

Invention Disclosure Form - Confidential

Instructions

Completion of an Invention Disclosure Form should be considered upon the conception or development of something new and valuable.

- This particular Invention Disclosure Form was designed to organize information about the invention in a way that will greatly assist the inventors, evaluators of the invention, and associated patent attorneys.
- For the benefit of those unfamiliar with the invention, all requested information should be explained clearly.
- Feel free to complete this Form manually or electronically.
- If a question does not apply, please write “NA.”
- Feel free to add spaces, table rows, or sheets as needed.
- If any unusual terms are used, or ordinary terms in an unusual way, please explain those terms.
- To protect the invention, it can be essential that its facts be provable. Thus, all original drawings, notebooks, data, samples, records, etc., no matter how simple, should be dated, signed by the inventor(s), properly witnessed, and carefully preserved.
- Please provide any helpful graphical information (drawings, rough artwork, sketches, flow charts, structural formulas, circuit diagrams, photographs, charts, or graphs, etc.). If in a computer format, please attach them in any of the standard formats (PDF, JPG, PowerPoint, etc.).

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Inventor Information

Please complete and submit a copy of this form for each inventor, i.e., **anyone** who contributed to the conception of any invention described herein.

Note that conception occurs when written evidence becomes available showing that an idea of a specific, complete, and operative implementation of the invention was known to any inventor, provided that, using that evidence, a person having ordinary skill in the technical field of that invention could have constructed that implementation without extensive research or experimentation. If that implementation was actually constructed, one who only constructed that implementation and did not conceive it is not treated as an inventor.

- Inventor number: _____ of total number of Inventors: _____
- Name of Inventor & Citizenship:
- Work address:
- Company/Organization:
- Telephone/Fax:
- E-mail:
- Home address:
- Telephone:
- Nature of contribution:
- Approximate relative contribution: _____%
- Has this Inventor been personally involved in patenting any prior invention?
- Was this Inventor's contribution independent of their company/organization?
- Name of Inventor to whom routine communications should be addressed:

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The Invention

Describe the invention in the best way you know how to make and use it.

Overview:

- Provide a short descriptive title for the invention:
- Provide a brief general description the invention: What does it do? How does it do it?
- Please provide a concise summary of the invention. The summary should convey a clear understanding, to the extent known, of the nature, purpose, operation, and the physical, chemical, biological, or electrical characteristics of the invention. The summary should be written to be provided, when required, to sources of funds, such as sponsoring governmental agencies, investors, etc.

Details:

- Describe the particular problem the invention seeks to solve.
- Are there other uses that might be realized in the future?
- What makes the invention different from what has previously existed, even if only in writing?
- Why is the invention better and what makes it better?

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- Which parts are new to the invention (in form or usage), which are old (conventional, used in the expected way)?
- What parts (steps, if a method) make up the invention, in its best (preferred) form?
- What does each part (or step) contribute to the invention?
- In what way do the parts (or steps) interact to make the invention work?
- If possible, use labeled sketches to detail the invention. Be sure all essential parts are shown on the sketch, and try not to include extraneous details. Measurements are not required, unless they are essential to the invention.
- For each part, indicate if the part (or its form, supplier, dimensions, interconnection, or materials) is essential to the invention. In other words, if the part were eliminated or changed, would the remaining device still be the invention, and would it still work?
- What is old or not part of the invention? Has any part of the design been used before, even if for a different purpose? How else has the invention's function been accomplished in the past?
- In addition to describing all the parts, describe how the parts work together.
- Identify why did you did things the way you did them, and not some other way. How else could you have accomplished the same end?

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Actual Reduction to Practice:

- Does the invention work? How do you know?
- Has the invention been tested experimentally? What experimental data is available?
- What must be done prior to implementing the invention?
- What implementations of the invention have been made & tested?
- What invention performance data is available?
- What is the nature of any continuing work on the invention?

Limitations:

- What are possible problems with the invention?
- Under what conditions will the invention not work?
- What (if any) are the critical ranges of size, weight, pressure, etc., for each of the parts of the invention? (e.g., “the lining must be rubber with a durometer of 40 or more”)
- How can those critical ranges be overcome?

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Alternatives

Describe the expected course of related work on the invention, and possible operable variations of the invention. For a **machine or device**, describe alternative structures for performing the significant functions of the machine or device. For a **compound or biological material**, describe operable substitutions, modifications, breadth of substituents, derivatives, salts, etc.

Do not limit these answers to any particular prototype, or to the best way the invention should be built. Instead, use your imagination. How else could the invention work? What are less desirable ways of making the invention work?

- In what ways can any of the invention's parts be eliminated, combined, changed, or equivalent parts substituted?
- In what ways can the function(s) of any parts be eliminated, combined, or changed?
- What is a generic description for each part (e.g., "fastener" instead of "Machine Screw", or "plastic" instead of "polypropylene")?
- What other features or technologies might add value to the invention?
- What can be changed to make the invention work better?
- For what else can the invention be used?

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Software Implementations

Is the invention implemented via software? Yes No

If Yes, please answer the following as completely as possible.

Brief Software Description

- What are the inputs, basic functions, and outputs of the software?
- On what particular hardware does the software run?

Scope of Work

- Has the software been built? If so, where was the software developed? Using whose hardware? Using whose software development tools?
- Was the software invented or developed within the scope of your employment?

Software Developers

- Who were the developers of the software, if different from the inventors?

Software Derivation

- What portions of the software are derived from existing software? What is that existing software? What aspects of that existing software was modified?

Third Party Content

- What third party content is included in the software?

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Patentability

Generally, to be patentable, an invention must be new and non-obvious from the perspective of a person having ordinary skill in the associated technical field, based upon everything available at the time of the invention.

State of the Art: Consider all of the relevant known prior art, i.e., those compositions, devices, and methods that existed (physically or merely described on paper, whether patented or not) before the invention was conceived.

- What is the relevant known prior art to the invention?

- How was each significant function of the invention provided by the known prior art?

- What are the differences between the invention and the known prior art?

- What are the similarities between the invention and the known prior art?

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Resources for Searching

Determining whether to pursue a patent for, or develop the invention, can depend on the results of a patentability, non-infringement, or clearance search.

- Who would be likely to purchase or use the invention?
- In what catalogs, publications, databases, websites, etc., would they likely search to find something that provides the invention's significant function(s)?
- To what extent have you looked in those locations?
- What are the results of any prior art search relating to the invention?
- What publications are you aware of that describe something that provides the invention's significant function(s)?
- What do you consider to be the closest published work (including your own) to the invention?
- What other publications (documents, articles, patents, web pages, etc.) do you consider to be relevant to the invention?

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Novelty

Valid U.S. patents are unavailable for any invention that was patented, described in a printed publication, in public use, or on sale, either:

- (a) by others, before you invented it, or
- (b) by anyone, more than one year before you applied for a patent.

Date of Invention: Under U.S. law, “invention” means a combination of conception (thinking up the idea of the invention) and reduction to practice (building it or applying for a patent on it).

- When was work on the invention begun?

- When and where was the invention conceived?

- When was the invention first described in writing in a lab notebook, computer record, or other form of documentation other than this Invention Disclosure Form?

- Where is that description located?

- When and how was the invention implemented (e.g., experiments, prototype, etc.)?

- What resources or facilities were used in conceiving of or implementing the invention and by what organization were they owned or controlled?



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Disclosures: Any public, non-confidential disclosure of the details of the invention (verbally, in writing, via video, in a live demonstration, on a website, or in any other manner) can trigger, under U.S. law, a one-year period within which a patent application must be filed in order to maintain U.S. patent rights. Making such a disclosure prior to filing the US patent application can forfeit most foreign patent rights.

Describe each disclosure of the invention:

	How Disclosed?	Secret?	When?	Who?	Where?
1	Discussion/Conversation				
2	Lecture/ Talk/Presentation				
3	Demonstration				
4	Internet/web posting				
5	E-mail				
6	Abstract				
7	Poster				
8	Paper				
9	Thesis/Dissertation shelved				
10	News story				
11	Multi-media				
12	Video				
13	Provision of Sample or Material				
14	Other:				
15	Other:				
16	Other:				

- Provide details and copy of any above-listed disclosure made **under a written confidentiality agreement**. Provide copy of agreement.

- Provide details and copy of any above-listed disclosure made **without a written confidentiality agreement**.

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- Who outside of your organization has received any new materials (samples, compounds, DNA, cell lines, vectors, catalysts, alloys, etc) related to this invention? Where? When?
- What publication or other disclosure of the invention is planned in the next 6 months? Please enclose copy of planned disclosure (drafts, galleys, proofs, abstracts, etc.)
- What changes have been made to the invention since it was publicly disclosed?

Public Use:

- Has the invention ever been shown or used in public?
- If so, where and when?

Sale:

- Has the invention been used commercially, sold, offered for sale, or consumer-tested?
- If so, where and when?

Prior Filings:

- Has anyone filed a Disclosure Document or Provisional Patent Application on this invention, or has there been an application for patent filed in the USA or elsewhere?
 - Type of Filing:
 - Date of Filing:
 - Serial Number:
 - Where filed:

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Non-Obviousness (Inventiveness)

- What new structural feature(s), new function(s), or unpredictable result(s) or benefit(s) does the invention provide?

- What evidence can you provide that tends to show that:
 1. the invention is the recognition of a problem not recognized by others?

 2. the invention solves a long-felt but unresolved need?

 3. the invention succeeded where others failed?

 4. experts have expressed skepticism of the invention?

 5. others are discouraged from taking the approach the invention follows?

 6. competitors or others have praised the invention?

 7. the invention involves the discovery of unexpected results or benefits?

 8. others have tried and failed to design around the invention?

 9. others have copied the invention? and/or

 10. others have taken a license to the invention?



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Third Party Rights

Other Inventors:

- Who else contributed to the conception the invention?
- What was their contribution?
- What is their contact information?

Employers:

- Was the invention developed in the course of your employment?
- Was the invention developed using any facilities belonging to your employer?
- Have you agreed to assign any inventions you may make to your employer?

Sponsors:

- Was there any funding of the development of the invention by any party (government agency, school, etc.) who might claim rights in the invention?
- List all sources (federal, state, corporate, foundation, other) of funds supporting the conception and/or reduction to practice of the invention. This list should include funds used to support inventors during the period of inventive work as well as to purchase supplies and services.

Funding Source

Grant/Agreement #

Contact Person & Info

- Please attach copy of the relevant invention sections of each grant or agreement.
- Of those federal funding sources identified above (if any), indicate the federal funding source(s) that provided the **primary** source of funds for the invention. A grant, contract, or cooperative agreement is a primary source of funds if the invention was conceived or reduced to practice in the performance of work sponsored by the federal

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funding agreement. If you list more than one federal funding source, indicate the source you consider to be the lead funding source.

Funding Source Grant/Agreement # Contact Person & Info

- Identify any projects and/or other inventions related to this invention.
- If funded by an external sponsor, has the sponsor been notified of the invention, either directly, in a progress or other report, or in an application for additional funds (date, sponsor, method of disclosure)?

Other Organizations:

- Are you under any obligation to assign any rights in the invention to others?
- Identify any other agreement that you believe may grant a right of any sort in the invention to a company or other non-governmental party (material transfer agreements, commercially sponsored research agreements, consortia agreements, consulting agreements, confidentiality agreements, etc.). If none check here _____.
- During your work on the invention, were you employed by any organization or entity that might have a right to the invention? ____ Yes ____ No
If yes, please explain.
- Did you use proprietary materials owned by another organization to make the invention? (Examples of proprietary materials: confidential information; biological materials such as cell lines, transgenic animals, vectors, or genetic sequences; chemical compounds; and software or computer source code).

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- Was the invention developed in the course of a consulting agreement with someone else? If so, did you agree that any inventions belong to them?
- Were any materials, equipment, or software used in conceiving or implementing the invention provided under a Special Agreement, such as Material Transfer agreements, purchase agreements, sponsored research agreements, or the like used?
- If yes, please provide the following information for each item and attach a copy of the Agreement.

Source of Materials

Materials

Copy Attached?

- Was any equipment or facilities used in the development of the invention that was funded by or belongs to any government agency?

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Commercial Potential

- What commercial products, processes, or improvements could result from the invention? Include your best guess of market value in dollars.

- What are the advantages provided by the invention in terms of cost savings, speed, efficacy, safety, etc., as compared to existing technology?

- What the technical impact the invention is likely to have on the field of endeavor (i.e., marginal improvement, significant change, revolutionary upheaval, creates new field, etc.) and why?

- What is the degree of technical development of the technology (i.e., theoretical design, prototype, complete product/process, ready for commercial testing/marketing, etc.)?

- What development milestones must be achieved before the invention can be commercialized?

- What companies are now marketing competing technologies, or performing research in this area? Include contact information for individuals who would be good contacts at those companies.

- What commercial firms might be interested in the invention?

- What is your best guess as to the economic potential of the invention if successfully commercialized, in terms of annual revenues?
 under \$10,000 \$10,000 - \$100,000 \$100,000 - \$1,000,000 over \$1,000,000



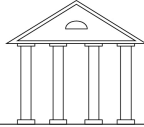
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- If the invention is of a type for which patent(s) may be pursued, do you consider it worthwhile to spend \$10,000 to \$25,000 to obtain a U.S. Patent?
 Yes No (Please indicate the reason(s) for either response)

- Indicate the kind of follow-up you recommend for the invention:
____ Licensing to a company or companies in conjunction with sponsored research funding.
____ Licensing to a company or companies in return for royalties and payments only.
____ Dedication to the public domain without seeking royalties or funding.

- Please list individuals with technical or economic knowledge of the field of the invention who could be asked (under confidentiality agreement) to review, assess, or evaluate the technical or commercial potential of the invention.

Name	Address	Phone (include area code)
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Signatures

Have this completed form witnessed at soon as possible by at least two people who are not co-inventors and who are technically qualified to understand the subject matter included in this form.

Submitting Inventor:

Inventor Name: _____

Signature: _____

Date: _____

Witnesses:

We have read and understand the contents of this confidential Invention Disclosure Form (including all attachments):

Witness Name: _____

Signature: _____

Date: _____

Witness Name: _____

Signature: _____

Date: _____