



Department  
of Health

Wadsworth  
Center

# Intellectual Property Activity Reporting

Provided by Extramural Grants Administration

July 15, 2015

# Intellectual Property Activity Reports

- Semi-annual reporting
  - January 1 through June 30 report is due by July 31
  - July 1 through December 31 report is due by January 31
- Must be submitted electronically on current forms  
*(Check program websites regularly for updated forms)*
- Supporting documentation must be submitted as PDF files and marked Confidential or Proprietary

**Until the updated IP Activity Report and accompanying documentation are provided, vouchers will not be processed.**



# Intellectual Property Reports – Why They Matter

## Program Stability

- Demonstrates Value of Program
  - Scientific advancement with public funds
  - Program income
  - Potential economic benefit to NYS

## Timeliness – Accuracy – Completeness

- Reimburses you promptly
- Keeps your project on track



# Intellectual Property Activity Reports

- Completed by IP/TT office
- E-mail reminder to IP/TT office 1 month before due date
  - Completion and submission instructions
  - Spreadsheet of contracts to date

Contract Number	Program Type	Funding Mechanism	Status	Contract Start Date	Contract End Date	No Cost Extension	NCE End Date	Project Title	Principal Investigator	Co-Principal Investigator
C011111	NYSTEM	Launch	Closed	4/1/2008	3/31/2009	Yes	3/31/2010	Research of the Effect Research has on Stem Cells	Mouse, Mickey T.	Duck, Daisy
C022222	SCIRB	Institutional Support	Closed	10/1/2013	2/28/2014	No		Preclinical model for spinal cord injury	Fudd, Elmer	Leghorn, Foghorn
C033333	HRSB	Generic II	Active	10/1/2014	2/28/2015	No		Scientific Study of the Study of Science and How it Effects Scientific Studies	Martian, Marvin	Yosemite, Samuel
C044444	NYSTEM	Consortia	Active	12/1/2014	8/31/2015	No		Genetic Markers Drawn On Pluriopotent Stem Cells	Duck, Daisy	None

Example of Contractor Spreadsheet



# Intellectual Property Activity Report Form Page 1



**INSTRUCTIONS FOR COMPLETION**

**Report Deadlines:**  
The report for the period of January 1 through June 30 is due by **July 31** of each year.  
The report for the period of July 1 through December 31 is due by **January 31** of each year.

**Step 1. Enable Macros**  
Upon opening the Excel file, a Security Warning message will appear at the top of the spreadsheet. Click on the Options button and select "Enable this Content." This will allow the required drop-down boxes to appear in the appropriate cells of the Cover Page and Activity Report.

**Step 2. Cover Page:**  
Complete the cover page. If there are no additions or changes to the status of any item listed in the report, check the box at the bottom of the page. *The organizational official is responsible for providing a well-organized and comprehensive report.*

**Step 3. Activity Report:**  
Complete/update all elements of the spreadsheet. Report on all activities that occurred within the reporting period for any invention that was developed in whole or in part with funds from a NYSTEM, HRSB or SCIRB contract. Mark any changes to past activity, or new additions to the report in **RED** text.

Provide a copy of the executed disclosures or agreements (e.g., invention disclosures, patent filing, license, assignment, non-enabling description of invention) marked "Proprietary/Confidential" as an attachment in PDF format.

**Step 4. Submission Instructions:**  
Send an email to the single most relevant program email address below. Enter the organization name and "IP Reporting" in the subject line of the email. Attach the completed report as a Microsoft Excel (.XLS) file. Also attach PDF files of all relevant documents (invention disclosures, patent filings, license agreements, non-enabling descriptions of inventions, etc.) marked "Proprietary/ Confidential."

New York State Stem Cell Science Program ([nystem@health.ny.gov](mailto:nystem@health.ny.gov))  
Spinal Cord Injury Research Program ([scirb@health.ny.gov](mailto:scirb@health.ny.gov))  
Breast Cancer Research and Education Program ([hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov))

**ASSURANCES:** By submission of this report, the organizational official named on the Cover Page of this report certifies that the statements in this report are true, complete and accurate to the best of their knowledge.

Enable macros in order to fill out the form

## Step 1. Enable Macros

Upon opening the Excel file, a Security Warning message will appear at the top of the spreadsheet. Click on the Options button and select "Enable this Content." This will allow the required drop-down boxes to appear in the appropriate cells of the Cover Page and Activity Report.

Attach required documentation

Provide a copy of the executed disclosures or agreements (e.g., invention disclosure, patent filing, license, assignment, non-enabling description of invention) marked "Proprietary/Confidential" as an attachment in PDF format.


Submission instructions and related EGA email addresses are included in the instructions

## Step 4. Submission Instructions:

Send an email to the single most relevant program email address below. Enter the organization name and "IP Reporting" in the subject line of the email. Attach the completed report as a Microsoft Excel (.XLS) file. Also attach PDF files of all relevant documents (invention disclosures, patent filings, license agreements, non-enabling descriptions of inventions, etc.) marked "Proprietary/ Confidential."

New York State Stem Cell Science Program ([nystem@health.ny.gov](mailto:nystem@health.ny.gov))  
Spinal Cord Injury Research Program ([scirb@health.ny.gov](mailto:scirb@health.ny.gov))  
Breast Cancer Research and Education Program ([hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov))

# Intellectual Property Activity Report Form Page 2



**NEW YORK STATE** | **Department of Health** | Wadsworth Center

**Intellectual Property Activity Report**

Date of Submission	
Reporting period	Jan. 1, through June 30, <small>Choose</small>   July 1, through Dec. 31, <small>Choose</small>
Due Date	July 31, <small>Choose</small>   January 31, <small>Choose</small>
<b>Organizational Official Responsible for this Report</b>	
Name	
Title	
Institution Name	
Address (Street, City, State, Zip)	
Telephone	
Fax	
Email	
Web site	

**No Activity/ Change During This Reporting Period (Activity Report is Identical to the Most Recent Report)**  No Activity/ Change

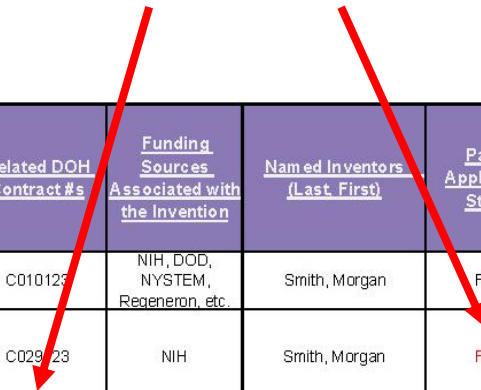
**No Activity/ Change During This Reporting Period (Activity Report is Identical to the Most Recent Report)**  No Activity/ Change



If there was no activity or change during the reporting period, enter a check mark in this box.

# Intellectual Property Activity Report Form Page 3

Use **RED** text to signify activity since last report.



Invention Report Title	Date Disclosure Received	Edison Invention Report (ERI) Number	Related DOH Contract #s	Funding Sources Associated with the Invention	Named Inventors (Last, First)	Patent Application Status	Patent Application #	Filing Date	Patent Issue Number	Patent Title	If Licensed, Date of First Commercial Sale or Use
Cellular Method of Investigation	4/1/15	##### ## #####	C010123	NIH, DOD, NYSTEM, Regeneration, etc.	Smith, Morgan	Filed	#### ## Or ## #### ## Or PCT/US#####	5/4/15	###,###,### Or PCT/US#####	Investigations Via Cellular Method	6/10/15
Mitochondrial Intercellular Affects of RDNA Replacement with RD-40	10/22/14	123456-12-1234	C029 23	NIH	Smith, Morgan	Filed	61/123,123	7/22/15	N/A	N/A	N/A
RD-40 Used as Follicle Coloring Agent	11/22/14	123456-12-5678	C029123	NIH	Smith, Morgan	None Filed	N/A	N/A	N/A	N/A	N/A

# Intellectual Property Activity Report Form Page 2

Complete Page 2 in its entirety.

NEW YORK STATE Department of Health Wadsworth Center  
Intellectual Property Activity Report

Date of Submission		
Reporting period	Jan. 1, through June 30, <small>Choose</small>	July 1, through Dec. 31, <small>Choose</small>
Due Date	July 31, <small>Choose</small>	January 31, <small>Choose</small>
<b>Organizational Official Responsible for this Report</b>		
Name		
Title		
Institution Name		
Address (Street, City, State, Zip)		
Telephone		
Fax		
Email		
Web site		
No Activity/ Change During This Reporting Period (Activity Report is identical to the Most Recent Report)		<input type="checkbox"/> No Activity/ Change

Date of Submission	July 28, 2015	
Reporting period	Jan. 1, through June 30, 2015 <small>Choose</small>	July 1, through Dec. 31, <small>Choose</small>
Due Date	July 31, 2015 <small>Choose</small>	January 31, <small>Choose</small>
<b>Organizational Official Responsible for this Report</b>		
Name	Smith, Morgan	
Title	Example	
Institution Name	Example Institution	
Address (Street, City, State, Zip)	123 Any Street, Your City, New York 12210	
Telephone	(555) 867-5309	
Fax	(555) 968-3825	
Email	nomailtoday@gmail.com	
Web site	www.website.com	

Use these dropdown boxes to select the correct reporting period.



# Intellectual Property Activity Report Form Page 3

Report all activity for each listed contract.

Contract Number	Program Type	Funding Mechanism	Status	Contract Start Date	Contract End Date	No Cost Extension	NCE End Date	Project Title	Principal Investigator	Co-Principal Investigator
C011111	NYSTEM	Launch	Closed	4/1/2008	3/31/2009	Yes	3/31/2010	Research of the Effect Research has on Stem Cells	Mouse, Mickey T.	Duck, Daisy
C022222	SCIRB	Institutional Support	Closed	10/1/2013	2/28/2014	No		Preclinical model for spinal cord injury	Fudd, Eimer	Leghorn, Foghorn
C033333	HRSB	Generic II	Active	10/1/2014	2/28/2015	No		Scientific Study of the Study of Science and How it Effects Scientific Studies	Martian, Marvin	Yosemite, Samuel
C044444	NYSTEM	Consortia	Active	12/1/2014	8/31/2015	No		Genetic Markers Drawn On Pluripotent Stem Cells	Duck, Daisy	None

## Intellectual Property Activity Report

<u>Invention Report Tracking #</u>	<u>Invention Report Title</u>	<u>Date Disclosure Received</u>	<u>Edison Invention Report (ERI) Number</u>	<u>Related DOH Contract #s</u>	<u>Funding Sources Associated with the Invention</u>	<u>Named Inventors (Last, First)</u>	<u>Patent Application Status</u>	<u>Patent Application #</u>	<u>Filing Date</u>	<u>Patent Issue Number</u>	<u>Patent Title</u>	<u>If Licensed, Date of First Commercial Sale or Use</u>	<u>Licensee</u>	<u>Gross Income</u>
Example	Cellular Method of Investigation	4/1/15	#####	C010123	NIH, DOD, NYSTEM, Regeneration, etc.	Smith, Morgan	Filed	##### Or ##### Or PCT/US#####	5/4/15	##### Or PCT/US#####	Investigations Via Cellular Method	6/10/15	Company Name	\$ 19.95

# Intellectual Property Activity Report Form Page 4

A glossary of terms used in the report is included for reference.

## Intellectual Property Activity Report

### Glossary of Terms Used in the Report

**Invention Report Tracking Number-** The number of the invention as it appears in the Grantee/Contractors employee's Invention Report.

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**Invention Report Title -** The title of the invention as it appears in the Grantee/Contractors employee's Invention Disclosure/Report.

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**Date Disclosure Received-** The date the Invention Disclosure is filed to the organization.

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**iEdison Invention Report (EIR) Number-** The number automatically generated by the iEdison system for a new Invention Report.

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**Related DOH Contract Numbers-** The related NYSTEM, SCIRB, or HRSB contract number assigned by the NYS Department of Health.

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**Funding Sources Associated with the Invention-**The federal agency, private entity, or state agency (NYSTEM, SCIRB, HRSB) that made an award used to support the conception of the invention.

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**Named Inventors (Last, First)-** Name(s) of personnel associated with the invention disclosure.

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**Patent Application Status-** The drop down menu offers the options described below.

- **Filed-** Refers to an application of either a non-provisional or Patent Cooperation Treaty (PCT) patent.
- **In Prosecution-** Designates that a non-provisional or PCT patent is currently being Examined.



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# Summary Reporting Instructions

- Update the last report by recording any changes in **RED** text.
- If there was no activity on any contract since the last report, update the information on Page 1 and enter a check mark in the box at the bottom of the page.
- Save a copy of the completed form for your records.
- Email the complete form and back up documentation to the most relevant EGA email address by the due date.

# NYS DEPARTMENT OF HEALTH EXTRAMURAL GRANTS ADMINISTRATION SPECIFIC QUESTIONS?

Contact us at:

[HRSB@health.ny.gov](mailto:HRSB@health.ny.gov)

[NYSTEM@health.ny.gov](mailto:NYSTEM@health.ny.gov)

[SCIRB@health.ny.gov](mailto:SCIRB@health.ny.gov)

or

(518) 474-7002



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