|  |
| --- |
| ***NOTE:*** *This EERE 357: Intellectual Property Reporting Form template is provided as a convenient method of documenting the disclosure, reporting publications concerning, electing to retain title to, or terminating patent applications for subject inventions under EERE awards. The use of the Intellectual Property Reporting Form template is not required, but the data elements within the Intellectual Property Reporting Form template are required.* |

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

1. Disclosing a subject invention, including anticipated uses and sales (*if so, please complete Sections A, B, 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, G, and H*);
4. Disclosing the filing or termination of patent applications on a subject invention (*i.e.*, patent applications disclosing or claiming 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 or continuation patent 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*).

1. 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*);
2. 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

(<https://www.eere-pmc.energy.gov/SubmitReports.aspx>). Alternatively, you may report Items 1-4 via the iEdison system (<https://s-edison.info.nih.gov/iEdison/>). The information in items 5-6 must be reported to DOE, and may be submitted on this form.

1. General Information

Organization: [Enter Organization]

Project Title: [Enter Title]

Award/Contract No: [Enter 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: [Enter DOE “S” Number]

1. Invention Disclosure
2. Provide a descriptive title of the subject invention in less than 10 words.

|  |
| --- |
|  |

1. Provide a detailed description of the problem the subject invention overcomes.

|  |
| --- |
|  |

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

|  |
| --- |
|  |

1. List all prior references known to you, and attach a copy of each reference (except for U.S. patents and published patent applications) to this form.

|  |
| --- |
|  |

1. To the extent known, describe anticipated use(s) of the subject invention by the Government, industry, and end users (both foreign and domestic). If no anticipated use(s) of the invention are known, please state that.

|  |
| --- |
|  |

1. Describe planned sales of the subject invention. If no sales of the subject invention are currently planned, please state that.

|  |
| --- |
|  |

1. Provide the following for each contributor to the subject invention.

|  |  |  |
| --- | --- | --- |
| Name:  [Enter Name] | Employed By:  [Enter Employer] | Division/Office:  [Enter Division/Office] |
| Home Address:  [Enter Address] | | Location/Mailstop:  [Enter Location/Mailstop] |
| Citizenship:  [Enter Citizenship] | Office Phone:  [Enter Phone No.] | Email Address:  [Enter Email] |
| Specific Contribution:  [Enter Contribution] | | |

|  |  |  |
| --- | --- | --- |
| Name:  [Enter Name] | Employed By:  [Enter Employer] | Division/Office:  [Enter Division/Office] |
| Home Address:  [Enter Address] | | Location/Mailstop:  [Enter Location/Mailstop] |
| Citizenship:  [Enter Citizenship] | Office Phone:  [Enter Phone No.] | Email Address:  [Enter Email] |
| Specific Contribution:  [Enter Contribution] | | |

1. Facts pertaining to the subject invention.

|  |  |  |
| --- | --- | --- |
| Date of Conception by Inventor(s):  [Select Date] | At: [Enter Location] | |
| Date of First Sketch or Drawing:  [Select Date] | Recorded in: Notebook No: [Enter No.] | Page Nos: [Enter No.] |
| Read and Understood by: [Enter Name] | On: [Select Date] | |
| Date of First Written Description:  [Select Date] | Recorded in: Notebook No: [Enter No.] | Page Nos: [Enter No.] |
| Read and Understood by: [Enter Name] | On: [Select Date] | |
| Date of First Model or Test Unit:  [Select Date] | Recorded in: Notebook No: [Enter No.] | Page Nos: [Enter No.] |
| Read and Understood by: [Enter Name] | On: [Select Date] | |
| Date of First Written Disclosure to Public:  [Select Date] | At: [Enter Location] | |
| Date of First Oral Disclosure to Public:  [Select Date] | At: [Enter Location] | |
| First Use Date:  [Select Date] | At: [Enter Location] | |

1. Publication & Other Public Disclosure

|  |  |
| --- | --- |
| 9. Have any publications been issued that describe the subject  invention?  If yes, please identify the publication and date: [Enter Publication and Date] | Yes No |
| 10. Have any manuscripts describing the subject invention been  submitted for publication?  If yes, please identify to whom manuscripts were submitted and  when: [Enter Name and Date] | Yes No |
| 11. Have any other public disclosures of the subject invention been made?  If yes, please describe the disclosure(s) and identify the date(s): [Enter Description and Date(s)] | Yes No |

1. Election of Title

|  |  |
| --- | --- |
| 12. Do you elect to retain title to the subject invention?  If yes, please list all countries in which you intend file patent applications for the subject invention:[List Countries] | Yes\* No Undecided\*\* |

\* *If you mark “yes” you must complete section H as well*

*\*\* If you mark “undecided” you remain responsible for complying with applicable title election deadlines*

1. Patent Applications

|  |  |  |
| --- | --- | --- |
| 13. Have you filed a patent application with the U.S. Patent and Trademark Office in the subject invention identified in section A or B of this form?  If you checked “yes”, please complete the fields immediately below. | | Yes No |
| Title of Patent Application: [Enter Title] | | |
| Patent Application Serial No: [Enter Serial No.] | Filing Date: [Select Date] | |
| Patent Number: [Enter Patent No.] | Issue Date: [Select Date] | |

|  |  |  |
| --- | --- | --- |
| 14. Have you filed a patent application within foreign jurisdictions on the subject invention identified in section A or B of this form?  If you checked “yes”, please complete the fields immediately below and attach patent application. | | Yes No |
| Jurisdiction: [Enter Jurisdiction] | | |
| Patent Application Serial No: [Enter Serial No.] | Filing Date: [Select Date] | |
| Patent Number: [Enter Patent No.] | Issue Date: [Select Date] | |
|  | | |
| Jurisdiction: [Enter Jurisdiction] | | |
| Patent Application Serial No: [Enter Serial No.] | Filing Date: [Select Date] | |
| Patent Number: [Enter Patent No.] | Issue Date: [Select Date] | |

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

|  |  |  |
| --- | --- | --- |
| * Prosecution of a patent application on the subject of invention identified in Section A or B of this form | |  |
| * Maintenance of patent fees for a patent on the subject invention identified in section A or B of this form | |  |
| * Defense of patent reexamination or reexamination proceedings related to a patent on the subject invention identified in section A or B of this form   If yes to any of the above, please complete the fields immediately below | |  |
| Jurisdiction: [Enter Jurisdiction] | Original Filing Date: [Select Date] | |
| Patent Application Serial No/ Patent No.:  [Enter Serial No/ Patent No.] | Date of Discontinuation: [Select Date] | |

1. Extension Requests

16. 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 the subject

invention identified in section A or B of this form.

I’m requesting an extension of time to file an initial domestic or foreign patent

application on the subject invention identified in section A or B of this form.

Please justify your request: [Enter Justification]

1. Signature Block

**Instructions:**

* All inventors of a subject invention disclosed in Section B must complete Item 17, below.
* An authorized representative must complete Item 18 below on behalf of your organization.
* Where requested, signatures may be made manually or electronically.

**Signatures for Subject Invention Disclosure**

**Printed Name of Inventor(s): Signature of Inventor(s): Date:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| [Enter Name] |  |  |  |  |
| [Enter Name] |  |  |  |  |
| [Enter Name] |  |  |  |  |
| [Enter Name] |  |  |  |  |
|  |  |  |  |  |

**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 the U.S. Department of Energy.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Authorized Representative (Typed) | | | | | | | [Enter Name] |
| Signature | | |  | | | | |
| Organization | | | | [Enter Organization] | | | |
| Business Address | | | | | [Enter Address] | | |
| Telephone Number | | | | | | [Enter Phone No.] | |
| Email | | [Enter Email] | | | | | |
| Date | [Select Date] | | | | | | |

1. **Confirmatory License**

|  |  |
| --- | --- |
| Title of Invention: [Enter Title] | |
| Inventor(s): [Enter Name(s)] | |
| Patent Application Serial No.: [Enter Serial No.] | Filing Date: [Select Date] |
| Patent Number: [Enter Patent No.] | Issue Date: [Select Date] |
| Name of Organization: [Enter Organization] | |
| DOE Award/Contract No.: [Enter 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 agreed to in 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 | [Select Day] | Day of**,** | [Select Month] | 20 | [XX] |

|  |  |  |
| --- | --- | --- |
| Authorized Representative (Typed) | | [Enter Name] |
| Signature |  | |