



1. Background

The International Project on Innovative Nuclear Reactors and Fuel Cycles (INPRO) was launched in 2000, on the basis of resolution GC(44)/RES/21 of the International Atomic Energy Agency (IAEA) General Conference. INPRO's objectives are to help ensure that nuclear energy is available in the 21st century in a sustainable manner. Moreover, INPRO seeks to bring together all interested Member States, including technology holders and users, to jointly consider actions to achieve desired innovations.

Four tasks are reflected in the INPRO Action Plan for 2014–2015, as endorsed by the INPRO Steering Committee: Task 1: Global Scenarios; Task 2: Innovations; Task 3: Sustainability Assessment and Strategies; and Task 4: Policy and Dialogue. This Dialogue Forum is being organized within the framework of INPRO Tasks 2 and 4.

Additional details on the INPRO project are available at the INPRO website: www.iaea.org/INPRO.

Various collaboration mechanisms — established on a national level, on bilateral and multilateral bases, and internationally — have been employed worldwide, particularly in the nuclear field. Effective collaboration in the area of developing future sustainable nuclear energy systems (NESs) offers many advantages. Further enhancing collaboration using the best worldwide practices will help IAEA Member States (including INPRO Members) foster collaboration on sustainable NESs, innovations and related research and development (R&D); contribute to sharing experience in R&D associated with NESs; increase visibility of technology updates and innovation trends; increase the awareness of decision-makers on the sustainability of existing and future NESs; and nurture new generations of innovative NES developers and users.

The IAEA is in the unique position to accumulate and disseminate experiences and good practices that may help Member States to use various existing collaboration mechanisms or to develop new effective collaboration mechanisms for the development of innovations. In order to support Member States in this area, the following R&D activities are particularly worthwhile: analysis of the needs for enhancing collaboration on innovations in support of establishing globally sustainable NESs; analysis of good practices in the use of various collaboration mechanisms; and analysis of options for enhancing and developing collaboration (in particular, through involvement of INPRO).

A new IAEA publication with the provisional title *Enhancing Collaboration in Innovations to Support Sustainable Nuclear Energy Systems* will be prepared — in cooperation with other IAEA units and IAEA Member States — for publication in 2015. Lessons learned and good practices of establishing collaboration mechanisms in support of R&D and innovations in the nuclear field will be presented in the new publication. The general approach to the development of the report was endorsed by the INPRO Steering Committee at its meeting in May 2013.

A series of activities is planned to share good practices for collaboration on innovations and to prepare the new publication on this subject. A first consultancy meeting was held from 5 to 8 November 2013, and a Technical Meeting took place on 8–11 April 2014. An INPRO Dialogue Forum on International Collaboration on Innovations to Support Globally Sustainable Nuclear Energy Systems is planned for 18–21 November 2014. A survey to collect data on collaboration mechanisms that will be used as case studies in the report is being carried out, and several consultancy meetings are being conducted in 2014 and 2015 to share good practices, collect additional data, finalize the report and prepare it for publication.

The IAEA regularly convenes INPRO Dialogue Forums. These Dialogue Forums offer a platform for technology holders, technology users and other stakeholders to share information, perspectives and knowledge related to sustainable nuclear energy development. The INPRO Dialogue Forums focus on topics and issues relevant to global nuclear energy sustainability in the 21st century, long term nuclear energy strategies and the role of nuclear technology and institutional innovations. Information on the Dialogue Forums may be found at <http://www.iaea.org/INPRO/DFs/index.html>.

2. Activity: INPRO Dialogue Forum on International Collaboration on Innovations to Support Globally Sustainable Nuclear Energy Systems

The INPRO Dialogue Forum on International Collaboration on Innovations to Support Globally Sustainable Nuclear Energy Systems is being held from 18 to 21 November 2014 at the IAEA's Headquarters. Up to one hundred participants are expected. The Dialogue Forum is being organized within the framework of INPRO Task 4 ("Policy and Dialogue") and Task 2 ("Innovations") which is dedicated to the investigation of innovations in selected nuclear energy technologies, related R&D and innovative institutional arrangements to be deployed in the 21st century, and to supporting Member States pursuing those innovations. In particular, the Dialogue Forum is being conducted under activity 2.1 of the INPRO Action Plan for 2014–2015, entitled "Disseminate good practices in enhancing collaboration in innovations to support sustainable nuclear energy systems".

3. Objectives of the Dialogue Forum

The objectives of this Dialogue Forum are as follows:

- To discuss lessons learned, and to share experience and good practices in selected areas related to the establishment of effective collaboration mechanisms in support of innovations and R&D, particularly in the following areas:
 - Driving forces of collaboration on innovations;
 - Intellectual property management within the context of collaboration on innovations;
 - Collaboration between technology users, technology holders and other organizations on the infrastructure and institutional arrangements necessary for the development and deployment of sustainable NESs;
 - How to increase the trust between partners involved in collaboration on innovations to support the development of sustainable NESs;
- To discuss constraints and barriers encountered and ways of overcoming these, in relation to the establishment and performance of collaboration mechanisms;
- To discuss options to enhance collaboration in support of development and deployment of innovative NESs and associated innovative technologies and institutional arrangements; and
- To collect additional data for a new IAEA publication provisionally entitled *Enhancing Collaboration in Innovations to Support Sustainable Nuclear Energy Systems*.

4. Target Participants

This meeting is open to 100 participants from the following Member States: Albania, Algeria, Argentina, Armenia, Australia, Austria, Azerbaijan, Bangladesh, Belarus, Belgium, Brazil, Bulgaria, Cameroon, Canada, Chile, China, Croatia, Cuba, Czech Republic, Denmark, Egypt, Estonia, Finland, France, Georgia, Germany, Ghana, Greece, Hungary, India, Indonesia, Israel, Italy, Japan, Jordan, Kazakhstan, Kenya, Republic of Korea, Kuwait, Kyrgyzstan, Latvia, Lithuania, Malaysia, Mexico, Mongolia, Montenegro, Morocco, Namibia, Netherlands, Nigeria,

Norway, Oman, Pakistan, Philippines, Poland, Portugal, Qatar, Republic of Moldova, Romania, Russian Federation, Saudi Arabia, Serbia, Singapore, Slovakia, Slovenia, South Africa, Spain, Sudan, Sweden, Switzerland, Tajikistan, Thailand, the former Yugoslav Republic of Macedonia, Tunisia, Turkey, Ukraine, United Arab Emirates, United Kingdom, United States of America, Uzbekistan, the Bolivarian Republic of Venezuela, Viet Nam, Zambia, Zimbabwe; as well as from the European Atomic Forum (FORATOM), the European Commission, the European Organization for Nuclear Research (CERN), the European Nuclear Education Network Association (ENEN Association), the European Commission's Joint Research Centre (JRC), the Generation IV International Forum (GIF), the International Framework for Nuclear Energy Cooperation (IFNEC), the International Science and Technology Center (ISTC), the ITER Organization, the Sustainable Nuclear Energy Technology Platform (SNETP), the OECD's Multinational Design Evaluation Programme (MDEP), the Nuclear Energy Agency of the Organisation for Economic Co-operation and Development (OECD/NEA), the Western European Nuclear Regulators Association (WENRA), the World Association of Nuclear Operators (WANO), the World Institute for Nuclear Security (WINS), the World Intellectual Property Organization (WIPO), and the World Nuclear Association (WNA).

Potential attendees and relevant organizations would include:

- All major stakeholders in the development and deployment of sustainable NESs;
- Decision-makers and senior managers responsible for organization of R&D in support of innovative and sustainable NESs;
- Managers and specialists involved in establishing or improving various collaboration mechanisms, either nationally, or on multilateral basis, or through international initiatives;
- Managers and professionals carrying out innovative projects and R&D in the nuclear field;
- Managers and professionals from countries operating, establishing or expanding nuclear power programmes (including representatives of various governmental agencies, ministries and corporations, nuclear energy programme implementing organizations, owner and operating organizations, regulatory bodies, R&D and technical support organizations (TSOs), academia, and educational and training organizations);
- Managers and specialists involved in the development or operation of research centres and scientific user facilities;
- Representatives of the nuclear industry and educational system, involved in the organization of partnerships between the industry and universities;
- Managers and specialists involved in finding and implementing innovative solutions for the development of infrastructure of NESs and nuclear power programmes;
- Professionals in the field of innovation management;
- Managers and specialists involved in the establishment of knowledge management systems;
- Managers and specialists involved in intellectual property management within collaboration on innovations; and
- Representatives of national and international organizations that establish policies and programmes in areas related to innovations in nuclear field; particularly, in the area of NESs.

All persons wishing to participate in the Dialogue Forum are required to complete the attached Participation Form. Designations by a formal letter with the completed Participation Form attached should be submitted to the IAEA through the established official channels (e.g. Ministry of Foreign Affairs or National Atomic Energy Authority; or by an organization invited to participate), indicating as a reference number: **I4-TM-47674**. Designations should be submitted for the attention of the Scientific Secretary of the Dialogue Forum, Mr Alexey Grigoriev (please see contact details in Section 10 below). The full names and complete contact details (including postal address, telephone/fax numbers, and email address) of designated participants should be provided. The

designations with the completed Participation Forms attached should reach the IAEA not later than **8 September 2014**. They should be sent to the Scientific Secretary of the Dialogue Forum by email to: A.Grigoriev@iaea.org with a copy to: J.Golubovic@iaea.org.

The Dialogue Forum is, in principle, open to all officially designated persons. The IAEA, however, reserves the right to limit participation should this become necessary due to limitations imposed by the available seating capacity. It is therefore recommended that interested persons take the necessary steps to obtain their official designation as early as possible.

5. Scope, Format and Topics of the Dialogue Forum

5.1. Scope and Format

The Dialogue Forum will consist of:

- An opening plenary session (18 November 2014);
- Four topic-specific sessions (18–20 November 2014);
- Question & answer and discussion sessions (18–21 November 2014);
- Break-out sessions in small groups (19 and 20 November 2014); and
- A closing plenary session, including final discussion and recommendations (21 November 2014).

The Chairpersons of the Dialogue Forum (for panel and break-out sessions) will be appointed later. The recommendations from the Chairpersons will be presented and discussed at the final plenary session of the Dialogue Forum together with any additional recommendations provided by other participants.

5.2. Topics for Keynote Speeches, Presentations and Discussions

Four major topics related to the establishment of effective collaboration mechanisms in support of innovations, R&D and development of innovative sustainable NESs will be addressed at the Dialogue Forum. These four topics are as follows:

1. Driving forces of collaboration on innovations.

For example (however, not necessarily limited to these):

- Driving forces associated with the needs to collaborate on innovative technologies, environmental management, safety, nuclear security, proliferation resistance, waste management, infrastructure, economics, decrease of fuel cycle cost, security of fuel supply;
- Examples of successful comprehensive nuclear technology development when the required levels of effort and knowledge were available only through the collaboration of many specialized parties from various countries;
- Achieving an enhanced understanding of the future national, regional and global development scenarios by both technology holders and technology users through collaborative work;
- Sharing resources and risks through collaboration, and reducing individual costs and risks;
- Examples of reducing the R&D costs through the division of tasks and use of experiences of individual partners;
- Collaboration for the development of the ability to take into account and reduce specific threats to nuclear facilities;

- Collaboration as a tool to develop the ability to create new technologies tailored to specific local needs;
- Political driving forces;
- Driving forces associated with the development of human resources and capacity building for future sustainable NESs;
- Balance of interest among technology holders and technology users;
- Role of the competence of policymakers;
- Motivation for collaboration (e.g. cost savings, improved public acceptance, stronger support for domestic programmes, enhanced assurance for regulators, beneficial outcomes for all parties);
- Examples of the actual impact of the collaboration on the safety and economic performance of NESs;
- Fostering collaboration at regional levels;
- Broadening the scope of research;
- Allowing coordinated/centralized management, including planning, quality assurance and controls of budget;
- Increasing the application by all partners of the highest standards (e.g. in nuclear safety);
- Technology maturity level versus the interest and motivation for collaboration on innovations; and
- Potential impact of commercialization and industrial use on the collaboration in innovations.

2. Intellectual property management within the context of collaboration on innovations.

For example (however, not necessarily limited to these):

- Impact of the intellectual property (IP) aspect on the effectiveness of collaboration;
- IP management approaches/models, general and particularly used in collaboration mechanisms;
- IP policies and rules;
- IP rights and ownership;
- Rules for IP transfer;
- IP protection rules;
- Rules for access rights;
- Rules for IP use;
- Relationships between IP and marketing;
- Challenges, obstacles to overcome, solutions and good practices associated with IP management within the context of collaboration on innovations and technology transfer activities;
- Collaborative innovation and IP: different problems according to the type of stakeholder;
- Documents addressing IP management arrangements within collaboration mechanisms;

- Whether policies for dissemination of information (e.g. on R&D needs identified, or results of collaborative work) and rules for disclosure of information have been defined and are helpful?;
- Examples of rules and agreements for commercialization of collaborative project results;
- Confidentiality and IP protection versus transparency and safety;
- Whether IP can be used as a lever to accelerate collaborative work instead of acting as a barrier; and
- The growing international dimension of IP management.

For the Dialogue Forum breakout sessions planned on the topic ‘Intellectual property management within the context of collaboration on innovations’, the following subjects will be considered:

- Specificity of IP management within the context of collaboration on innovations in the nuclear field;
- How to handle IP background and foreground;
- Prerequisites for successful management of IP, including:
 - Legal and organizational infrastructure;
 - Adequate funding;
 - Human capital;
 - Specialized IP tools (including databases and other software tools);
- Harvesting and incentivization systems;
- Technology transfer contracts and licensing, and extracting value of IP;
- Collaboration vs. competition, and related IP issues; and
- IP infringements: enforcement and prevention.

3. Collaboration between technology users, technology holders and other organizations on the infrastructure and institutional arrangements necessary for the development and deployment of sustainable nuclear energy systems.

For example (however, not necessarily limited to these):

- Collaboration of technology users with technology holders at the stage of forming national strategies with due consideration of the development of sustainable NESs as a prerequisite for quality national energy policies;
- Expectations of technology users with regard to the collaboration;
- Expectations of technology holders with regard to the collaboration;
- Measures to encourage technology holders to provide favourable conditions for technology users to participate in innovative research activities;
- Potential for and practices of the collaboration on regional energy planning studies to achieve sustainable regional NESs, in cooperation with representatives/experts from different countries (not only neighbouring countries from the same region) and technology holders;
- Potential for and practices of creating and sharing databases containing descriptions (as provided by the data owner) of innovative technologies as well as main (indicative) technical and economical characteristics;

- Examples of the establishment of coalitions and partnerships between the industry, business, R&D organizations and universities in support of innovations in the nuclear field;
- Practices of collaboration helping to understand sustainability and sustainable NESs, innovative designs, timeframe of their possible availability, especially at the level of decision-makers;
- Examples of effective collaboration between technology users and technology holders at the stages of a pre-feasibility study and feasibility study;
- The role of the national TSO of a technology user country in achieving success in collaboration on innovations;
- Positive examples of collaboration between technology holders and technology users in first-of-a-kind nuclear facility projects;
- Importance of collaboration between technology holders and technology users on the adaptation of a new technology for specific needs of the end-user (e.g. in the area of nuclear cogeneration technology, which requires participation of the receiver of heat);
- Practices of collaboration aimed at the development of human resources, education and training for future sustainable NESs;
- Examples of educational programmes addressing competencies required for the development and deployment of sustainable NESs;
- Computerized tools for the collaborative work within educational and training activities in support of the establishment of sustainable nuclear power programmes;
- Regional and international arrangements and innovative collaboration approaches to reduce the effort to establish and maintain a nuclear infrastructure;
- Examples of the intergovernmental agreements that have proactively supported collaboration on innovations between technology holders and technology users;
- Innovative approaches and techniques for stakeholder management and public acceptance, and subsequent needs for collaboration;
- Examples of effective collaboration helping to define and achieve reasonable scale of the involvement of national R&D organizations, national industry and other organizations;
- Reimbursement for the shared use of research and test facilities, and options for the provision of financing for the collaborative work;
- Motivation of the owners of research facilities (including the interest in joint undertaking of certain technical projects);
- Establishing knowledge and innovation communities;
- Establishing educational programmes for Master's degrees in innovation;
- Innovative approaches to the collaboration of regulatory bodies;
- Innovative solutions and practices in regulatory activities in support of achieving sustainability of an NES;
- Proactive partnership of the regulatory body with other stakeholders within a nuclear power programme; and associated practical helpful mechanisms of collaboration;
- Particular innovative measures that a designer, the State and the regulator body may take to reduce the necessary effort to establish and maintain a nuclear infrastructure;
- Practical measures that can be employed by the technology supplier and user country, (including the country's regulatory body) for the harmonization of licensing;

- Potential impact of export control and non-proliferation issues on collaboration and particularly on the transfer of technology;
- Collaboration in support of establishing knowledge management systems assisting the development and deployment of innovative sustainable NESs; and
- Role of international organizations and other international initiatives in the development and deployment of sustainable NESs, and recommendations on improvement of international cooperation in nuclear innovative technologies and infrastructure aspects.

4. How to increase the trust between partners involved in collaboration on innovations to support the development of sustainable nuclear energy systems.

For example (however, not necessarily limited to these):

- Measures to increase mutual trust within various collaborative projects in the nuclear field;
- Importance of full transparency and fair access to information;
- Examples of positive governmental and political support for collaboration on innovations that resulted in the increase of trust between partners;
- Experience and lessons learned regarding the achievement of trust between the government, decision and policymakers, R&D sector and academia, industry, private sector and investors within the framework of large/long-term innovative technology projects;
- Achievement of a ‘win-win’ situation between the parties involved, and mutual benefits in partnership;
- Potential tension between organizational self-interest and a collective interest to achieve collaboration goals and maintain accountability to collaborative partners and their stakeholders;
- Impact of commercial interests;
- Key core relationships: trust, reciprocity and reputation;
- Norms of reciprocity and trust in collaboration;
- Reasons and willingness to bear disproportional costs (e.g. initial investments);
- Trust as a central component of collaboration reducing complexity and transaction costs;
- Potential impact of the differences in the licensing approaches and procedures employed by the partners involved in collaboration;
- Definition of clear principles of cooperation, responsibilities and communication channels between the participants;
- Examples of good practices in establishing effective communication among the partners in collaborative work;
- Development of modern methods specific to the public–private partnership in order to increase financial support for the application of new technologies;
- Potential impact of restrictions within collaborations (e.g. concerning IP) on the mutual trust; and
- The role of considered management (including planning, project arrangements, defined roles, financing mechanism and terms of payments if any, defined

deliverables, defined IP rules, project management, including monitoring of activities and deliverables, etc.) in increasing motivation and trust.

Although all four topics are of interest and are important, significant time at the Dialogue Forum will be devoted to presentations and discussions on the topic “Intellectual property management within the context of collaboration on innovations”, and this topic will be especially focused on.

5.3. Keynote Speakers, Presenters and Submission of Material

5.3.1. The vast majority of presentations at the Dialogue Forum will be given by the invited keynote speakers. Each keynote speech (presentation) will be in the range of twenty (20) to fifty (50) minutes depending upon the particular subject and agreement with the keynote speaker. The keynote speakers invited by the IAEA will include experienced managers and specialists from governmental agencies; nuclear corporations; operating organizations; regulatory bodies; international organizations; R&D and educational organizations; research centres; representatives of various initiatives, platforms and networks; and private companies. The Scientific Secretary will contact the invited keynote speakers to agree on the topic(s) and content of their presentations.

5.3.2. A limited number of presentations selected by the IAEA will be given by other participants. The duration of each of these presentations will be restricted to ten (10) minutes. The IAEA reserves the right to select presentations for the Dialogue Forum programme from the presentations proposed by the participants (based on the proposed subject(s) and content). The participants of the Dialogue Forum are encouraged to consider what valuable experiences and practices they can share with others and to propose presentations accordingly.

5.3.3. Additional time will be allocated for question and answer (Q&A) sessions and discussions. All participants are requested to prepare for these Q&A sessions and discussions, thinking in advance about related experiences, lessons learned, challenges and unresolved problems, measures and solutions to overcome these problems, and recommendations.

5.3.4. The completed Participation Form must be received by the IAEA not later than **8 September 2014**.

5.3.5. When completing the Participation Form please indicate whether you are planning to give a presentation, state the topic(s) that would be addressed in your presentation, and provide a brief explanation (about 5 to 7 lines) of the content of the proposed presentation.

5.3.6. The Scientific Secretary may contact the presenters to discuss the content of the presentations. Also, in accordance with the IAEA’s policy, all presentations and other files should be uploaded on a computer used at a meeting room in advance. Therefore, the presentations and any other supplementary files should be sent to the Scientific Secretary by email not later than **3 November 2014** (Microsoft PowerPoint files are preferable, although PDF format may be used too). When submitting the files electronically, please note that the size of a message should not exceed 5 MB.

6. Venue and Dates

The Dialogue Forum will be held at the IAEA’s Headquarters, specifically in Room M3 of the M Building at the Vienna International Centre (VIC), Vienna, Austria, from 18 to 21 November 2014.

Break-out sessions on 19 and 20 November 2014 will be held in Rooms M3, MOE100, MOE10 and MOE27.

7. Working Language

The working language of the Dialogue Forum will be English. All communications must be sent to the IAEA in English.

8. Visas

Designated participants who require a visa to enter Austria should submit the necessary application to the nearest diplomatic or consular representative of Austria. Since Austria is a Schengen State, persons requiring a visa will have to apply for a Schengen visa. In States where Austria has no diplomatic mission, visas can be obtained from the consular authority of a Schengen Partner State representing Austria in the country in question.

9. Programmatic Context

The activity is being implemented under INPRO Task 2, Activity 1.1.4.1/2 and Task 4, Activity 1.1.1/4 of the IAEA's Programme and Budget for 2014–2015.

10. Organization

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11. Key Deadlines

Designation of a participant (through a formal letter with the Participation Form attached):	8 September 2014
Notification of acceptance and dispatching of the invitation letters:	10 October 2014
Dispatching of provisional agenda:	21 October 2014
Receipt of the participants' selected presentations:	3 November 2014

PARTICIPATION FORM

INPRO DIALOGUE FORUM ON INTERNATIONAL COLLABORATION ON INNOVATIONS TO SUPPORT GLOBALLY SUSTAINABLE NUCLEAR ENERGY SYSTEMS

IAEA Headquarters, Vienna, Austria
18–21 November 2014

This form should be filled in ONLY electronically (i.e. NOT by hand). Please send the completed form, indicating as a reference number: I4-TM-47674, to:

Mr Alexey Grigoriev, INPRO Section, Division of Nuclear Power, International Atomic Energy Agency
Vienna International Centre, PO Box 100, 1400 Vienna, Austria
Tel.: + 43 1 2600 24235, Fax: + 43 1 2600 7
Email: A.Grigoriev@iaea.org
with a copy to J.Golubovic@iaea.org

Deadline for receipt by IAEA through official channels: 8 September 2014

Family Name:	
Given Name(s):	Mr/Ms:
Title (position):	
Institution/Organization/Company:	
Nationality:	
Full Mailing Address:	
Tel.:	Fax:
Email:	
I intend to deliver a presentation <input type="checkbox"/> No <input type="checkbox"/> Yes	
I intend to address in my presentation the following topic(s):	
<input type="checkbox"/> Driving forces of collaboration on innovations	
<input type="checkbox"/> Intellectual property management within the context of collaboration on innovations	
<input type="checkbox"/> Collaboration between technology users, technology holders and other organizations on the infrastructure and institutional arrangements necessary for the development and deployment of sustainable nuclear energy systems	
<input type="checkbox"/> How to increase the trust between partners involved in collaboration on innovations to support the development of sustainable nuclear energy systems	
Title of the proposed presentation:	
Explanation of the content of the proposed presentation (5 to 7 lines):	
Date:	