



# ARIS New Invention Disclosure

The screenshot shows the 'ARIS - Agricultural Research Information System' interface. The main window title is 'ARIS - Agricultural Research Information System (ARIS) - Work Inventions'. The 'Inventions - Patent Dockets' form is displayed with the 'Invention' tab selected. The form includes the following fields and sections:

- Docket No.**, **FY**, **PA (Code, Last, First, MI, Suffix)**: These fields are indicated by arrows as auto-populating.
- Title of Invention**: A text input field indicated by an arrow.
- Org Responsible for Prosecution**: A dropdown menu.
- Cooperator Name (if applicable)**: A text input field.
- Bio Energy Invention?**: A dropdown menu indicated by an arrow.
- Agency Type**: A dropdown menu indicated by an arrow.
- Parent Docket No (if applicable)** and **Plant Docket No (if applicable)**: Text input fields.
- Life Science:**  **Chemical:**  **Mechanical and Measurement:**
- Most Recent Status Info**: A table with columns for Date and Status.
- Primary Contact Inventor (Last, First, MI, Suffix)**: A text input field.
- MC**:
- Date Inv Disclosure Recvd**, **Date of Notice of Availability**, **Provisional Serial No**, **Provisional File Date**: Text input fields.
- Serial Number**, **Date Application Filed**, **Patent Number**, **Date Patented**: Text input fields.
- Release 115s to Tektran**:
- Licensed?**: A dropdown menu.

**Please populate only the fields indicated by an arrow: (all others will auto-populate or are accessible only by OTT)**

➤ **Docket No., FY and PA (Patent Advisor)** Will auto-populate when you “add new disclosure”

## **Invention Tab:**

- **Title of Invention:**
- **Bio Energy Invention:** select by clicking the [?] Yes or No
- **Agency Type:** APHIS or ARS or BOR or Forest Service
- **Subject Matter Disclosure:** Life Sciences or Chemical or Mechanical

# ARIS New Invention Disclosure

## Invention (cont) Tab

**Please populate only the fields indicated by an arrow:** (all other will auto-populate or are accessible only by OTT)

### Invention (cont) Tab:

**CRADA:** Yes or No

If yes, enter the CRADA Agreement No. (e.g., 58-3K95-7-1234)

**Non ARS Agreement No.:** If this work was done under any other type of agreement please list the type of agreement and its reference/log number

**If this invention is jointly owned (i.e., are there non-ARS inventors listed), does the joint owner qualify for small entity status\* for patent applications filed at the United States Patent and Trademark Office?** Yes or No

\*37 CFR §1.27 - Definition of small entities. [http://www.uspto.gov/web/offices/pac/mpep/documents/appxr\\_1\\_27.htm](http://www.uspto.gov/web/offices/pac/mpep/documents/appxr_1_27.htm)

A small entity as used in this chapter means any party (person, small business concern, or nonprofit organization):

1) **Person:** A person, as used in paragraph (c) of this section, means any inventor or other individual who has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention.

2) **Small Business:** A small business concern, as used in paragraph (c) of this section, means any business concern that: 1. has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person, concern, or organization which would not qualify for small entity status as a person, small business concern, or non-profit organization, and 2. Meets the size standards set forth in 13 CFR 121.801 through 121.805 to be eligible for reduced patent fees.

3) **Nonprofit Organization:** A nonprofit organization, as used in paragraph (c) of this section, means any nonprofit organization that: 1. Has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person, concern, or organization which would not qualify as a person, small business concern, or a nonprofit organization; and is either: **A university or other institution of higher education located in any country.**

# ARIS New Invention Disclosure

Status /Event Tab – No input/entry required

The screenshot shows the ARIS Inventions - Patent Dockets interface. The 'Status/Event' tab is active, displaying a table of prosecution fees. The table has columns for 'Disp (Y)', 'Event', 'Date', 'Status', 'Amount', 'Due Date', 'Crif?', 'Completed Date', and 'Comen?'. One row is visible with the following data: Disp (Y) is checked, Event is 'AD', Date is '10/24/2011', Status is 'New Disclosure, not', Amount is '.00', Due Date is blank, Crif? is blank, Completed Date is blank, and Comen? is blank. Below the table, there are summary fields: 'Manually Calculated Prosecution Total' and 'Prosecution Fee Total', both showing '\$ .00'. A 'Calculate Total' button is present. At the bottom, there is a 'Fee Info' section with fields for 'Date Fee Paid', 'Next Fee Due', 'Fee Amt', and 'Amt Due', all showing '\$0'. The status bar at the bottom indicates 'Record: 1/1'.

Disp (Y)	Event	Date	Status	Amount	Due Date	Crif?	Completed Date	Comen?
<input checked="" type="checkbox"/>	AD	10/24/2011	New Disclosure, not	.00				

Manually Calculated Prosecution Total \$ .00  
Prosecution Fee Total \$ .00

Calculate Total

View Comments

Fee Info

Date Fee Paid	Fee Amt	\$0
Next Fee Due	Amt Due	\$0

Record: 1/1

- No input/entry required

# ARIS New Invention Disclosure

## Disclosure Tab (Question 1)

The screenshot shows the ARIS (Agricultural Research Information System) interface for 'Inventions - Patent Dockets'. The window title is 'ARIS - Agricultural Research Information System'. The main menu includes 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Prints', and 'Help'. The toolbar contains various icons for navigation and editing. The main content area is titled 'Inventions - Patent Dockets' and includes fields for 'Docket' (0238.12), 'Serial' (00/000,000), 'Patent' (0,000,000), and 'Patent Advisor' (STOVER). Below these fields are tabs for 'List', 'Invention', 'Inv(cont)', 'Status/Event', 'Disclosure', 'Abstract', 'Inventors', 'Foreign Filing', and 'Patent Family'. The 'Disclosure' tab is active, showing a sub-tab for 'Question 1'. The main text area contains the instruction: 'Give a brief description of your invention. Tell what the invention is, how it works, what problem it solves, and what impact it may have on agriculture. If there are alternative ways of using your invention, describe them and indicate which is best. In addition, identify any proprietary material or method required to make and/or use the invention.' Below this text are three radio buttons: 'Utility Invention' (selected), 'Biological Material', and 'Plant Patent'. A 'Response' text area is located below the radio buttons, and a 'Clear Response' button is at the bottom. The status bar at the bottom indicates 'Record: 1/1'.

### Disclosure Tab: (question 1)

What type of Disclosure is being submitted? (choose one)

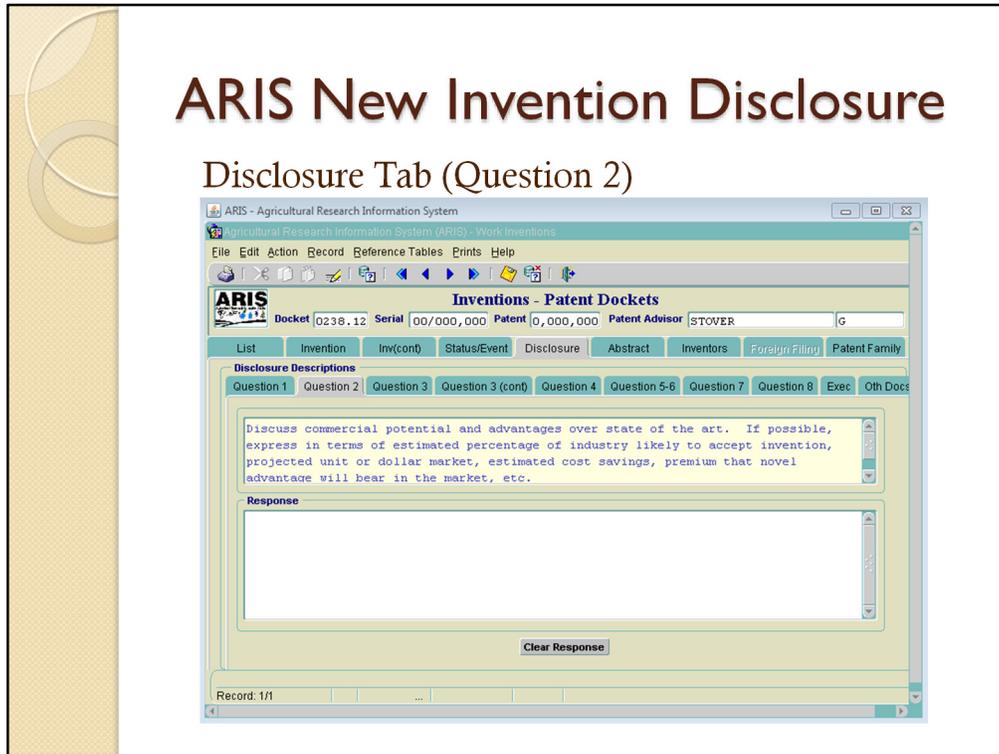
**Utility Invention**      or      **Biological Material**      or      **Plant Patent**

❖ Note to Scientists: Please send your responses to each disclosure question via e-mail or as Word document to the person responsible for data entry. This allows the person to copy/paste the response to each question into the appropriate block; instead of re-typing the response (minimizes errors).

• **Question 1:** Give a brief description of your invention. Tell what the invention is, how it works, what problem it solves, and what impact it may have on agriculture. If there are alternative ways of using your invention, describe them and indicate which is best. In addition, identify any proprietary material or method required to make and/or use the invention.

# ARIS New Invention Disclosure

## Disclosure Tab (Question 2)

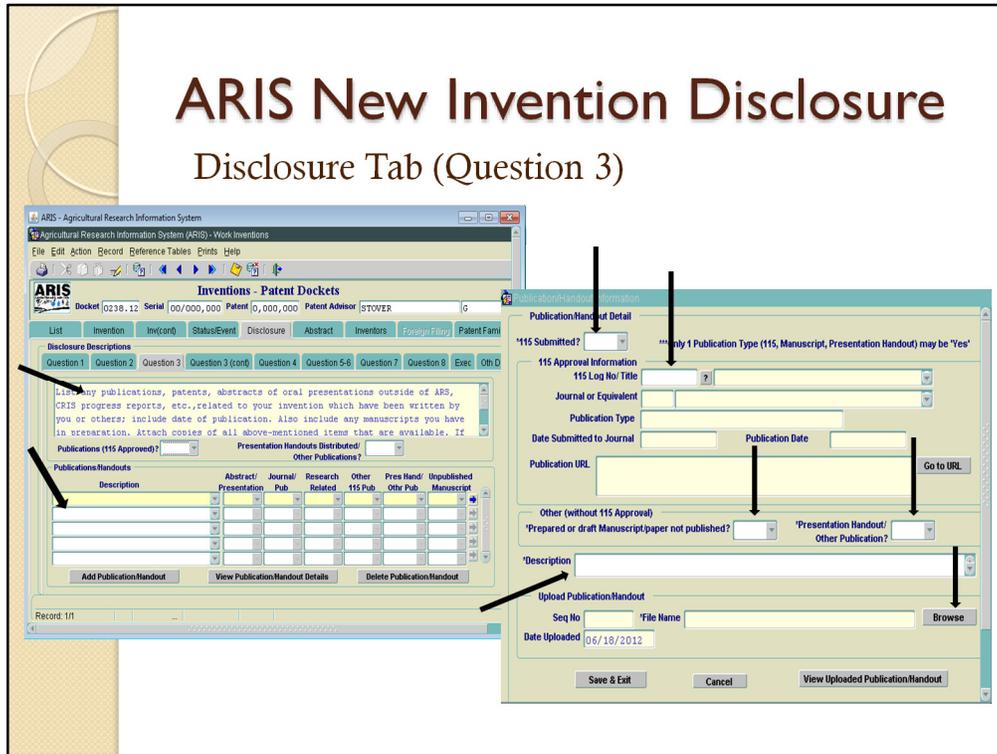


### Disclosure Tab: (question 2)

Question 2: Discuss commercial potential and advantages over state of the art. If possible, express in terms of estimated percentage of industry likely to accept invention, projected unit or dollar market, estimated cost savings, premium that novel advantage will bear in the market, etc.

# ARIS New Invention Disclosure

## Disclosure Tab (Question 3)



### Disclosure Tab: (question 3)

- Question 3 now allows you to indicate a specific 115 affiliated with this invention if applicable.
- ARS- 115's can be retrieved directly from the system by using the Log No. query.
- Publications, abstracts, manuscripts, etc. can now be **uploaded** to the system by selecting "Add Publ. Handout".

**Question 3:** List any publications, patents, abstracts of oral presentations outside of ARS, CRIS progress reports, etc., related to your invention which have been written by you or others; include date of publication. Also include any manuscripts you have in preparation. **Upload** copies of all above-mentioned items that are available. If your invention has been used in public, sold or offered for sale, give the date and circumstances.

**Publications/Handouts:** *Upload copies of all above-mentioned items –*

- Click Add Publication/Handout
  - 115 submitted *Yes or No*
    - If **yes**, add 115 log No by selecting the [?] box (all fields will populate from the 115 data)
    - If **no**, proceed to box "other (without 115 approval)"
      - Prepared or draft Manuscript/paper not published *Yes or No*
      - Presentation Handout/Other Publication *Yes or No*
      - Provide Description of paper/handout
- **Upload** publication/paper/handout by clicking the [Browse] button

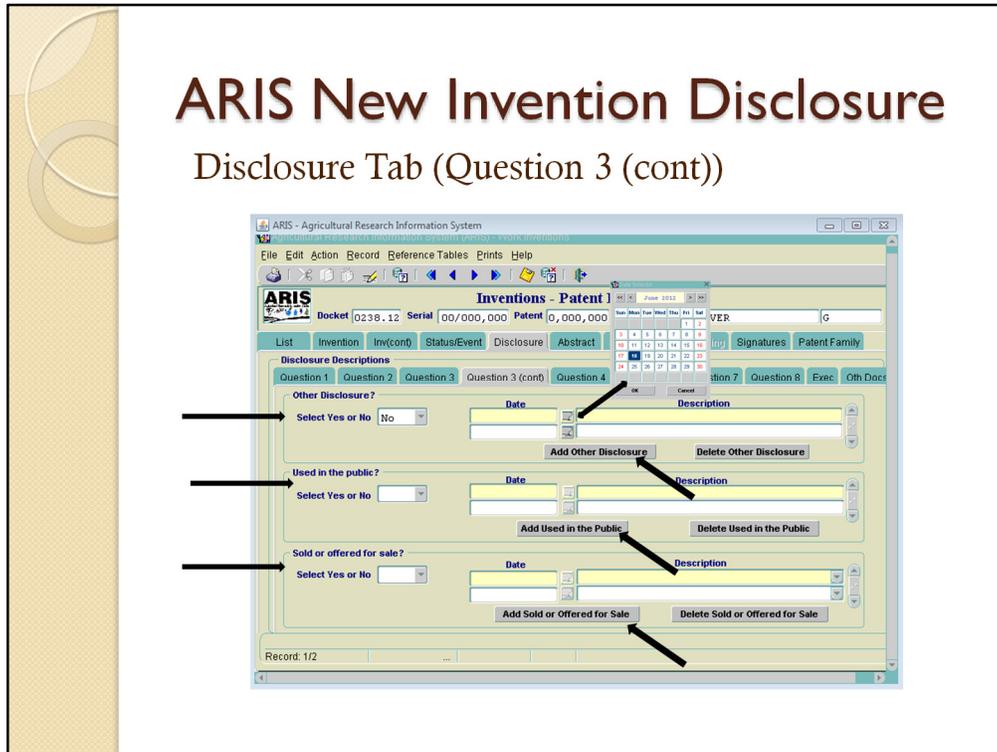
After each item listed has been uploaded the following must be answered:

*Was/is the publication/handout:*

Abstract/Presentation:	<i>Yes or No</i>
Journal/Publication:	<i>Yes or No</i>
Research Related:	<i>Yes or No</i>
Are there additional ARS-115's:	<i>Yes or No</i>
Presentation Handout/Other publication:	<i>Yes or No</i>
Unpublished Manuscript:	<i>Yes or No</i>

# ARIS New Invention Disclosure

## Disclosure Tab (Question 3 (cont))



### Disclosure Tab: (question 3 (cont))

- Question 3 continued allows you to add additional disclosure documents.
- You can select the disclosure date by clicking on the calendar, selecting the date, then ok.

#### **Other Disclosure?**

Are there other disclosures of this information? *Yes or No*

Add:  Date and Description

**Upload** other disclosure [Add other Disclosure]

#### **Used in Public?**

Has this invention been used in public? (i.e., field days, etc.) *Yes or No*

Add:  Date and Description

**Upload** anything related to the public use [Add Used in the Public]

#### **Sold or offered for sale?**

Has this invention been sold or offered for sale?

Add:  Date and Description

**Upload** what was sold or offered for sale [Add Sold or Offered for Sale]

# ARIS New Invention Disclosure

## Disclosure Tab (Question 4)

The screenshot shows the ARIS Agricultural Research Information System interface. The main window is titled "Inventions - Patent Dockets" and displays the "Disclosure" tab for "Question 4". The question text asks to list all contributors to the invention. Below the text is a table with columns for "Name (Last, First, MI, Suffix)", "Agency/Organization/Company", and a search icon. There are three buttons at the bottom: "Add ARS Contributor", "Add non-ARS Contributor", and "Delete Contributor". Arrows point to the "Add ARS Contributor" and "Add non-ARS Contributor" buttons.

### **Disclosure Tab: (Question 4)**

- Question four asks for ARS and Non-ARS contributors.
- Select the query question mark to search for ARS contributors. The agency information will auto populate.
- Select Non-ARS contributor to type the contributor's information directly into the field which will turn green.

### **Question 4:**

*List all of the people who contributed to the invention.*

### **Agency/Organization/Company:**

*This field will auto-populate for ARS contributors. For non ARS contributors please include their citizenship and respective employer*

# ARIS New Invention Disclosure

## Disclosure Tab (Question 5-6)

The screenshot shows the ARIS Inventions - Patent Dockets interface. The main content area is titled 'Disclosure Descriptions' and contains a series of tabs for 'Question 1' through 'Question 8'. The 'Question 5-6' tab is selected. Two arrows point to the '5. Technology Significance' and '6. Technology Stage' dropdown menus. The '5. Technology Significance' dropdown menu is currently empty, and the '6. Technology Stage' dropdown menu is currently empty. The status bar at the bottom indicates 'Record: 1/1'.

### Disclosure Tab: (Question 5-6)

#### **5. Technology Significance:** Choose one from the drop down list-

- Modification of Existing Technology
- Substantial Advancement in the Art
- Major Breakthrough.

#### **6. Technology Stage:** Choose one from the drop down list-

- Concept
- Design
- Prototype
- Modification
- Production Model
- Used in Current Work
- Ready to License Final Product

# ARIS New Invention Disclosure

## Disclosure Tab (Question 7)

The screenshot shows the ARIS Inventions - Patent Dockets interface. The 'Disclosure Descriptions' section is active, specifically 'Question 7'. The form contains the following elements:

- Future or Current Research Plans:** A text area with the question: "What additional research is needed to complete development and testing of the invention?"
- Response:** A text area for the user's answer.
- Is this research presently being undertaken?** A dropdown menu with a "Yes, select NP Code:" field and a "?" selection button.
- Was there a CRADA partner?** A dropdown menu with an "If yes, identify CRADA Partner and Number below, then upload agreement:" instruction.
- CRADA Agreement Upload:** Fields for "Incoming Agmt Log", "Source of Fund Code/CRADA Partner Description", "CRADA No.", "CRADA Agreement Filename", and "Date". Buttons for "Upload Agmt", "View Agmt", and "Delete Agmt" are present.

### Disclosure Tab: (Question 7)

**Question 7:** What additional research is needed to complete development and testing of the invention?

Is this research presently being undertaken? *Yes or No*

If yes, select (National Program) NP code: *click [?] to select from choices*

Was there a CRADA Partner? *Yes or No*

If yes, identify Incoming Agmt Log (*click [?] to select from choices*) and **upload** copy of CRADA/Agreement

# ARIS New Invention Disclosure

## Disclosure Tab (Question 8)

The screenshot shows the ARIS - Agricultural Research Information System interface. The main window is titled "Inventions - Patent Dockets". The "Disclosure Descriptions" tab is active, showing "Question 8". The question text is: "Was this invention first conceived of or reduced to practice with funding from one or more external agreements(s)? If so, please list the funding organization(s) and the funding organization agreement number(s) (i.e., for a NIFA grant, the agreement number with the format 20YY-nnnnn-nnnnn.)". Below the question is a dropdown menu for "Funding from external agreement(s)?". Below that is a table titled "Source of Funds" with the following columns: "Incoming Agmt Log", "Source of Fund Code", "Description", "Fund Type", and "Cooperator Reference No.". The table has several rows, each starting with a question mark in the "Incoming Agmt Log" column. At the bottom of the table are buttons for "Add Source of Funds" and "Delete Source of Funds".

### Disclosure Tab: (Question 8)

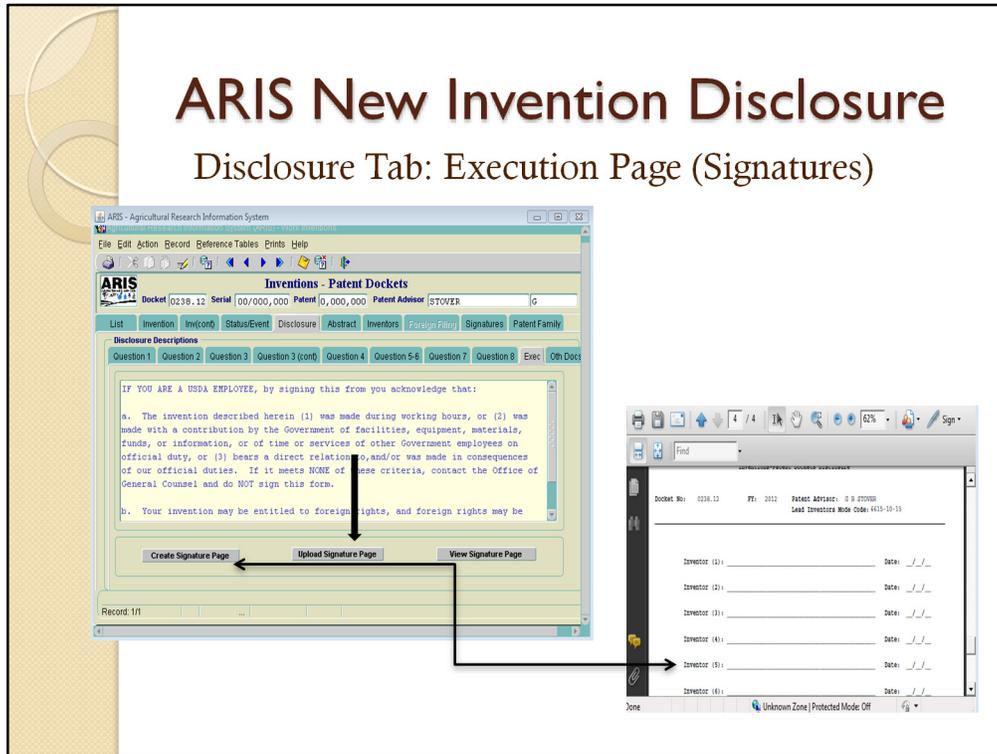
**Question 8:** Was this invention first conceived of or reduced to practice with funding from one or more external agreement(s)? If yes, please list the funding organization (s) and the funding organization agreement number(s) (i.e., for a NIFA grant, the agreement number with the format 20YY-nnnnn-nnnnn.)

Funding From external agreement(s)?                      Yes or No

If yes, click [Add Source of Funds] then click [?] for the list of choices

# ARIS New Invention Disclosure

## Disclosure Tab: Execution Page (Signatures)



### Disclosure Tab: (Exec)

• The inventor's signature execution page now allows you to upload an already executed signature page, create a new one, or view an existing page. **Please note:** you can not advance or "approve" this disclosure until a signature page is **uploaded**.

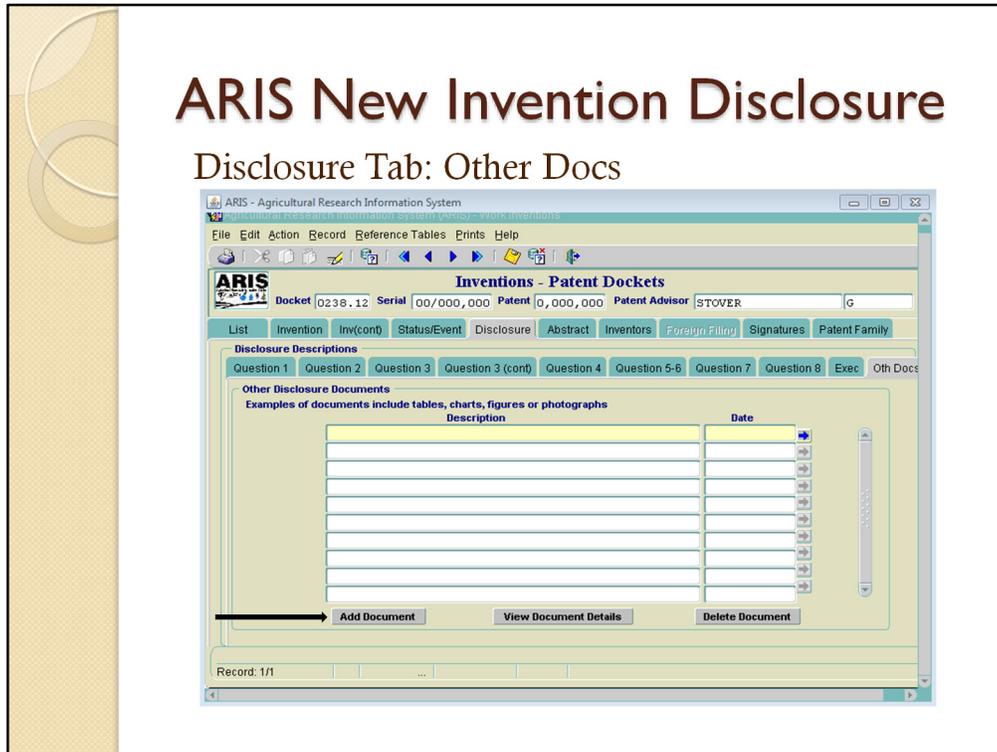
**Execution:** (Create a signature page in this section in ARIS. Print it, sign it, then upload it to the system.)

IF YOU ARE A USDA EMPLOYEE, by signing this form you acknowledge that:

- a. The invention described herein (1) was made during working hours, or (2) was made with a contribution by the Government of facilities, equipment, materials, funds, or information, or of time or services of other Government employees on official duty, or (3) bears a direct relation to, and/or was made in consequences of your official duties. (If it meets NONE of these criteria, contact the Office of General Counsel and do NOT sign this form.)
- b. You may be entitled to foreign rights in the invention, and foreign rights may be jeopardized by publishing or disclosing the invention before a patent application is filed in the U.S. Patent and Trademark Office.

# ARIS New Invention Disclosure

## Disclosure Tab: Other Docs

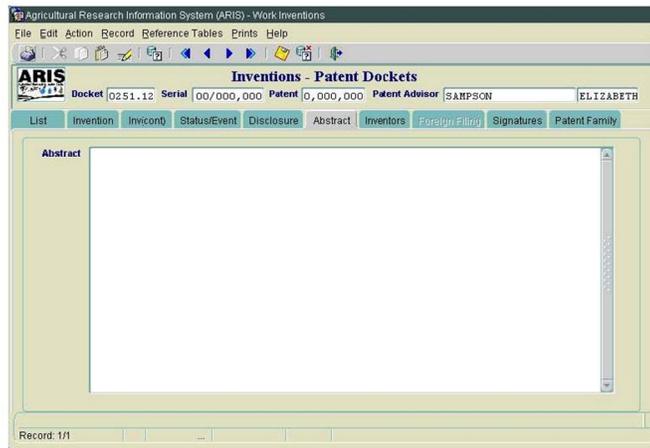


### Disclosure Tab: (Other Docs)

- Please **upload** any additional disclosure material such as charts, tables, figures, or photos that that would assist the Committee with the review and the Patent Advisor writing the application

# ARIS New Invention Disclosure

Abstract Tab - No input/entry required



- No input/entry required

# ARIS New Invention Disclosure

## Inventors Tab – ARS Inventors

### Inventor(s) Tab:

- A few changes have been made to the inventors page. After clicking on the Add ARS Inventor button, the information sheet now asks for the inventor's home address and country of citizenship.
- The National Program Leader (NPL) information will be self populated from the information that is in the system. If there is a newly assigned or acting NPL, the user can select up to two individuals by clicking on the question mark and querying for their name under Current Resp Name 1 or 2.

### Adding an ARS inventor:

*click [Add ARS Inventor] button  
click the [?] at the end of the Inventors Name Line – select your ARS inventor*

### **Employee Status:** (choose only one and only one primary contact can be designated)

Primary Contact  
Former Employee  
Deceased

### **Residence Information:**

Street Address  
City  
State  
Postal Code  
Country  
Phone number

### **Business Information:**

The address, city, state, postal code, and country will auto-populate  
*Please fill in the Phone number, email address and fax number*

### **Select Project:**

*click the [?] at the end of the Project No. boxes – search and select the project number*

- The National Program Leader (NPL) information will be self populated from the information that is in the system.
- If there is a newly assigned or acting NPL, the user can select up to two individuals by *clicking on the [?]* and querying for their name under Current Resp Name 1 or 2.

# ARIS New Invention Disclosure

## Inventors Tab – Non ARS Inventor

ARIS - Agricultural Research Information System

Non-ARS Inventor Information

Enter information for Inventor (Non-ARS Employee):

Agency/Organization

\*Non ARS Location Desc

Last Name First Name Middle Name Suffix Name Primary Contact? Deceased?

Residential Information

\*Address

City State Postal Code

Country Phone

Who is the assignor that the inventor is obligated to assigned to? University Company Self

Business Information

\*Address

City State Postal Code

Country Phone Fax Number Inventor Email

Save Cancel Close

Who is the assignor that the inventor is obligated to assigned to? University Company Self

### Inventor(s) Tab:

- The Non-ARS inventor's information sheet remains the same except for the information sheet now asks for the inventor's home address, country of citizenship, and a newly added question pertaining to obligation of assignment.

#### Adding a Non-ARS Inventor:

**Agency/Organization-** Who is this inventor affiliated with?

**Non ARS Location Desc** - The same answer for Agency/Organization can be repeated

**Last name, First Name, Middle name and suffix** (if known)

#### Residence Information:

Street Address  
City  
State  
Postal Code  
Country  
Phone number

**Who is the assignor that the inventor is obligated to assign to?** (Choose only one)

University  
Company  
Self

#### Business Information:

Street Address  
City  
State  
Postal Code  
Country  
Phone number  
Fax number  
Inventor email address

# ARIS New Invention Disclosure

## Signature Tab

The screenshot displays the ARIS Inventions - Patent Dockets Signatures tab. The interface includes a menu bar (File, Edit, Action, Record, Reference Tables, Prints, Help) and a toolbar. The main area shows the 'Signatures' tab selected, with a table for entering signatures. The table has columns for Title, Sig Code, Name (Last, First, MI, Suffix), Date, Approve, and Disapprove. The 'Research Leader' section is highlighted with an arrow. Below the table are buttons for 'Clear Signature', 'Approve/Disapprove', 'Approve to OTT/MQ', and 'Approve to Official File'.

### SignatureTab:

Once the information has been input and uploaded into the disclosure and reviewed by the scientist(s) and RL the RL's signature can be added and the disclosure will advance electronically to the next approval level.

❖ **Please Note:** It is OTT's policy that an invention disclosure will not be reviewed by a Patent Committee until all levels of electronic approval (i.e., through the Area Directors Office) have been satisfied.



# **Thank You** **ANY QUESTIONS?**

**If you have problems accessing ARIS or entering information into the program – Please Contact:**

Sonya Domingo, Legal Administrative Specialist (Patents) 510-559-6067 [Sonya.Domingo@ars.usda.gov](mailto:Sonya.Domingo@ars.usda.gov)

Kristin Kimball, Technology Transfer Assistant, 510-559-5619 [Kristin.Kimball@ars.usda.gov](mailto:Kristin.Kimball@ars.usda.gov)

Trish Roman, Area Program Analyst, 510-559-6064 [Trish.Roman@ars.usda.gov](mailto:Trish.Roman@ars.usda.gov)

**For questions regarding patentability or patent policy – Contact your Patent Advisor**

**National Patent Committees Meet Quarterly to review submitted Invention Disclosures:**

National Life Sciences Patent Committee: October, January, April, and July

National Chemical Patent Committee: November, February, May and August

National Mechanical Patent Committee: December, March, June, and September