

Next Generation Lighting Industry Alliance

A world map where the landmasses are represented by a dense pattern of small, glowing yellow and white dots, resembling city lights at night. The map is set against a dark blue background that transitions to a lighter blue at the top and bottom.

Todd Graves
Feb 3, 2005

Next Generation Lighting Industry Alliance

An alliance of for-profit corporations formed to accelerate Solid State Lighting (SSL) development and commercialization through government-industry partnership

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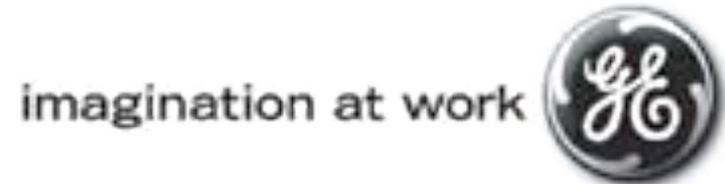
3M



Kodak



CORNING



PHILIPS

LUMILEDS™
LIGHT FROM SILICON VALLEY

Dow Corning

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Membership

Private, for profit firms

Substantially active in solid state lighting research, development, infrastructure, and manufacturing in the United States

Signatories to the Alliance Collaboration Agreement

Sharing in the costs of the Alliance

The Board of Directors determines the qualifications of candidate firms

The Board of Directors is comprised of one voting representative from each member company

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Structure

- Separate from, but managed by NEMA; no NEMA membership required
- All member companies have one vote on the Board of Directors
- BOD annually elects Chair and Vice Chair
 - Chair: Dale Work – Philips
 - Vice Chair: Todd Graves – GE
- Annual dues set to cover public advocacy expenses + NEMA administrative & coordination expenses
 - divided equally among member companies

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NEMA

- National trade association of 400 electrical manufacturers representing \$100 billion in domestic shipments
- Activities: Standards, Market Information, Government Advocacy, Product Promotion
- Eight Product Divisions Covering Commercial, Industrial, Medical, Electric Utility, and Consumer Markets
- Lighting Systems Division comprised of Lamp, Ballast, Luminaire, Emergency Lighting, Lighting Controls, and Solid State Lighting Sections



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Our purpose

- Lighting & emerging SSL for-profit corporations need a forum for communication and collaboration:
 - Recognizable body for DOE contact:
 - Government – Industry Collaboration Model
 - Feedback on DOE roadmapping, R&D strategies
 - “reasonable access” to IP generated under DOE R&D
 - Collaborative advocacy for promoting SSL interests to the federal government, with or without an energy bill

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Charter

- Public advocacy on issues related to solid state lighting
- Promotion and support of the Next Generation Lighting Initiative, the state of solid state lighting technology, and DOE's research program in solid state lighting
- Facilitation of communications among members of the Alliance and other firms in the solid state lighting industry and other organizations with a substantial interest in the Next Generation Lighting Initiative

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NGLIA's IP Position

- To make SSL a reality – industry as a whole needs commercially viable access to pre-competitive IP generated under DOE funding
- NGLIA also recognizes the need to give non-profit entities an incentive to develop high impact IP
- DOE's "SECA" (Solid State Energy Conversion Alliance) had similar needs – developed compromise system under "exceptional circumstances" provisions of Bayh-Dole act
- NGLIA supports "SECA" – like approach to IP for SSL R&D
 - Inventors retain rights to IP
 - NGLIA members active in SSL receive first option to negotiate non-exclusive licenses and royalty payments

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DOE's Solicitation of an Industry Partner

- DOE will maintain and enhance the industrially- led, commercialization focus of the SSL Program through utilizing the expertise of the members of an organization of manufacturers in the solid state lighting industry.
- The resulting Memorandum of Agreement will specify the responsibilities of DOE and its partner to support the development and commercialization of SSL technology for the public benefit.

NGLIA Selected as Industry Partner: July 1, 2004

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Objectives of the MOA

Provide a partnership to:

- Support core technology research, development, demonstration & deployment activities targeted to application of SSL technologies.
- Support and enhance the DOE's Solid State Lighting Program.
- Provide the SSL Program a manufacturing and commercialization focus
- Provide technical expertise for proposal and project reviews.
- Accelerate the implementation of SSL technologies through:
 - communication of SSL program accomplishments
 - encouraging development of metrics, codes and standards
- Stimulate implementation of SSL technologies through efforts to promote demonstrations of SSL technologies for general lighting applications.

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MOA Collaborative Activities

Collaboration may include, but is not limited to, the following forms of joint activities:

- Conducting workshops on SSL technology and annual program reviews for DOE SSL projects. These will be open to the public.
- At DOE's discretion, participating in proposal reviews and project reviews for the Core Technology Program
- Encouraging the development of metrics, codes, standards for measurement and utilization of SSL products for general illumination, and criteria for voluntary DOE deployment programs
- Planning and promoting demonstrations of SSL technologies in general illumination applications.

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DOE's Responsibilities under the MOA

Identify a point of contact to function as the interface between the SSL Program and the NGLIA

Maintain a log of Core Technology projects and their selection dates

Arrange to provide the NGLIA with SSL Program- and project-related releasable information in accordance with the MOA

Provide the NGLIA with information regarding patents and other intellectual property available for licensing from SSL Core Technology projects

Notify the NGLIA when DOE announces funding opportunities available to its membership and the public for SSL technologies

Participate in planning of SSL demonstrations by the NGLIA

Create criteria for market conditioning programs, such as Energy Star.

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NGLIA's Responsibilities under the MOA

- Identify a point of contact to function as the interface between the SSL Program and the NGLIA
- Maintain a membership log with the dates of each company's membership.
- Provide a membership including a significant portion of the United States manufacturing base of SSL products for general lighting applications that will:
 - Organize and support technical meetings and workshops related to SSL
 - Review SSL Core Technology Program proposals, participate in SSL project review meetings, and provide recommendations on the direction of research, development, and demonstration of SSL technologies for general illumination.
 - Encourage efforts to develop metrics and standards
 - Recommend, develop, and technically and financially support demonstrations
 - Safeguard any business, programmatically or technically sensitive information provided under the terms of this MOA.

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IP Provisions of the MOA

- DOE will use its best efforts to require each Core Technology awardee to enter into negotiations with NGLIA members, leading to non-exclusive licensing of patented subject inventions made under its DOE agreement.
- DOE will seek to execute a determination of exceptional circumstances under the Bayh-Dole Act for domestic nonprofit and small business participants in the Core Technology Program.
- In the Core Technology Program, DOE will seek to include comparable provisions in any patent waivers granted to entities such as large businesses that do not qualify for a statutory patent waiver under the Bayh-Dole Act.
- DOE will endeavor to ensure that information is provided to the NGLIA concerning inventions and other intellectual property developed by SSL Core Technology Program participants.

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IP Provisions of the MOA

Individual companies will receive IP rights commencing on the date they become a member of the NGLIA.

An individual company will be entitled to the licensing benefits for projects that have been selected for award after the time the company's membership becomes effective.

If an individual company discontinues its membership, it will receive licensing benefits only for patent applications filed at the time when the company's membership ends.

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How can you join, or find out more?

Contact any of the following:

Kyle Pitsor at NEMA:

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Todd Graves at GE :

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Dale Work at Philips:

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(202) 962-8547

The NGLIA is actively seeking to expand its membership to include all qualifying firms active in SSL R&D