



**Technology Disclosure Form**  
**Office of Technology Management**  
**113 Technology Center, University Park, PA 16802**  
**814.865.6277 p • 814.865.3591 f • otminfo@psu.edu**

Disclosure Number  
*(OTM Use Only)*

Original signed form should be submitted to the OTM via your research dean or appropriate administrative unit. We encourage you to concurrently send a signed or unsigned copy electronically directly to the OTM. If possible please submit form at least one month prior to any public disclosure (including web abstracts). See attached guidelines/instructions or contact OTM for assistance. If additional space is needed, attach a separate sheet of paper.

**1. Title of Invention/Technology (brief & non-confidential):**

|  |
|--|
|  |
|--|

**2. Please Attach a Detailed Description of Technology (see instructions on page 4):**

**3. Disclosers/Inventors (please list the primary contact first – attach additional sheets for more than 5):**

|          | Full Legal Name | Title (e.g. “Professor”) | Dept. or Affiliation | Inv % |
|----------|-----------------|--------------------------|----------------------|-------|
| <b>A</b> |                 |                          |                      |       |
| <b>B</b> |                 |                          |                      |       |
| <b>C</b> |                 |                          |                      |       |
| <b>D</b> |                 |                          |                      |       |
| <b>E</b> |                 |                          |                      |       |

**4. Contact Information:**

|          | Department Address | Home Address | Email Address & Phone # |
|----------|--------------------|--------------|-------------------------|
| <b>A</b> |                    |              |                         |
| <b>B</b> |                    |              |                         |
| <b>C</b> |                    |              |                         |
| <b>D</b> |                    |              |                         |
| <b>E</b> |                    |              |                         |

**5. Disclosure Execution (required for PSU employees only):**

|          | Name | Signature | Citizenship | Date (m/d/yyyy) |
|----------|------|-----------|-------------|-----------------|
| <b>A</b> |      |           |             |                 |
| <b>B</b> |      |           |             |                 |
| <b>C</b> |      |           |             |                 |
| <b>D</b> |      |           |             |                 |
| <b>E</b> |      |           |             |                 |

**6. Witness: (who has read and understands the disclosure)**

|               |  |            |  |       |  |
|---------------|--|------------|--|-------|--|
| Printed Name: |  | Signature: |  | Date: |  |
|---------------|--|------------|--|-------|--|

**7. Research Dean or Administrative Officer:**

|               |  |            |  |       |  |
|---------------|--|------------|--|-------|--|
| Printed Name: |  | Signature: |  | Date: |  |
|---------------|--|------------|--|-------|--|



## Technology Disclosure Form

Office of Technology Management  
 113 Technology Center, University Park, PA 16802  
 814.865.6277 p · 814.865.3591 otminfo@psu.edu

Disclosure Number  
*(OTM Use Only)*

### 8. Record of Invention:

| Event                                   | Date | References (e.g. lab notebooks) |
|---|------|---------------------------------|
| <b>A</b> Conception of Invention:       |      |                                 |
| <b>B</b> Date of Reduction to Practice: |      |                                 |
| <b>C</b> Other (see page 4):            |      |                                 |
| <b>D</b> Other (see page 4):            |      |                                 |

### 9. Obligations to Third Parties:

| <b>A. Is this technology the result of sponsored research (either government or industry)?</b>   |                |  |                        | Yes |  | No  |    |
|--|----------------|--|------------------------|-----|--|-----|----|
| 1  | Sponsor:       | OSPOSP/ORA Grant #, Contract #, or Agreement # | Principal Investigator |     |  |     |    |
| 2  |                |  |                        |     |  |     |    |
| 3  |                |  |                        |     |  |     |    |
| <b>B. Are there any other agreement(s) pertaining to the technology? (include: materials bailment/transfer, consulting, confidentiality, grant-in-aid, etc.)</b> |                |  |                        |     |  | Yes | No |
| 1  | Agreement Type | Name of Other Party                            | Contact                |     |  |     |    |
| 2  |                |  |                        |     |  |     |    |
| <b>Please attach copies of any third party agreements</b>  |                |  |                        |     |  |     |    |

### 10. Public Disclosures (any publicly available and potentially enabling description – see guidelines, pg 4):

|          | Disclosure Type (please attach copies)   | Yes | No | Date (m/d/yyyy) | Citation and/or Explanation |
|----------|--|-----|----|-----------------|-----------------------------|
| <b>A</b> | Has the technology been published or a manuscript been submitted for publication?            |     |    |                 |                             |
| <b>B</b> | If not, will a manuscript for the technology be submitted in the future? Approx. when?       |     |    |                 |                             |
| <b>C</b> | Has the technology been described in a thesis, or will it be described in a thesis?          |     |    |                 |                             |
| <b>D</b> | Has the technology been presented in a public forum (e.g. speech, conference, poster, etc.)? |     |    |                 |                             |
| <b>E</b> | Are there any other past or future enabling publications (e.g. online postings)?             |     |    |                 |                             |

### 11. Descriptive Keywords (to be used for patent or background searching and/or marketing):

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |



# Technology Disclosure Form

Office of Technology Management  
113 Technology Center, University Park, PA 16802  
814.865.6277 p • 814.865.3591 f • otminfo@psu.edu

Disclosure Number  
( Use Only)

Please attempt to answer the following questions. In addition to the detailed description that you attach, this information will assist in our assessment of the technology and may increase the likelihood of patenting and commercialization success.

**12. Stage of Development:** Briefly describe the status of the technology’s development. Which of the following terms best describe its stage of development: concept proof of concept, prototype, working model, demo, fully developed? Are samples, a prototype, or a demo available to share with prospective licensees?

|  |
|--|
|  |
|--|

**13. Please briefly describe the problem that the technology solves and its advantages/benefits relative to competing technologies or products. What product might this invention become?**

|  |
|--|
|  |
|--|

**14. Please list key prior art references:**

|  |
|--|
|  |
|  |
|  |

**15. Please list the companies or industries that are most likely to be interested in licensing this technology:**

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |

**16. Please list any contacts that you have (and their contact information) that we may approach in our marketing efforts (to learn more about the market potential of the technology or to reach potential licensees):**

|  |
|--|
|  |
|  |
|  |

**17. Please check the reason(s) that best describe why you submitted this invention disclosure:**

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | I/we believe that the invention has significant commercial potential                       |
| <input type="checkbox"/> | I/we believe that this invention is a platform and/or pioneering technology                |
| <input type="checkbox"/> | I/we are aware of a specific company that is interested in licensing the technology        |
| <input type="checkbox"/> | I/we are interested in being involved with a startup company based on this technology      |
| <input type="checkbox"/> | To comply with the requirements of an existing research agreement and/or University policy |
| <input type="checkbox"/> | Other (please specify):  |



### Instructions/Guidelines

The Office of Technology Management (OTM) promotes beneficial use of Penn State technology by protecting, marketing, and licensing University technologies to companies for further development and commercialization. This disclosure is valuable because it establishes a legal record of the invention while helping to facilitate the OTM's assessment and management of the technology. After reviewing the disclosure form, the OTM will contact the discloser(s)/inventor(s) to review the technology and discuss possible protection and commercialization strategies. Below are instructions or guidelines for each section of the form.

1. The title should be descriptive but must not be “enabling” as defined in item 10 below.
2. Attach a description of the technology/invention that is sufficiently detailed to allow someone of standard skill in your field of expertise to readily (without substantial experimentation) put the technology/invention into practice (at least to the extent that you are able to do so yourself). The description should cover at least: a) brief background and general purpose; b) technical description; and c) advantages and improvements over existing methods or products. Please include diagrams of apparatuses, chemical structures, and flow charts of processes. Often a draft journal article is sufficient.
3. List those individuals who may be considered potential inventors or who contributed to the conception or creative development of the technology. In general terms, an inventor is someone who contributed to the conception of the invention or to the creative further development of an important element of the invention in reducing it to practice. Note that this is not the same as authorship. A “pair of hands” who only carried out the orders of another person is not an inventor, even though such a person may be considered a co-author or contributor in a scholarly sense. Inventorship has a legal definition and will be determined by a patent attorney at the time of filing of any patent application. If needed, please contact the OTM or see <http://www.research.psu.edu/offices/otm> for further guidance. Include individuals who are not employees of Penn State (although they are not required to sign the form). In the last column, please indicate the agreed upon percent (%) contribution of each discloser of the technology disclosed. These numbers aid in determining any monetary distributions to the disclosers. They may be changed by mutual agreement at a later date. Each inventor who signs this invention disclosure form must agree and be able to provide supporting material if requested for his/her contribution as stated here.
4. Since correspondence, patent application materials, and royalty checks are sent to the inventor's home, each inventor must provide and maintain a current home address with the Office of Technology Management.
5. By signing here, each individual indicates approval of the disclosure, attesting that the disclosure is true, accurate, and fully describes the invention to the best of his/her knowledge.
6. The witness must not be directly involved with the invention but must have read and understood the disclosure.
7. The disclosure form should be submitted for signature to your Research Dean or other administrative unit responsible for handling invention disclosures and forwarded to the OTM. At Penn State Hershey, submit through the Office of Technology Dev.
8. After recording the date of each event, indicate where records of the event may be located. “Reduction to practice” is the physical part of the inventive process during which the invention is shown to work as described (at least for the initial concept). After a reduction to practice, the invention is complete for patent law purposes in that a proof of concept test, prototype, model, or biological strain exists that fulfills the invention's intended purpose. “Other” events may include any other milestones that you achieved in your continued development of the technology that you believe relevant to the record of the invention.
9. There may be obligations to third parties if the research that led to the invention used resources, facilities, staff, funding, or material of another institution, whether it is a corporation, university, foundation, or government agency. Please include support for continued development or evaluation (“Other” events) as listed in items 8C and 8D.
10. “Public Disclosure” means any instance in which someone outside the Penn State community, without being restricted by confidentiality, would have been able to legally gain access to your presented, written or printed enabling description of the technology/invention – where “enabling” means sufficiently described to allow someone of average skill in the relevant field of expertise to practice the invention. The public disclosure dates, especially the first one, are important for patent considerations. In the United States, a patent application must be filed within one (1) calendar year of first public disclosure; however, in most other countries, a patent application must be filed before any public disclosure. An inventor who publicly discloses his/her invention before obtaining protection can lose rights to his/her invention anywhere else in the world. It is therefore requested that inventors contact the Office of Technology Management for assistance prior to public disclosure. Note that many journals now publish online, sometimes weeks before publishing in print. The inventor must be aware of the potential for online publishing, including enabling abstracts/posters, and indicate these in section 10. This helps to ensure adequate protection for the invention.
11. Enter some keywords useful for our background searching, patent searching, and/or categorizing the technology for marketing purposes. An ideal set of keywords includes terms very likely to occur in publications and patents related to the field of your invention as well as terms likely to occur only in publications describing specific solutions to the problem very similar to yours.

12-17. Self Explanatory