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| R·I·T | **Rochester Institute of Technology** |
|  | INTELLECTUAL PROPERTY MANAGEMENT Office |
|  | **Invention Disclosure Guidelines** |

Rochester Institute of Technology is committed to the creation and dissemination of knowledge. The Institute encourages inventiveness and will provide assistance in the process of patenting creative works of our faculty and staff. The Intellectual Property Management Office, located in the University Services Center, works with faculty and staff during all phases of the process. Contact Wayne Plourde, at 475-2986 or [wxpipmo@rit.edu](mailto:wxpipmo@rit.edu) for more information about inventions, patents, and technology transfer.

Invention disclosures should be made when something new and useful has been conceived or developed, or when unusual, unexpected, or non-obvious research results have been achieved that may have commercial value. To make an invention disclosure to RIT, use the attached invention disclosure form and outline. For the purposes of this disclosure, “Intellectual Property” is defined as inventions, trademarks, works of authorship (copyrights), and trade secrets. Works of authorship include, but are not limited to, books, journal articles, texts, study guides, laboratory manuals, syllabi, tests, proposals, lectures, literary compositions, visual and audio-visual materials films, charts, transparencies, videos, sound recordings, live broadcasts, programmed instructional materials, computer software, pictorials, graphic and sculptural works, paintings and other arts and crafts, architectural works, and Mask Works.

The purpose of this disclosure is to allow RIT to evaluate your invention, discovery, or creation in order to determine whether the Institute should pursue patent protection. Your disclosure should be complete enough to allow someone having knowledge in the field to understand the technical merits of the work, its usefulness and possible practical applications, and potential licensees. Filing an invention disclosure as soon as possible offers maximum protection and it starts the process of filing a patent application.

Other things you should know about disclosures and patent protection:

* If you speak or write of your discovery or creation publicly, use it in public, offer to sell or sell it, you must file a patent application *within one year of the first of any of these* ***statutory bar activities*** in order to secure a US patent. However, you potentially have lost any patent protection in foreign countries, unless you have filed a patent application in countries where protection is desirable PRIOR to public disclosure.
* You are asked on this Invention Disclosure form and outline to identify any sponsors who provided financial support during the development of the Intellectual Property. This is very important for RIT to determine ownership and licensing rights and ascertain whether there are contractual obligations to an external sponsor.
* Identify all persons who made original, inventive contributions to the Intellectual Property. Each co-inventor/creator should be identified by his/her full name, address, and citizenship. Also, all inventors must authenticate this confidential Invention Disclosure Form by dating and signing it.

## Instructions

1. Answer the questions in the attached Invention Disclosure form and outline to the best of your ability. If some of the questions are not applicable to your invention, please indicate so with “N/A”. Forward all materials to:

Intellectual Property Management Office

Rochester Institute of Technology

University Services Center 87-2400

Rochester, New York 14623-5608

Voice: 585-475-2986

Email: [wxpipmo@rit.edu](mailto:wxpipmo@rit.edu)

A **signed** and **witnessed**, by someone who can understand the invention, hard copy of the Invention Disclosure is to be submitted to the Intellectual Property Management Office, at the above address, for all inventions created at RIT. An electronic copy in **MS Word Format** should also be submitted to Wayne Plourde. If chemical formulas or equations are not provided in **Word** **Format**, please identify the program that was used. The review process can only begin after completed documents have been received by the IPMO.

In the event that you need to update the Invention Disclosure, inform IPMO of any changes, new information affecting the status of the invention, its ability to be patented, or its commercial value.

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| R·I·T | | | | ROCHESTER INSTITUTE OF TECHNOLOGY  Intellectual Property Management Office  **585-475-2986** | | | | | | | | | | **For IPMO Use Only** |
|  | | | | **IPMO #:** |
| **Date Rec’d:** |
| **Date Complete:** |
| CONFIDENTIAL - INVENTION DISCLOSURE FORM | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | |
| **1. Title of the invention:** | | | | |  | | | | | | | | | |
| **2. Did the invention result, at least in part, from external funding?**  **Yes No (If yes, identify agency and provide grant number)** | | | | | | | | | | 3a. Date of conception of invention? | | | | |
| 3b. Date of first statutory bar activity (explained on prior page): | | | | |
|  | Funding Source | | | | | | Grant No. | | | | Oracle Project No. | | | |
|  | Funding Source | | | | | | Grant No. | | | | Oracle Project No. | | | |
| **4. Inventor(s):** | | | | | | | | | | | | | | |
| (a) | | Name | | | | | | Title/Position: | | | | | | |
|  | | Home Address: | | | | | | Employer: | | | | | | |
|  | |  | | | | | | Department and College: | | | | | | |
|  | | Phone: | | | | | | Citizenship: | | | | | | |
|  | | Email: | | | | | |  | | | | | | |
| (b) | | Name | | | | | | Title/Position: | | | | | | |
|  | | Home Address: | | | | | | Employer: | | | | | | |
|  | |  | | | | | | Department and College: | | | | | | |
|  | | Phone: | | | | | | Citizenship: | | | | | | |
|  | | Email: | | | | | |  | | | | | | |
| (c) | | Name | | | | | | Title/Position: | | | | | | |
|  | | Home Address: | | | | | | Employer: | | | | | | |
|  | |  | | | | | | Department and College: | | | | | | |
|  | | Phone: | | | | | | Citizenship: | | | | | | |
|  | | Email: | | | | | |  | | | | | | |
| (d) | | Name | | | | | | Title/Position: | | | | | | |
|  | | Home Address: | | | | | | Employer: | | | | | | |
|  | |  | | | | | | Department and College: | | | | | | |
|  | | Phone: | | | | | | Citizenship: | | | | | | |
|  | | Email: | | | | | |  | | | | | | |
| **5. Contact person:** The inventors have agreed to designate the inventor named below to be their contact with IPMO and patent counsel. The inventor named below agrees to keep the other inventors informed on a timely basis of all developments relating to the invention that are communicated to him/her by IPMO and/or by patent counsel. | | | | | | | | | | | | | | |
| Name | | | | | | | | | Phone | | | | Fax | |
| Address | | | | | | | | | E-mail | | | | | |
| **6. Signature(s) of inventor(s)** | | | | | | | | | | | | | | |
| (a) | | |  | | | | | | | | | Date | | |
| (b) | | |  | | | | | | | | | Date | | |
| (c) | | |  | | | | | | | | | Date | | |
| (d) | | |  | | | | | | | | | Date | | |
| **7. Witness:** Someone, other than one of the inventors, who understands the invention.  This disclosure, including the outline and attachments, was read and understood by: | | | | | | | | | | | | | | |
| Name | | | | | | Signature | | | | | | Date | | |
| 1. **Attachments included**:  **A B C D E F** | | | | | | | | | | | | | | |

***Invention Disclosure Outline***

## Concise Description of Invention

* 1. Description
     1. Describe both the structure, including a description of each part or device and how they are connected, and the operation of the invention in concise terms, giving an indication of the scope of its use. If the invention is a process, what are the steps involved and prepare one or more flow charts to describe. If the invention is a composition of matter, product or device, describe how it is made. If the invention is a composition of matter, list the sources of commercially available starting materials (reagents); if any of the starting materials are not commercially available describe the method by which they can be made or obtained.
     2. Include at least one typical, specific, detailed example of the invention.
     3. If not described above, describe the best or preferred form(s) of the invention.
  2. Utility and Method of Use
     1. Describe the major and all possible or new uses for the invention? Indicate the most important use(s) and explain.
     2. In addition to immediate applications, what potential uses might be realized in the future?
  3. Background/Novelty and Non-Obviousness
     1. Describe the background environment and problem to be solved or the purpose of the invention.
     2. Describe the prior technology; how the problem has been resolved in the past.
     3. How does the invention differ from the prior technology? What advantages does the invention have over the prior technology (saves resources, decreases production time, reduces pollution, improves product, etc.)?
     4. Why do you believe the invention would NOT have been obvious to another researcher working on the same problem at the same time?
     5. List and expand on novel and unusual features of the invention. What problem(s) does the invention solve?
     6. Describe any other advantage(s) of the invention.
  4. Experimental Verification and Proof of Concept (POC)

Have you tested the invention experimentally? If yes, please describe the invention that was tested, how it was tested, and state when and where the testing occurred be sure to attach a summary of the experimental results.

If no, please describe how the invention will be verified and the concept proven. Include estimates of the funding needed and the anticipated timing of the receipt of such funding.

Please include, as **ATTACHMENT A** the information for this section.

* 1. Prototypes or Samples

Have you constructed prototypes, models, or test samples that are available for examination? If yes, state when and describe them.

* 1. Supporting Materials

Attach sketches, drawings, photographs, flow charts, graphs, and any other materials that help illustrate the invention. Label these materials collectively as **ATTACHMENT B**.

## Prior Art

* 1. Cite all pertinent prior patents, publications, and other prior art known to you that is material to the patentability of your invention; attach copies, and label them collectively as **ATTACHMENT C**.

**NOTE:** You should examine <http://www.uspto.gov> for US patents and published applications, <http://www.google.com/advanced_patent_search> or <http://worldwide.espacenet.com/> for US and international patents. If you have a patent number and want a full image copy of the patent, the following sites, as well as the Google site, can be used- [Pat2Pdf](http://www.pat2pdf.org/); or [Free Patents on Line](http://www.freepatentsonline.com) (registration required for Free Patents but site is free).

1. ***Publications and Other Disclosures of Information***

A. Prior Publications or Disclosures/ Public Use

* + 1. Have you described any aspect of the invention in a paper, publication, web-based document, disclosure, or oral presentation? If yes, give the date and describe the circumstances under which you talked or wrote about your work.
    2. Provide copies of any publications that reference or describe this invention. Indicate the date of publication, include abstracts of articles or talks, news stories, web-based information, etc., and label these materials collectively as **ATTACHMENT D**.
    3. Have you used the invention in public? If yes, please describe what was used in public along with the date and place of the disclosure.
  1. Offers for Sale or Sale
     1. Have you offered the invention for sale or sold the invention? If yes, please describe the offer including any terms and also what was being offered or sold.
     2. Provide copies of any documentation relating to the offer for sale or actual sale.
  2. Planned Publications or Other Planned Disclosures/ Planned Public Use
     1. Do you plan, within the next 12 months, a publication, an oral presentation, or a public use that concerns this invention?
     2. For each one, give actual or estimated dates. Attach copies of any existing manuscripts, pre-prints abstracts, or information relating to the activity; label them collectively as **ATTACHMENT E**.

## Commercialization

* 1. Potential Commercial Uses
     1. How might the invention be used in a commercial product or in a process for producing a product? Include as many possibilities as you can.
     2. Are more experiments necessary before a company would find this invention of commercial interest?
     3. Are you aware of any related commercial products that the invention would compete with or render obsolete? Please explain.
  2. Potential Licensees
     1. List companies (American and foreign) that might be interested in licensing the invention. If possible, provide the names and titles of individuals who could be appropriate contacts.
     2. Have you described the invention to a company representative(s)? If yes, did you describe it in a specific or in a general fashion? Did the company express any interest? Provide the names of the companies and specific individuals with their title; attach copies of pertinent correspondence and label them collectively as **ATTACHMENT F**.

## Inventors

* 1. For each person who you have listed earlier as an inventor please provide the following information:
     1. A brief description of the nature and extent of each inventor’s contribution to the invention.
     2. Specify whether each inventor’s contribution was made to the conception, reduction to practice, or both phases of the process.
  2. Co-authors
     1. If co-authors of any of the publications related to this invention are not listed as having contributed, explain why they should not be considered for inventor status.