

For office use only

THE UNIVERSITY OF TENNESSEE INVENTION DISCLOSURE FORM

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1. TITLE OF THE INVENTION.

2. DESCRIBE THE INVENTION BRIEFLY. (If possible, attach a manuscript, a drawing, an abstract, or any other materials that would assist in the understanding of the invention.)

3. CONTRIBUTORS/POSSIBLE INVENTORS. (For a definition of the term "inventor," please refer to the document titled, "Who is an Inventor?," available from your Campus Research Office. All individuals who contributed to the conception of the invention should be listed below, whether or not they are affiliated with The University of Tennessee. Please note that a patent can be rendered invalid by including as an inventor an individual who did not contribute to the conception of the invention. The individual who is named in section A.1. below is designated as the primary contact for additional information and for all correspondence.

A. Contributors whose *primary* affiliation at the time of invention was The University of Tennessee

(1) Name _____ Dr., Mr., or Ms.? _____
Title _____ Dept. _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

(2) Name _____ Dr., Mr., or Ms.? _____
Title _____ Dept. _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

(3) Name _____ Dr., Mr., or Ms.? _____
Title _____ Dept. _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

(4) Name _____ Dr., Mr., or Ms.? _____
Title _____ Dept. _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

(5) Name _____ Dr., Mr., or Ms.? _____
Title _____ Dept. _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

B. Contributors whose primary affiliation at the time of invention was *other than* The University of Tennessee

- (1) Name _____ Dr., Mr., or Ms.? _____
Title _____ Employer _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____
- (2) Name _____ Dr., Mr., or Ms.? _____
Title _____ Employer _____
Work address _____ e-mail _____
Work phone _____ Fax _____ Social Security No. _____

4. LIST ALL SOURCES OF FUNDING OR SPONSORSHIP OF THE WORK WHICH LED TO THE INVENTION.

A. Federal sponsorship

- (1) Agency name _____ Contract or grant no. _____
Principal Investigator _____ Dept. _____
- (2) Agency name _____ Contract or grant no. _____
Principal Investigator _____ Dept. _____

B. Private sponsorship

- (1) Company name _____ Contract or grant no. _____
Principal Investigator _____ Dept. _____
- (2) Company name _____ Contract or grant no. _____
Principal Investigator _____ Dept. _____

C. University sponsorship

- (1) Department _____ Dept. Head _____
- (2) Department _____ Dept. Head _____
- (3) Center or Institute _____ Director _____
- (4) Special program (*e.g., Distinguished Scientist Program or Collaborating Scientist Program*)

- (5) Other _____

D. Other sponsorship

- (1) _____
- (2) _____

E. Did you use any material in the development of this invention that was acquired from a third party and was subject to a Material Transfer Agreement? Yes _____ No _____
If your answer is yes, please attach a copy of each such agreement.

F. During the period of time when this technology was being developed, did any of the contributor(s) receive salary support from the Department of Veterans Affairs ("VA")? Yes _____ No _____
If your answer is yes, please provide (attach) details.
Were any VA funds or facilities used in the course of work which led to this invention? Yes _____ No _____
If your answer is yes, please provide (attach) details.

5. DISCLOSURE. *In order to obtain valid patent protection on an invention in this country, a patent application must be filed with the United States Patent and Trademark Office within one year after the invention is first described in a printed publication anywhere in the world and within one year after the invention is first on sale or in public use in the United States. To preserve patent rights in many foreign countries, a United States patent application must be filed before any public disclosure in any form anywhere in the world and an application must be filed in the foreign country within one year from the U.S. filing date. If these deadlines are not met, the invention is deemed no longer "new" for patent purposes, and therefore not patentable. For additional information, please see, "The Impact of Public Disclosure on Patent Protection," available from your Campus Research Office.*

A. Journals. *Include all manuscripts describing the invention that have been published, those that have been accepted but not yet published, and those that have simply been submitted but not yet accepted or rejected. Also include any manuscripts that you intend to submit within the next six months. In that case, give the best information that you have at the present time. Please note that authors of a manuscript concerning the invention may not necessarily qualify as inventors.*

(1) Name of journal _____
Title of manuscript _____
Author(s) _____
(Anticipated) Dates of submission/acceptance/publication _____

(2) Name of journal _____
Title of manuscript _____
Author(s) _____
(Anticipated) Dates of submission/acceptance/publication _____

B. Conferences. *Include conferences at which any presentation concerning the invention has been made, as well as conferences which have not yet occurred but for which a manuscript or abstract has been submitted. Also include any conferences at which you intend to disclose information concerning the invention within the next six months. In that case, give the best information that you have at the present time.*

(1) Title of conference _____
Date _____ Location _____
Title of abstract or manuscript submitted _____
Is (or was) the abstract or manuscript distributed prior to the conference? _____ If so, when _____

(2) Title of conference _____
Date _____ Location _____
Title of abstract or manuscript submitted _____
Is (or was) the abstract or manuscript distributed prior to the conference? _____ If so, when _____

C. Theses and dissertations. *Include any thesis or dissertation describing the invention that has been submitted to meet the requirements of graduation. Also include any thesis or dissertation that may be submitted within the next twelve months.*

(1) Title of thesis or dissertation _____
Author _____ (Anticipated) Date of graduation _____

(2) Title of thesis or dissertation _____
Author _____ (Anticipated) Date of graduation _____

D. Offer for sale or public use.

(1) Has any embodiment of this invention been offered for sale (i.e., has a "thing" embodying the invention or capable of performing the invention been offered for sale)? _____
If so, when? _____ To whom and under what circumstances? _____

(2) Has any embodiment of this invention been used publicly?

If so, when? _____ Under what circumstances? _____

E. Other.

Has any other disclosure of the invention (written or oral) been made to a third party who is not bound by a written obligation of confidentiality? If so, when? _____ To whom and under what circumstances? _____

6. **WITNESS.** *This individual should be sufficiently knowledgeable in the field to enable him or her to understand the invention; a faculty member or research associate in the same department is usually a good choice if he or she is not listed as a contributor to this invention.*

I have read and understood the foregoing disclosure.

Signature Title Date

7. **ALLOCATION OF RIGHTS IN THE INVENTION.** *(This section applies only to those contributors who are subject to The University of Tennessee's Policy on Patents, Copyrights, and Other Intellectual Property. The rights of any contributors who are not subject to such policy will be addressed separately as appropriate under the circumstances.)*

A. **Rights of The University of Tennessee.** *The University of Tennessee does not claim rights in inventions that are not developed in performing the duties of employment by the University or with substantial use of University funds or facilities. That determination is made on an individual basis with regard to each contributor. To assist in that determination, each University contributor should sign either in the "Yes" or the "No" column below. If your answer is "No," please attach a separate sheet of paper explaining the reasons for your position.*

YES

In my opinion, my contribution to this invention was made in performing the duties of employment by the University or through the substantial use of facilities or funds provided by the University.

(signature of contributor)

(signature of contributor)

(signature of contributor)

(signature of contributor)

(signature of contributor)

NO

In my opinion, my contribution to this invention was not made in performing the duties of employment by the University or through the substantial use of facilities or funds provided by the University.

(signature of contributor)

(signature of contributor)

(signature of contributor)

(signature of contributor)

(signature of contributor)

B. **Recommendations of Contributor(s):**

(1) It is my (our) recommendation that ownership of primary rights in this invention should remain with/ be assigned to:

___ the sponsoring agency because of contractual obligations.

___ the contributor(s) with recognition of contractual obligations of the University to sponsor(s), if any.

___ UTRF because of possibility of commercial value.

___ other _____

(2) Division of income *(Complete only when the disclosed invention was developed by more than one individual.)*

Contributors agree and request that any income accruing to them as a result of this invention be allocated in the following percentages *(which should total 100%)*:

_____	_____ %	_____ (Date)
_____	_____ %	_____ (Date)
_____	_____ %	_____ (Date)
_____	_____ %	_____ (Date)
_____	_____ %	_____ (Date)

Note: The issue of Division of Income will be revisited in the event that it is determined that some of the named contributors are not inventors or that there are one or more additional inventors not named on this disclosure.

8. **COMMENTS BY DEPARTMENT HEAD:** _____

Signature of Department Head

Date

9. **COMMENTS BY DEAN:** _____

Signature of Dean

Date

10. **COMMENTS BY CAMPUS RESEARCH/ADMINISTRATIVE OFFICER:**

There are ___/ are not ___ contractual restrictions precluding an assignment of this invention by the University to UTRF.

Signature of Campus Research Officer

Date

11. **ACTION TAKEN BY THE UNIVERSITY'S PATENT, COPYRIGHT, AND OTHER INTELLECTUAL PROPERTY COMMITTEE:**

___ Ownership assigned to or to remain with contributor(s)

___ Ownership assigned to UTRF

___ Ownership assigned to sponsor pursuant to contractual obligations

___ Other _____

Signature of Chairman, PCIP Committee

Date