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| **University of Massachusetts Dartmouth**  **Invention Disclosure Form**  **(Revised December 2015)** | | |
| ***Submit this form to:***  Office of Technology Commercialization and Ventures (OTCV)  Foster Administration Building, Room 008A  University of Massachusetts Dartmouth  285 Old Westport Road  Dartmouth MA 02747  508-910-9815 (x9815)  [dglass@umassd.edu](mailto:dglass@umassd.edu) |  | *OTCV Use Only*  UMD \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Received \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Accepted \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Case Manager\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| Please complete this form as best as you can. Don’t worry if you’re not able to answer certain questions, but provide whatever answers and other information you can. Please feel free to attach written documents or provide Internet links in response to certain questions, as appropriate.  *Please see the last page for additional guidance about this form.* |  |  | |

**Title of Invention**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**LIST OF INVENTORS**

***(Please list Principal Investigator first and include all possible inventors. List institution affiliation as of the time the invention was made. Add additional lines as needed)***

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

**1. Background**

*(a) Problem to be Solved. Please describe the problem this invention addresses, and the drawbacks or deficiencies of existing solutions or products on the market.*

*(b) Prior Art. If you are aware of any published or other written documents relevant to the invention, including your own prior publications, please describe or identify them here, or attach to this form.*

**2. Description of the Invention**

*Please describe specifically and in detail what you consider to be the invention. Please use additional pages, drawings, diagrams, etc. as needed. Please attach or reference any additional documents, such as manuscripts, grant applications, etc.*

3. NOVELTY

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

**4. WRITTEN RECORDS**

*Are there any earlier, dated records of the invention’s conception--a sketch, report, laboratory notebook entry? If so, please attach or indicate where such records can be found*

**5. COMMERCIAL POTENTIAL**

*(a) What do you see as commercial uses of your invention?*

*(b) What companies do you think may be, or are, commercially interested in this technology; and why?*

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

6. FINANCIAL AND OTHER SUPPORT

*(a) 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, please provide OTCV with information on all funding sources for research that resulted in this invention.*

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| **GOVERNMENT, INDUSTRY OR FOUNDATION SPONSOR** | **GRANT OR CONTRACT NUMBER** |
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*(b) 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 and address of the investigator, institution or company.*

**7. FUTURE RESEARCH PLANS AND FURTHER DEVELOPMENT**

*Are you conducting further research or development of this invention? If not, is further research contingent on receiving government, commercial or other sponsorship?*

**8. PUBLICATION STATUS**

*(a) Has any aspect of this invention been published, been presented at a scientific meeting, posted on the Internet, included as part of a student thesis, been discussed with non-UMass individuals, or otherwise disseminated?*

**YES NO**

*If yes, please identify, list dates and circumstances. (Dates are important. For a paper or abstract, please list the date it was first available online, for a thesis, when it was first available in a library, if known.)*

*(b) Are there any plans to publish or otherwise publicly disseminate any aspect of this invention in the future (e.g., published in a paper, thesis or book chapter, or presented at a conference or other seminar)?*

*YES NO*

*If yes, please identify and list dates.*

**9. RELATED DEVELOPMENTS**

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

**YES NO**

*If yes, please identify.*

**10. CONTACT INFORMATION**

*(a) Who should be our primary point of contact?:*

**NAME: PHONE:** **E-MAIL:**

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

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

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| **Investigator #1** | **Investigator #2** |
| **Full name:**  **Local or Home street address, city, state, zip code, country:**  **Citizen of which country:**  **Work phone(s):**  **E-mail address:**  **Local or Home phone (where you can be reached when you are not at work):** | **Full name:**  **Local or Home street address, city, state, zip code, country:**  **Citizen of which country:**  **Work phone(s):**  **E-mail address:**  **Local or Home phone (where you can be reached when you are not at work):** |
| **Investigator #3** | **Investigator #4** |
| **Full name:**  **Local or Home street address, city, state, zip code, country:**  **Citizen of which country:**  **Work phone(s):**  **E-mail address:**  **Local or Home phone (where you can be reached when you are not at work):** | **Full name:**  **Local or Home street address, city, state, zip code, country:**  **Citizen of which country:**  **Work phone(s):**  **E-mail address:**  **Local or Home phone (where you can be reached when you are not at work):** |

**11. SIGNATURE(S) OF INVESTIGATOR(S) (*add additional lines as needed*)**

*I/We hereby 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 OTCV (including a Participation Agreement if I/we have not already executed same) and to cooperate with the University of Massachusetts OTCV in the protection of this invention.*

**Name Typed Signature Date**



***To the Investigator(s):***

Please complete this form as best as you can. Don’t worry if you’re not able to answer certain questions, but provide whatever answers and other information you can. Please feel free to attach written documents (such as grant applications, progress reports or draft manuscripts) or provide Internet links in response to certain questions, as appropriate.

In the sense used here, an “invention” has a presumed commercial use and value. **The following describes when you should consider filing a disclosure with OTCV.**

1. ***Disclose to OTCV first, publish later:*** Disclosing your invention to OTCV 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.
2. ***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.
3. ***Consult with OTCV specialists:*** OTCV 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. OTCV 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.

Filing patent applications and seeking commercial utilization of your research is fully consistent with the goals and missions of the university and almost all our research sponsors. 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.