

Instructions for Completing
DISCLOSURE AND RECORD OF INVENTION FORM

The following instructions apply to the correspondingly numbered sections of the University of California - Office of Technology Transfer Disclosure and Record of Invention Form.

1. Create a short title, sufficiently descriptive to identify the general nature of the invention without revealing specific details that would enable others to reproduce it. A four- to eight-word length is about right.
- 2.A. Provide a brief summary which addresses the essential nature of the invention and which would enable another person working in the field to reproduce the invention. Point out its novel features and advantages.
- 2.B. Use additional sheets to provide a complete description which should cover the following points:
 - a) general purpose or utility;
 - b) brief description of the state of the art prior to your invention;
 - c) technical description including drawings, schematics, sketches, flow diagrams, etc., as appropriate;
 - d) describe the best way of practicing the invention;
 - e) possible modifications and variations on the best way;
 - f) advantages and improvements over existing practice, and the features believed to be new.

Do not withhold any key elements of the invention, as a complete description is essential to an enforceable patent.

- 3.A.-B. As funding and use of proprietary resources and materials often carries patent obligations, be sure to include all outside agencies, organizations, or companies that actually provided any supply, or expense funding to any inventor for the research that led to the conception or first actual reduction to practice of the invention. (Do not list any funding source gratuitously.)

NOTE: Failure to provide complete information on funding sources may result in delayed processing of your disclosure and/or difficulty in the University's fulfilling its legal obligations to research sponsors.
4. "Inventors" (who sign under item 12) not employed 100% by the University may also have obligations to their employers which will require coordination. Please identify these other employers. For example, Veterans Administration employees must submit VA disclosure forms to the local VA facility as well as disclosing to the University.
- 5-9. This information is legally important for determining priority of inventorship and / or legal "bars" to patenting. As a general rule, public disclosure, in any manner, before the date a formal patent application is actually filed in a national patent office, automatically destroys patent rights in most foreign countries. Receipt of your Disclosure and Record of Invention Form by the Office of Technology Transfer (University Patent Office) is not the same as the filing of a patent application. (While United States patent law allows inventors up to one year to file patent application after first printed publication, public use or sale, the loss of foreign rights often is very important to potential industrial licensees.)
10. List literature references that most closely describe the state of the related art prior to your invention. While you are not required to make a search of the literature, such a search by you will assist in the evaluation of your invention.
11. Please attach a copy or summary of any written or oral agreement, such as a biological materials transfer agreement, into which you or other University personnel entered in order to obtain any proprietary material used to make or develop your invention.
12. Complete the requested information, and obtain signatures of the inventors. List as inventors those individuals who, individually or jointly, contributed either to the conception or reduction to practice of your invention. In the event that a patent application is filed by the University, actual inventorship will be determined as a matter of law by a patent attorney. (Do not list any inventor gratuitously. The rules for inclusion are not the same as a scientific publication.)
13. Obtain the signatures of two technically qualified witnesses who have read and understood the Disclosure and Record of Invention Form. Use University of California employees whenever possible.

NOTE: ORIGINAL SIGNATURES are required for items 12 and 13. If a co-inventor is not available to sign due to unavoidable circumstances, please so indicate.

If you would like assistance in completing this Disclosure and Record of Invention Form, please call the Office of Technology Transfer at (510) 587-6000. We are here to assist you.

Please submit the original completed Disclosure and Record of Invention Form, with signatures to:

Director - Office of Technology Transfer
Office of the President
University of California
1111 Franklin Street, 5th Floor
Oakland, CA 94607-5200.

If you do not receive an acknowledgment within 30 days, please call the University Office of Technology Transfer at (510) 587-6000.

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DISCLOSURE AND RECORD OF INVENTION FORM

Note: When completed, the Disclosure and Record of Invention Form is an important legal document. Care should be taken in its preparation. Please refer to accompanying instructions. If you desire assistance, call the Office of Technology Transfer (University Patent Office) at (510) 587-6000. Information contained in this document is maintained in confidence by the University Patent Office and normally will not be released to others except with attorney-client privilege, to research sponsors as required by contract, or under appropriate secrecy agreements, until a patent application is filed, the information is published, a determination not to file a patent application is made, or as may be required by law. The information contained should not be disclosed to others outside the University, except as described in section 9, without the approval of the University Office of Technology Transfer. It is the practice of the University Office of Technology Transfer to send your Record of Invention to other University employees for peer review.

1. Short descriptive title of the invention.
2.
 - A. Briefly summarize the invention here. Include the novel features and advantages.
 - B. Detailed description of the invention using additional sheets as necessary and attach as appendix.
- 3.A. List the funding source(s) for the project under which this invention was made. If applicable, identify by contract or grant number and name the Principal Investigator/Supervisor of each.

Funding Source/Sponsor	Contract or Grant Number	Principal Investigator/Supervisor

- 3.B. This invention utilized data or materials from (check as many as apply):
 - Celera's proprietary database
 - Affymetrix chips
 - A Material Transfer Agreement – "MTA" – (non-UC material)
 - Other proprietary sources (specify _____).
4. For any Inventor named (item 12) who is not employed full-time by the University of California, please identify other employers (e.g., Veterans Administration, Howard Hughes Medical Institute, USDA), the percent of salary time funded by such other employer, and the nature of the other employment (such as research, teaching or clinical duties).
5. When did you first conceive this invention?
6. What is the date of the first written record (notebook, letter, proposal, drawing, etc.) of this invention? Identify the document, page numbers involved, and location of the document.
7. When did you first successfully test this invention?
8. If you have disclosed this invention to non-UC personnel (including research sponsor) then indicate when, under what circumstances, and to whom.
 - a. orally
 - b. in writing
 - c. by actual use, demonstration, or posters

9. Have you submitted or do you plan to submit a report, abstract, paper or thesis relating to this invention for publication, for presentation at a conference, or to a research sponsor?

If yes, give details, including the actual or planned date of submission. If a manuscript has been accepted, give the anticipated publication date. Append a copy of the latest draft manuscript available. (See instructions for the effect of publication prior to the filing of a patent application.)

10. Identify any references, patent applications, or other publications of which you are aware and which you believe to be pertinent to this invention. Please attach a copy of each of these references, if available.

11. If any proprietary material (e.g., cell line, antibody, plasmid, computer software, or chemical compound) obtained from outside your laboratory was used to develop this invention under a restrictive written or oral transfer agreement (other than a normal purchasing agreement), please attach a copy or summary of that agreement.

12. Signatures, Names, and Addresses of Inventors

Signature	Date	Signature	Date
Print Name		Print Name	
Dept/ORU		Dept/ORU	
Rm & Bldg		Rm & Bldg	
Campus (Address if non-UC)		Campus (Address if non-UC)	
City/State/Zip		City/State/Zip	
Telephone		Telephone	
Facsimile		Facsimile	
Email		Email	

Note: if there are more inventors please provide signatures, names and addresses on an additional sheet of paper.

13. Technically Qualified Witnesses (Two Required) - invention disclosed to and understood by:

a)	b)
Signature	Signature
Date	Date
Print Name	Print Name

Submit this form with ORIGINAL SIGNATURES directly to:

Director - Office of Technology Transfer
 Office of the President
 University of California
 1111 Franklin Street, 5th Floor
 Oakland, CA 94607-5200

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