



**ATTACHMENT C:**

**Intellectual Property Reporting Form**



## INTELLECTUAL PROPERTY REPORTING FORM

**Instructions:** You are required to complete one or more sections of this form when:

- (1) Disclosing subject inventions, including anticipated uses and sales (*if so, please complete Sections A, B, D, and G*);
- (2) Reporting publications, manuscript submissions, or other public disclosures concerning a subject invention (*if so, please complete Sections A, C, and G*);
- (3) Electing (or declining) to retain title to a subject invention (*if so, please complete Sections A, D, and G*);
- (4) Disclosing the filing or termination of patent applications arising out of a subject invention. Patent disclosures must be made for filing the following patent applications:
  - An initial domestic patent application (*if so, please complete Sections A, E, G, and H*);
  - A domestic divisional patent application (*if so, please complete Sections A, E, and G*);
  - A domestic patent continuation application (*if so, please complete Sections A, E, and G*);
  - A domestic continuation-in-part application (*if so, please complete Sections A, D, E, G, and H*); and
  - One or more foreign patent applications (*if so, please complete Sections A, E, and G*).
- (5) Discontinuing prosecution of a patent application, maintenance of a patent, or defense in a patent reexamination or opposition proceeding, regardless of jurisdiction (*if so, please complete Sections A, E, and G*);
- (6) Requesting an extension of time to:
  - Elect (or decline) to retain title to a subject invention (*if so, please complete Sections A, F, and G*); and
  - File an initial domestic or foreign patent application (*if so, please complete Sections A, F, and G*).

***If additional space is required to complete any fields, please append additional pages to this form.***

Please submit your completed, signed form to both of the following email addresses: [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and [ARPA-E-Counsel@hq.doe.gov](mailto:ARPA-E-Counsel@hq.doe.gov). Alternatively, you may report Items 1-4 via the iEdison system (<https://s-edison.info.nih.gov/iEdison/>). Items 5-6 may only be reported to DOE and ARPA-E by submitting this form.

### **SECTION A. GENERAL INFORMATION**

**Organization:**

**Project Title:**

**Award / Contract No.:**

**Have you previously disclosed to DOE the subject invention prompting this notification/reporting action?**

Yes  No

**If yes, please provide DOE "S" Number:**



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**SECTION B. INVENTION DISCLOSURE (Items 1-10)**

**1. Provide a descriptive title of invention in less than 10 words.**

**2. Provide a detailed description of the problem the invention overcomes.**



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3. Provide a detailed technical description of the invention (include examples and sketches). Explain any terms of art used.



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4. List all prior art references known to you, and attach a copy of each one to this form.

5. Itemize the features or advantages you consider unique and compare those with the references listed above.





**9. Provide the following for each contributor to the invention.**

**Name:** \_\_\_\_\_ **Employed By:** \_\_\_\_\_ **Division / Office:** \_\_\_\_\_  
**Home Address:** \_\_\_\_\_ **Location / Mailstop:** \_\_\_\_\_  
**Citizenship:** \_\_\_\_\_ **Office Phone:** \_\_\_\_\_ **Email Address:** \_\_\_\_\_  
**Specific Contribution:** \_\_\_\_\_

**Name:** \_\_\_\_\_ **Employed By:** \_\_\_\_\_ **Division / Office:** \_\_\_\_\_  
**Home Address:** \_\_\_\_\_ **Location / Mailstop:** \_\_\_\_\_  
**Citizenship:** \_\_\_\_\_ **Office Phone:** \_\_\_\_\_ **Email Address:** \_\_\_\_\_  
**Specific Contribution:** \_\_\_\_\_

**Name:** \_\_\_\_\_ **Employed By:** \_\_\_\_\_ **Division / Office:** \_\_\_\_\_  
**Home Address:** \_\_\_\_\_ **Location / Mailstop:** \_\_\_\_\_  
**Citizenship:** \_\_\_\_\_ **Office Phone:** \_\_\_\_\_ **Email Address:** \_\_\_\_\_  
**Specific Contribution:** \_\_\_\_\_

**10. Facts pertaining to the invention.**

**Date of Conception by Inventor(s):** \_\_\_\_\_ **At:** \_\_\_\_\_

**Date of First Sketch or Drawing:** \_\_\_\_\_ **Recorded in: Notebook No.:** \_\_\_\_\_ **Page Nos.:** \_\_\_\_\_  
**Read and Understood by:** \_\_\_\_\_ **On:** \_\_\_\_\_

**Date of First Written Description:** \_\_\_\_\_ **Recorded in: Notebook No.:** \_\_\_\_\_ **Page Nos.:** \_\_\_\_\_  
**Read and Understood by:** \_\_\_\_\_ **On:** \_\_\_\_\_

**Date of First Model or Test Unit:** \_\_\_\_\_ **Recorded in: Notebook No.:** \_\_\_\_\_ **Page Nos.:** \_\_\_\_\_  
**Read and Understood by:** \_\_\_\_\_ **On:** \_\_\_\_\_

**Date of First Written Disclosure to Public:** \_\_\_\_\_ **At:** \_\_\_\_\_

**Date of First Oral Disclosure to Public:** \_\_\_\_\_ **At:** \_\_\_\_\_

**First Use Date:** \_\_\_\_\_ **At:** \_\_\_\_\_



**SECTION C. PUBLICATION & OTHER PUBLIC DISCLOSURE (Items 11-13)**

11. Have any publications been generated that describe the subject invention?      Yes    No  
            If yes, please identify the publication and date:
12. Have any manuscripts describing the subject invention been submitted for publication?      Yes    No  
            If yes, please identify to whom manuscripts were submitted and when:
13. Have any other public disclosures of the subject invention been made?      Yes    No  
            If yes, please describe the disclosure(s) and identify the date(s):

**SECTION D. ELECTION OF TITLE (Item 14)**

14. Do you elect to retain title in the subject invention?      Yes    No    Undecided\*

If yes, please list all countries in which you intend file patent applications for the subject invention:

*\*NB:* If you mark "undecided," you remain responsible for complying with applicable title election deadlines

**SECTION E. PATENT APPLICATIONS (Items 15-17)**

15. Have you filed any patent applications with the U.S. Patent and Trademark Office for subject inventions or inventions arising out of work or projects funded, in whole or in part, by ARPA-E?      Yes    No  
            If you checked "Yes", please complete the fields immediately below.

Title of Invention:

Inventor(s):

Patent Application Serial No:

Filing Date :

Patent Number:

Issue Date:



16. Have you filed any patent applications within foreign jurisdictions for subject inventions or inventions arising out of work or projects funded, in whole or part, by ARPA-E? Yes  No  If yes, please complete the fields immediately below.

Jurisdiction:

Patent Application Serial No:

Filing Date:

Patent Number:

Issue Date:

Jurisdiction:

Patent Application Serial No:

Filing Date:

Patent Number:

Issue Date:

17. Have you discontinued any of the following actions? Yes  No

- Prosecution of a patent application arising from work performed under your funding agreement
- Maintenance of patent fees for a patent arising under your funding agreement
- Defense of patent reexamination or reexamination proceedings related to patents arising under your funding agreement

If yes to any of the above, please complete the fields immediately below.

Jurisdiction:

Original Filing Date:

Patent Application Serial No:

Date of Discontinuation:

**SECTION F. EXTENSION REQUESTS (Item 18)**

18. Please indicate the category for which you are requesting a reporting/disclosure extension.

- I'm requesting an extension of time to elect (or decline) to retain title to a subject invention.
- I'm requesting an extension of time to file an initial domestic or foreign patent application for subject Invention(s) arising out of work or projects funded, in whole or in part, by ARPA-E.

Please justify your request:



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**SECTION G. SIGNATURE BLOCK (Items 19-20)**

**Instructions:**

- All inventors of a subject invention disclosed in Section B must complete Item 19, below.
- An authorized representative must complete Item 20 below on behalf of your organization.
- Where requested, signatures may be made manually or electronically.

**19. Signatures for Subject Invention Disclosure**

Signature of Inventor(s):	Date:
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

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**20. Signature of Authorized Representative**

*I certify that I have the authority to approve, and I do so hereby approve, the submission of this completed form on behalf of the organization named below to ARPA-E and the U.S. Department of Energy.*

**Authorized Representative (Typed)** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Organization** \_\_\_\_\_

**Business Address** \_\_\_\_\_

**Telephone Number** \_\_\_\_\_

**Email** \_\_\_\_\_

**Date** \_\_\_\_\_



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**SECTION H. CONFIRMATORY LICENSE**

**Title of Invention:**

**Inventor(s):**

**Patent Application Serial No:**

**Filing Date :**

**Patent Number:**

**Issue Date:**

**Name of Organization:**

**ARPA-E Award / Contract No.:**

The named Organization has reported the above-identified invention as a Subject Invention to DOE and has elected to retain title thereto.

This document is confirmatory of (1) the nonexclusive, nontransferable, irrevocable, paid-up, World-wide license in this subject invention, patent application, and any resulting patent (including any continuation, divisional, reissue, or supplemental application thereof) to practice or to have practiced for or on behalf of the United States throughout the world; (2) all other rights acquired by the Government through the intellectual property provisions of the above-identified contract/award; and (3) all intellectual property, licensing, and manufacturing requirements imposed by the above-identified contract/award.

It is understood and agreed that this license does not preclude the Government from (1) asserting rights under the provisions of the above-identified contract/award or any other agreement between the Government and the named Organization, or (2) asserting any other Government rights with respect to the above-identified subject invention.

The Government is hereby granted an irrevocable power to inspect and make copies of the above-identified patent application.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_

**Authorized Representative's Name and Title (Typed)** \_\_\_\_\_

**Authorized Representative's Signature** \_\_\_\_\_