



UNIVERSITY OF MASSACHUSETTS

AMHERST • BOSTON • DARTMOUTH • LOWELL • WORCESTER

CVIP Use Only

Commercial Ventures and Intellectual Property

Central Office:

President's Office, UMass, Attn: Executive Director, CVIP
 225 Franklin Street, 12th Floor
 Boston, MA 02110
 Tel: 617-287-7186
 Fax: 617-287-7044

Amherst Campus Office:

70 Butterfield Terrace, 3rd floor, Attn: Director, CVIP
 Amherst, MA 01003-9242
 Tel: 413-545-3606
 Fax: 413-545-3632

Lowell Campus Office:

Director CVIP, 600 Suffolk Street, 2nd Fl. So.
 Lowell, MA 01854
 Tel: 978-934-2577
 Fax: 978-453-6586

Boston and Dartmouth Campus Office:

President's Office, Licensing Officer, CVIP
 225 Franklin Street, 12th Floor
 Boston, MA 02110
 Tel: 617-287-7109
 Fax: 617-287-7044

Invention Disclosure

UM _____

Received _____

Accepted _____

Case Manager _____

PEC _____

University of Massachusetts
Uniform Invention Disclosure Form
(version 9/21/05)

Investigator's Name & Title

(Please list Principal Investigator first and include all possible inventors)

Department

Institution

(at time invention was made)

1.	Name: Title:	Dept:	Institution:
2.	Name: Title:	Dept:	Institution:
3.	Name: Title:	Dept:	Institution:
4.	Name: Title:	Dept:	Institution:

CONFIDENTIAL

Title of Invention: _____

Please check campus of lead Principal Investigator: Amherst Boston Dartmouth Lowell

To the Investigator(s):

The business of a university is the gathering and dissemination of knowledge. Making an invention and putting it to use in the service of the public is a thoroughly valid mode of accomplishing this objective.

Accordingly, the University encourages the inventive process; and within the limits of financial practicality, can often provide advice and assistance in bringing inventions to the point of public use.

In the sense used here, an “invention” has a presumed commercial use and value. **The following indicates the preferred time to file a disclosure with CVIP.**

- **Disclose to CVIP first, publish later:** Disclosing your invention to CVIP by no means proscribes publication; on the other hand, premature publication can have disastrous consequences, both legal and tactical, upon an effort to commercialize it by precluding the availability of patent protection in most countries.
- **Disclose as soon as the invention is clearly conceptualized:** It is not necessary to wait until the invention is reduced to practice, and filing early may be beneficial, particularly when other groups are filing related patent applications.
- **Consult with CVIP specialists:** CVIP specialists can assist you with such questions as determining inventorship, procedures when more than one institution is involved and protecting patentable inventions from improper public disclosure.

If you think you have made an invention, but you are not sure, then say so in your disclosure. Similarly, if you are uncertain as to whether your invention has commercial merit, say so. CVIP can assist you in making such determinations. This form should be considered as a guide to assist in the invention disclosure procedure as required by the University’s Intellectual Property Policy.

1. BACKGROUND

In order for patent counsel to determine the patentability of this invention, it will be necessary to compare it to existing technology (referred to as “prior art”). This section should provide information to aid in that evaluation. Please identify and provide references to the prior art by patent number or journal article identification.

2. DESCRIPTION OF THE INVENTION

Please describe specifically and in detail what you consider to be the invention, as distinct from the prior art. If you need them, use additional pages, drawings, diagrams, etc. Descriptions may be by references to a separate document (copy of a report, a preprint, excerpt from a grant application, or the like) attached hereto. If you do so, please identify each document positively. Important: where available include a continuation sheet or document showing scientific data in support of the invention claims.

CONFIDENTIAL

3. What are the novel aspects of your invention and how does it improve upon prior art? Does your invention overcome any deficiencies or limitations in the prior art?

CONFIDENTIAL

4. Does there exist an earlier, dated record of the invention's conception--a sketch, report, laboratory notebook entry, or the like-which:

- a.) describes your invention, and b.) can be independently corroborated?**

(Note: This can be important in asserting and defending the claim to patent.)

If so, what is it, and where is it?

5. a. Is this disclosure related to any earlier invention disclosure? If yes, identify and list showing docket number and title.

5. b. Is this disclosure related to any earlier invention disclosure at another institution?

6. What do you see as commercial uses of your invention?

7. What firms do you think may be, or are, commercially interested in this technology; and why?

CONFIDENTIAL

**8. Do you have a relationship, formal or informal, with any of these companies?
What is the nature of the relationship?**

9. What do you see as the greatest impediment to the commercial adoption of your invention?

10. Is further development of your invention now in progress? Scheduled? Dependent on commercial or federal sponsorship?

11. Has any aspect of this invention been published, been presented at a scientific meeting, been discussed with non-UMass individuals, part of a student dissertation or otherwise disseminated?

YES NO

If yes, please identify, list dates and circumstances. (Dates are important. If published, list the date recorded on microfilm or in a library.)

12. Are there any plans to publish or otherwise publicly disseminate any aspect of this invention in the future?

YES NO

CONFIDENTIAL

If yes, please identify and list dates.

13. Are you aware of related developments by other institutions or companies?

YES NO

If yes, please identify.

14. Has the research that led to the invention been sponsored or funded by industry, or funded by a grant from a government agency or private foundation?

YES NO

If yes, you must provide CVIP with information on all funding sources for research that resulted in this invention. A copy of the contract or agreement must be attached. Please note that failure to report a funding source may result in a significant delay in proceeding with this disclosure, or may result in not being able to license the invention.

INDUSTRY OR FOUNDATION SPONSOR

GRANT #

CONTRACT #

(Case Manager's Initials _____) Verified that the grant information shown above is complete as listed with the University's offices of Sponsored Programs and/or Offices of Grants and Contracts.

15. Did the research that led to the invention use any information or materials (e.g., cell lines, DNA, protein, antibodies) provided by another institution or a company?

YES NO

If yes, was a transmittal letter or agreement (e.g., Confidential Disclosure Agreement [CDA] or Materials Transfer Agreement [MTA]), used in connection with receipt of the information or materials?

YES NO

If yes to either, attach a copy of the CDA or MTA, or provide the name of the investigator and address of the company.

CONFIDENTIAL

16. Our technology evaluators or patent attorneys may wish to contact the investigators with questions or to seek clarification. Please identify the primary Investigator Contact:

NAME:

PHONE:

17. Mailing address(es) for each Investigator(s) in order listed on page 1:

Please Note - this must be your LOCAL or your HOME ADDRESS--where you are living now, not your University (i.e., Departmental P.O. Box) address! If you are a citizen of another country, then please indicate which country!

Investigator #1	Investigator #2
<p>Full name:</p> <p>Local or Home street address, city, state, zip code, country:</p> <p>Citizen of which country:</p> <p>Work phone(s):</p> <p>Work FAX :</p> <p>E-mail address:</p> <p>Local or Home phone (where you can be reached when you are not at work):</p>	<p>Full name:</p> <p>Local or Home street address, city, state, zip code, country:</p> <p>Citizen of which country:</p> <p>Work phone(s):</p> <p>Work FAX:</p> <p>E-mail address:</p> <p>Local or Home phone (where you can be reached when you are not at work):</p>

CONFIDENTIAL

Investigator #3	Investigator #4
Full name:	Full name:
Local or Home street address, city, state, zip code, country:	Local or Home street address, city, state, zip code, country:
Citizen of which country:	Citizen of which country:
Work phone(s):	Work phone(s):
Work FAX:	Work FAX:
E-mail address:	E-mail address:
Local or Home phone (where you can be reached when you are not at work):	Local or Home phone (where you can be reached when you are not at work):

17 (continued). Signature(s) of Investigator(s) I/We hereby agree to assign all right, title and interest to the invention described in this Invention Disclosure to the University of Massachusetts and agree to execute all assignment documents requested by CVIP (including a Participation Agreement if I/we have not already executed same) and to cooperate with the University of Massachusetts CVIP in the protection of this invention.

NAME TYPED	SIGNATURE	DATE
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

18. Any other comments you believe are important for the evaluation of this technology.