# **UNIVERSITY OF CONNECTICUT**

###

### OFFICE OF THE VICE PRESIDENT FOR RESEARCH

**TECHNOLOGY COMMERCIALIZATION SERVICES**

#  **INVENTION DISCLOSURE FORM**

The University of Connecticut, as the state’s publicly supported land grant university, has a three-fold mission comprised of teaching, research and service. Making an invention and putting it to use for the benefit of the public is one of many valid ways of contributing to the university’s overall objectives. Accordingly, University of Connecticut encourages the inventive process and, through the Technology Commercialization Services group (TCS) of the Office of the Vice President for Research (OVPR), assists in bringing inventions to the point of public use. As a university employee, you are obligated to promptly disclose your inventions to the university and to assign ownership of inventions to the university.

PLEASE SUBMIT THE COMPLETED DISCLOSURE FORM TO: Technology Commercialization Services, Office of the Vice President for Research, University of Connecticut, 400 Farmington Avenue, MC-6400, Farmington, CT 06030-6400. Please e-mail the completed disclosure form (Word document preferred) to Christine McCluskey at: mccluskey@uchc.edu. Any documentation that cannot be transmitted electronically should be mailed. If you have questions, please call Technology Commercialization Services at (860) 679-3992.

A member of TCS will contact you shortly to discuss your invention and possible courses of action.

**PLEASE NOTE: ALL CONTRIBUTORS must complete and sign the CONTRIBUTOR SIGNATURE PAGE, which may be mailed to TCS after electronic submission of an Invention Disclosure Form.**

# **UNIVERSITY OF CONNECTICUT**

# **INVENTION DISCLOSURE FORM**

**Date Received \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Disclosure No.** \_\_\_\_\_\_\_\_\_

*(For use by TCS Staff) (For use by TCS Staff)*

**(1) TITLE OF THE INVENTION: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. **BRIEF DESCRIPTION OF THE INVENTION (A complete technical description is requested in Section 7):** State concisely what has been invented, i.e., what is to be offered to a company? This may be a product to be sold, an improvement to an already available product, or a process to be used in making a product or providing a service. An attachment should not be used to answer this question.
2. **APPLICATION:** State briefly who the end users would be and how they would use your invention, or if applicable, if there is an end-product that incorporates your invention (Example: scaffold invention suited for use on metal artificial joints used by orthopedic surgeons).
3. **ALTERNATE TECHNOLOGY:** How is the problem that this invention addresses currently solved?
4. **IMPORTANCE and BENEFITS of INVENTION:** State briefly why your invention is important for the end-user compared to what is currently used. (Example: saves time, saves money, reduces costly errors, increases life expectancy, etc.)
5. **NOVEL FEATURES:** Novelty makes an invention commercially attractive and is an absolute requirement for patent protection. Please describe the unique aspects of your invention, and how it is different and/or better than the existing technologies described in Section 5 above.
6. **TECHNICAL DESCRIPTION OF THE INVENTION:** To help in the evaluation of theinvention, please provide a complete and detailed technical description below**.** Please copy and paste any relevant sketches, diagrams, drawings, photographs or other illustrative material.
7. **STAGE OF DEVELOPMENT:**  Please check which of the following most closely describes the current stage of your invention [Technology Readiness Level (TRL)].

|  |  |  |
| --- | --- | --- |
|  | TRL2 | Concept defined and/or application formulated, analytical tools developed (applied research) |
|  | TRL3 | Experimental data demonstrates critical function (proof of concept) |
|  | TRL4 | Invention validated in laboratory environment (feasibility) |
|  | TRL5 | Invention validated in relevant environment (development) |
|  | TRL6 | Pilot-scale prototypical system validated in relevant environment (tech demonstration) |
|  | TRL7 | Full-scale system demonstrated in relevant environment (system demonstration) |

1. **PREVIOUS PUBLIC DISCLOSURES:** Disclosure of the invention to the public can negatively impact the ability to obtain patent protection. Publicly available information includes theses, reports, preprints, abstracts, conference presentations, poster presentations, seminars open to the public, funded grants, homepages, websites, electronic journals, news releases, university publications, etc. Please indicate if any of the following disclosures have been made.

 **Type Venue, e.g. journal Date**

 **name, meeting, etc.**

 \_\_\_\_\_ Oral \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Written \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Internet \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Sample Distribution \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

1. **ANTICIPATED PUBLIC DISCLOSURES:** Please indicate if you plan to make any of the following public disclosures in the next 12 months.

**Type Venue, e.g. journal Anticipated Date**

 **name, meeting, etc.**

 \_\_\_\_\_ Oral \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Written \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Internet \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Sample Distribution \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

**(11) RELATED PUBLICATIONS BY OTHERS:** Please list 3 – 10 publications and/or patents and/or patent applications describing closely related technology. (Do not include those of general background.) Patents and patent applications can be searched at <http://www.uspto.gov/patft/index.html> [U.S. Patents] and <http://ipdl.wipo.int/> [Foreign Patents] and SciFinder.

1. **FINANCIAL SUPPORT:** Check the funding source(s) for the work that led to this invention. We often need to report inventions to sponsors. Please provide a copy of any relevant industrial contracts, such as Sponsored Research Agreements.

 **Type Agency/Company Grant/Contract No. PI’s Name**

 (not KFS number)

 \_\_\_\_\_ Federal \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_ Industrial \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

**(13) RESEARCH AND DEVELOPMENT PLANS**:

1. What additional research is needed to complete development and testing of the invention?
2. Are you actively pursuing this needed work?
3. About how long will this work take?
4. What additional research support, if any, is needed for these efforts?
5. **THIRD PARTY MATERIALS**: Materials owned by an entity other than UConn that were used to generate your invention or that are incorporated into your invention may create a legal, financial or other obligation to the third party. Please describe any materials obtained from third parties (such as research collaborators or companies, with or without a Material Transfer Agreement) that were used in the development of the invention. If obtained under a Material Transfer Agreement, please provide a copy of the agreement.

**(15) POTENTIAL PARTNERS:** The involvement of contributors in the commercialization of their technology is essential for its success. Have you contacted or engaged with any companies or entrepreneurs with interest in commercializing or supporting this technology? If so, please list those contacts below.

1. **POTENTIAL CONFLICTS:** To be sure that no other entities might be able to claim ownership of, or any other rights to, this invention, please provide copies of any consulting or other agreements that are or might be applicable.

**(17) COMMERCIALIZATION:** Do you believe that this invention may be the foundation for starting a new company and why?

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**LeaD Contributor’s Full Name**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_­­­­\_

**TITLE OF INVENTION:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**CONTRIBUTOR(S) SIGNATURES:** By signing below, the UConn contributor(s) confirm: (1) the completeness and accuracy of the information in this disclosure; (2) to the extent that each contributor is or may be determined to be a legal inventor of the invention described herein, each investigator agrees to and does hereby assign all right, title and interest in the invention to University of Connecticut; (3) the willingness of each contributor to cooperate fully with TCS and the OVPR during the evaluation, patenting (if appropriate), and commercial development of this invention; and (4) their percent contribution to the conception and development of the invention which will be used to determine each contributor’s revenue share, regardless of inventorship status. Inventorship per se is a legal determination based on an individual’s intellectual contribution to the claims in a patent. Its determination must wait until a patent application is filed and will be made with the aid of a patent attorney. If the percent contribution of each contributor is not indicated, it will be assumed that each contributed equally. Further, by signing below, the contributor(s) agree to keep TCS/OVPR informed of any changes in their home address(es). If TCS/OVPR does not have the current address, the signatories agree that any payments otherwise due to them shall be retained by University of Connecticut.

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**Please Note**: **The Contributors’ Percent Contribution, regardless of affiliation, should total 100%.**

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