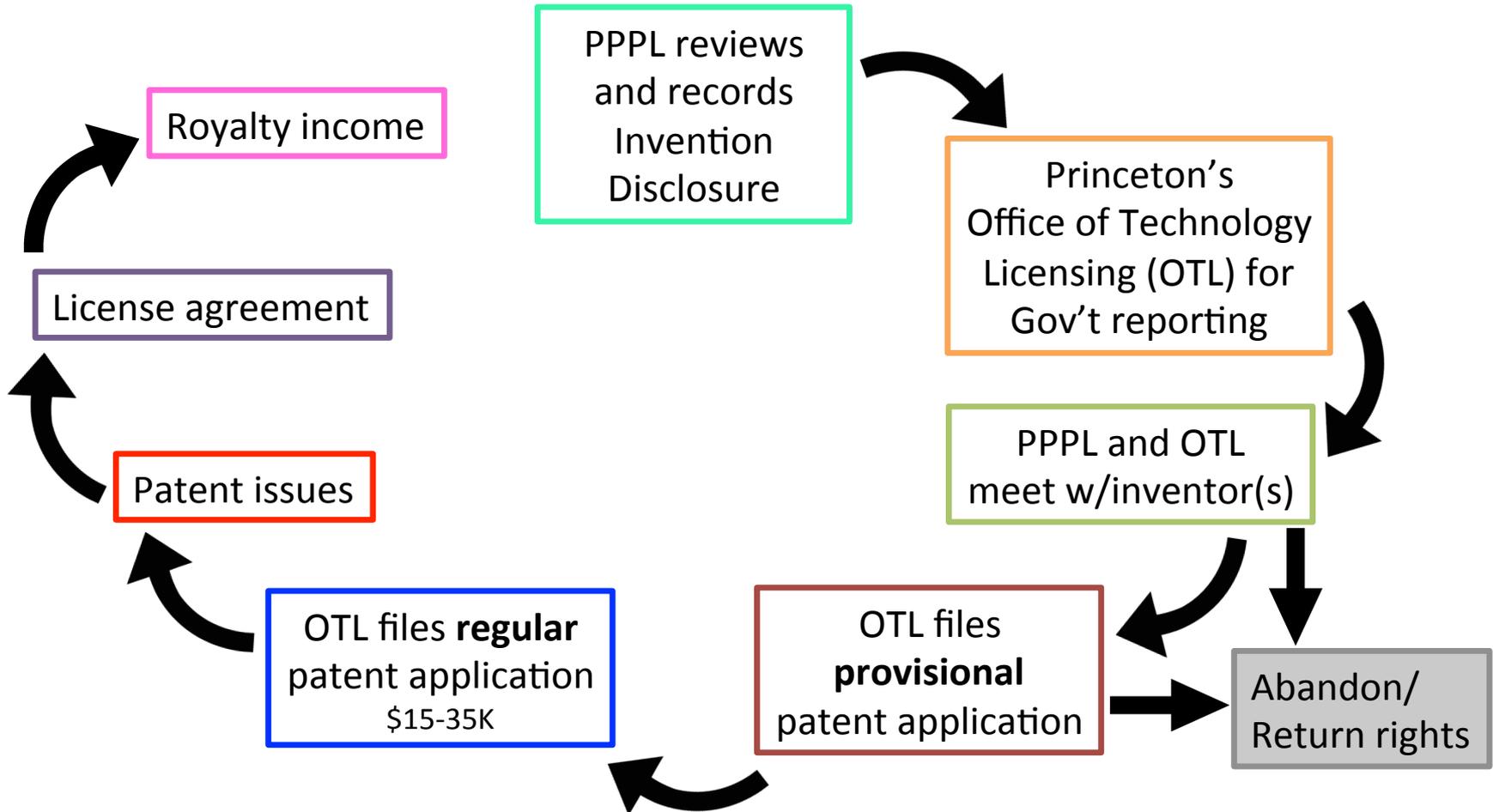


Submit an
Invention Disclosure

Let's talk!

INVENTION DISCLOSURES & PATENTS

What happens after I file an Invention Disclosure?



Recently issued PPPL Patents:

Method and Apparatus for Pasteurizing Shell Eggs using Radio Frequency Heating - Chris Brunkhorst, 2015

Production of Radionuclide Mo-99 in a Distributed and In Situ Fashion - Charles Gentile, 2016

Objective for EUV Microscopy, EUV Lithography, and x-ray Imaging - Manfred Bitter, 2016

CONTACT INFORMATION

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- AILEEN PRITCH, B108, x2245
- ANGELA POWELL, L228, x3347
- JANE HOLMQUIST, PPPL Library, x3150
- PUBLICATIONS@PPPL.GOV



INVENTION DISCLOSURE FORM and PRESENTATION

emergency.pppl.gov



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[DOE Performance Evaluation Report FY 2016](#)

[2016 Safety Culture Survey](#)

[Lessons Learned](#)

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The corrective measures for "Falls/Elevated Work" now notes for clarification that contacting Safety for review is required for roof work..... [read more...](#)

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[PPPL Forms](#)

