

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 menu bar includes 'File', 'Edit', 'Action', 'Docket', 'Reference Tables', 'Prints', and 'Help'. The toolbar contains various icons for navigation and actions. The main content area is titled 'Inventions - Patent Dockets' and features a tabbed interface with 'Invention' selected. The form includes several input fields and checkboxes. Three arrows point to specific fields: 'Title of Invention', 'Bio Energy Invention?', and 'Agency Type'. Other fields include 'Docket No.', 'FY', 'PA (Code, Last, First, MI, Suffix)', 'Org Responsible for Prosecution', 'Cooperator Name (if applicable)', 'Parent Docket No (if applicable)', 'Plant Docket No (if applicable)', 'Life Science', 'Chemical', 'Mechanical and Measurement', 'Primary Contact Inventor (Last, First, MI, Suffix)', 'Date Inv Disclosure Recvd', 'Date of Notice of Availability', 'Provisional Serial No', 'Provisional File Date', 'Serial Number', 'Date Application Filed', 'Patent Number', 'Date Patented', 'Release 115s to Tektran', and 'Licensed?'.

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:** *Select either APHIS, ARS, BOR or Forest Service*
- **Subject Matter Disclosure:** *Life Sciences, Chemical, or Mechanical*

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Invention (cont) Tab

The screenshot shows the ARIS web application interface. At the top, there's a menu bar with 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Prints', and 'Help'. Below that, the 'ARIS' logo is visible. The main content area is titled 'Inventions - Patent Dockets'. It contains several tabs: 'List', 'Invention', 'Inv(cont)', 'Status/Event', 'Disclosure', 'Abstract', 'Inventors', 'Foreign Filing', and 'Patent Family'. The 'Inv(cont)' tab is active. Below the tabs, there are input fields for 'Docket' (0238.12), 'Serial' (0/000,000), 'Patent' (0,000,000), and 'Patent Advisor' (STOVER). There are also dropdown menus for 'CRADA' (set to 'No') and 'Foreign Rights Available' (set to 'No'). Below these are fields for 'CRADA Agreement No.' and 'Non ARS Agreement No.'. A section titled 'Related CRIS Projects as Identified by Inventors' contains a table with columns 'Acen No', 'Project No.', and 'Title'. The table has one row with values: '418303', '6615 32000 044 00 D', and 'BIOLOGY, GENOMICS, AND INTEGRATED PEST MANAGE...'. Below the table is a 'Public Access' field with a 'Date' field. A checkbox is labeled 'If this invention is jointly owned, does the joint owner qualify for small entity status for patent applications filed at United States Patent and Trademark Office?'. Below this are text areas for 'Patent Advisor Comments' and 'NPPC Comments'. At the bottom, it says 'Record: 1/1'.

Please populate only the fields indicated by an arrow: (all others 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

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.**

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Status /Event Tab – No input/entry required

The screenshot shows the ARIS Inventions - Patent Dockets interface. The 'Status/Event' tab is selected. The table below shows the status of the invention.

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

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

Fee Info:
Date Fee Paid: _____ Fee Amt: \$0
Next Fee Due: _____ Amt Due: \$0

- No input/entry required

ARIS New Invention Disclosure

Disclosure Tab (Question 1)

The screenshot shows the ARIS - Agricultural Research Information System interface. The main window is titled "Inventions - Patent Dockets". It features a menu bar with "File", "Edit", "Action", "Record", "Reference Tables", "Prints", and "Help". Below the menu bar is a toolbar with various icons. The main content area is divided into several sections. At the top, there are fields for "Docket" (0238.12), "Serial" (00/000,000), "Patent" (0,000,000), and "Patent Advisor" (STOVER). Below these fields are several tabs: "List", "Invention", "Inv(cont)", "Status/Event", "Disclosure", "Abstract", "Inventors", "Patent Family", and "Patent Family". The "Disclosure" tab is currently selected. Underneath, there are several question tabs: "Question 1", "Question 2", "Question 3", "Question 3 (cont)", "Question 4", "Question 5-6", "Question 7", "Question 8", "Exec", and "Oth Docs". The "Question 1" tab is active, showing a text input area with the following instructions: "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 the text input area are three radio buttons: "Utility Invention" (selected), "Biological Material", and "Plant Patent". At the bottom of the response area is a "Clear Response" button. The status bar at the bottom of the window shows "Record: 1/1".

Disclosure Tab: (Question 1)

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

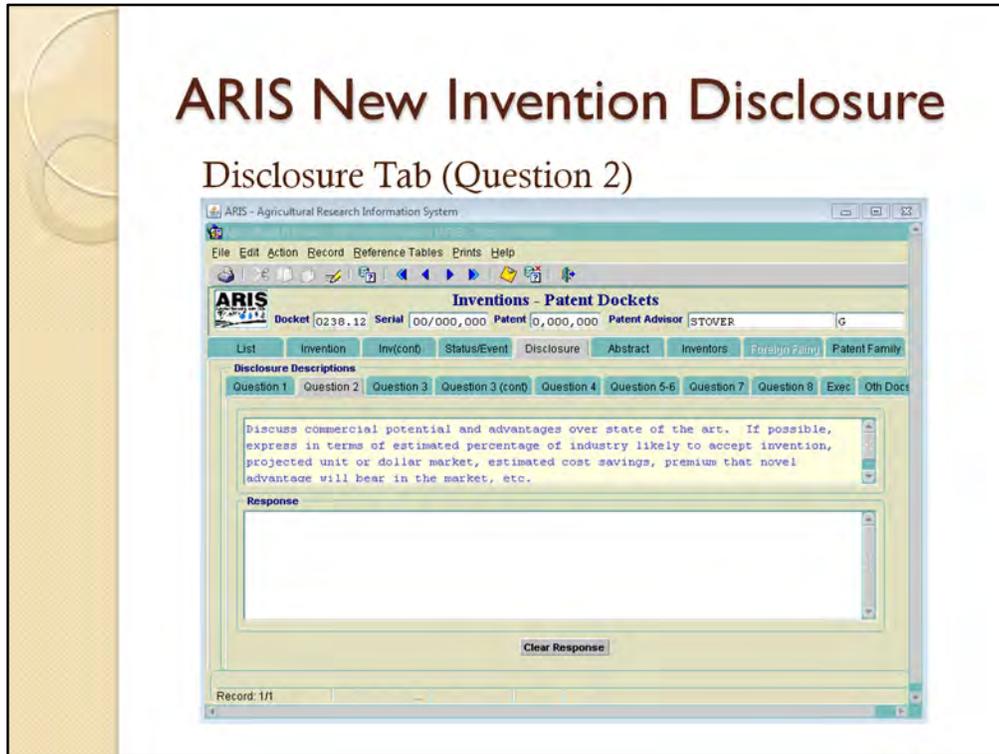
Utility Invention, Biological Material, or Plant Material

❖ **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)

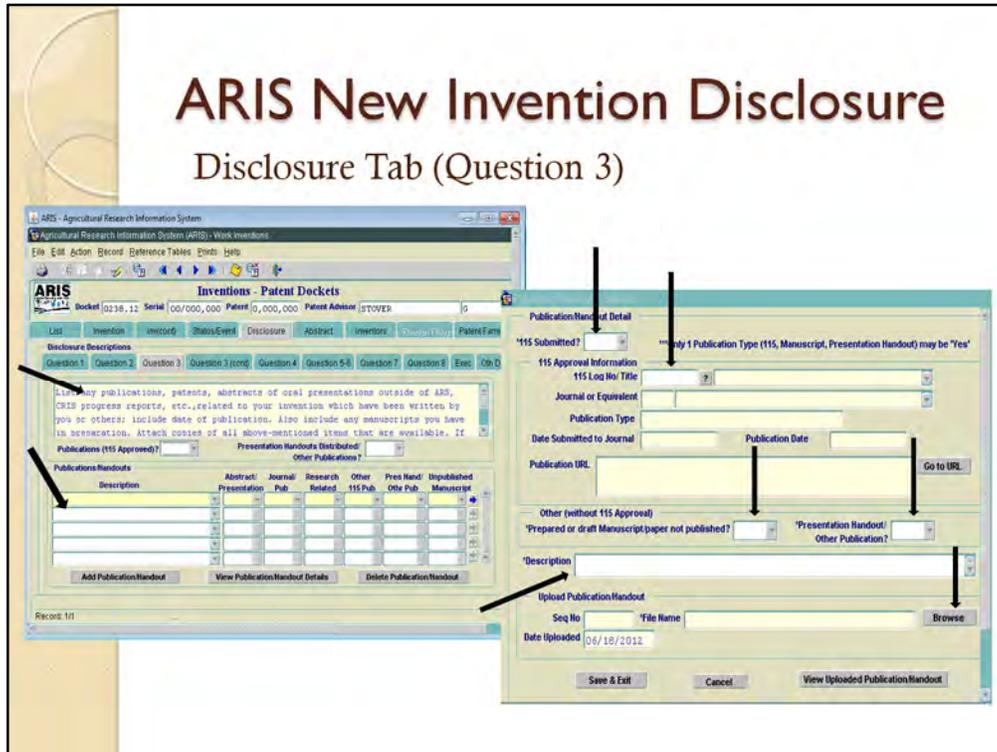


Disclosure Tab: (Question 2)

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

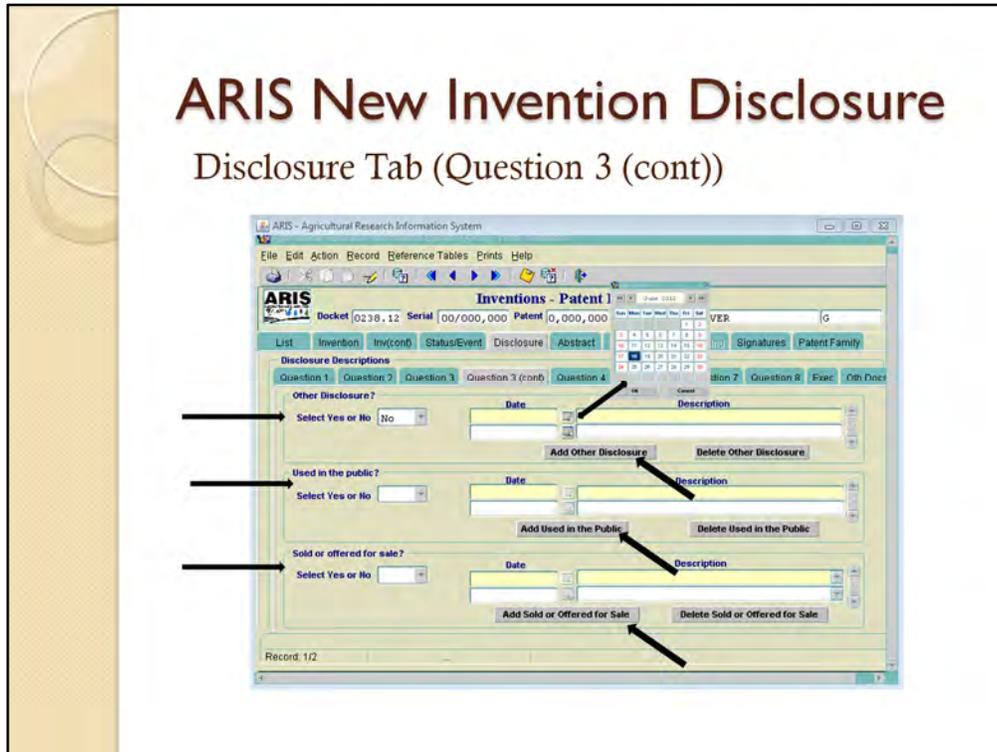
After each item listed has been uploaded the following must be answered:

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 title bar reads 'ARIS - Agricultural Research Information System'. The main window title is 'Inventions - Patent Dockets'. The interface includes a menu bar (File, Edit, Action, Record, Reference Tables, Prints, Help) and a toolbar. The 'Disclosure Descriptions' section is active, showing 'Question 4' selected. The question text is: 'List all of the people who contributed to the invention. Include their respective employer.' Below this is a table for 'Contributors' with columns for 'Name (Last, First, MI, Suffix)', 'Agency/Organization/Company', and a search icon. Below the table are buttons for 'Add ARS Contributor', 'Add non-ARS Contributor', and 'Delete Contributor'. Arrows point to the search icon and the 'Add non-ARS Contributor' button. The status bar at the bottom shows 'Cut' and 'Record: 1/1'.

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 window title is "ARIS - Agricultural Research Information System". The menu bar includes "File", "Edit", "Action", "Record", "Reference Tables", "Prints", and "Help". The toolbar contains various navigation icons. The main content area has a tabbed interface with tabs for "List", "Invention", "Inv(cont)", "Status/Event", "Disclosure", "Abstract", "Inventors", "Foreign Filings", "Signatures", and "Patent Family". The "Disclosure" tab is active, showing a list of questions: "Question 1", "Question 2", "Question 3", "Question 3 (cont)", "Question 4", "Question 5-6", "Question 7", "Question 8", "Exec", and "Oth Docs". The "Question 5-6" tab is selected, showing two drop-down menus: "5. Technology Significance" and "6. Technology Stage". Arrows point to these menus from the left. 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, showing 'Question 7'. The question text is: 'What additional research is needed to complete development and testing of the invention?'. Below this is a 'Response' text area. Further down are several fields: 'Is this research presently being undertaken?' with a dropdown menu, 'Was there a CRADA partner?' with a dropdown menu, and 'Incoming Agmt Log' with a dropdown menu. There are also fields for 'Source of Fund Code/CRADA Partner Description', 'CRADA Agreement Filename', and 'Date'. At the bottom left, there are buttons for 'Upload Agmt', 'View Agmt', and 'Delete Agmt'. Arrows in the image point to the 'Response' field, the 'Is this research presently being undertaken?' field, the 'Was there a CRADA partner?' field, and the 'Upload Agmt' button.

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)

ARIS - Agricultural Research Information System

Inventions - Patent Dockets

Docket 0238.12 Serial 00/000,000 Patent 0,000,000 Patent Advisor STOVER

Disclosure Descriptions

Question 1 Question 2 Question 3 Question 3 (cont) Question 4 Question 5-R Question 7 Question 8 Exec Oth Docks

Was this invention first conceived of or reduced to practice with funding from one or more external agreement(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.)

Funding from external agreement(s)?

Incoming Agmt Log	Source of Fund Code	Description	Fund Type	Cooperator Reference No
?				
?				
?				
?				

Add Source of Funds Delete Source of Funds

Record: 1/1

Disclosure Tab: (Question 8)

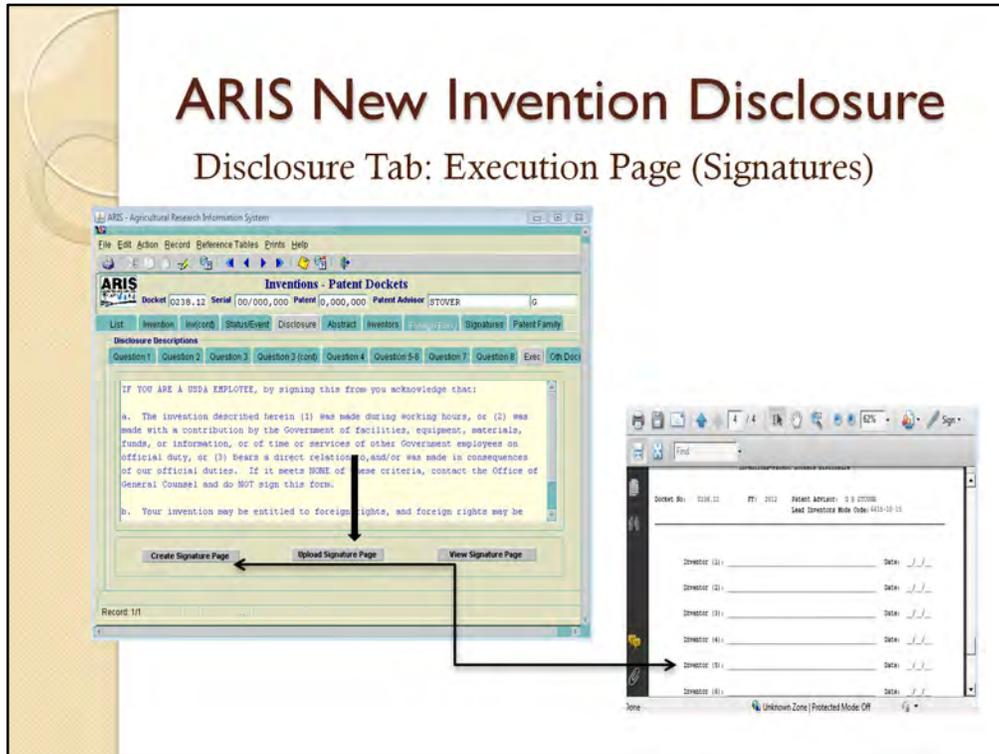
Question 8: Was this invention first conceived of or reduced to practice with funding from one or more external agreement(s)? If yes, please list the funding organization (s) and the funding organization agreement number(s) (i.e., for a NIFA grant, the agreement number with the format 20YY-nnnnn-nnnnn.)

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.

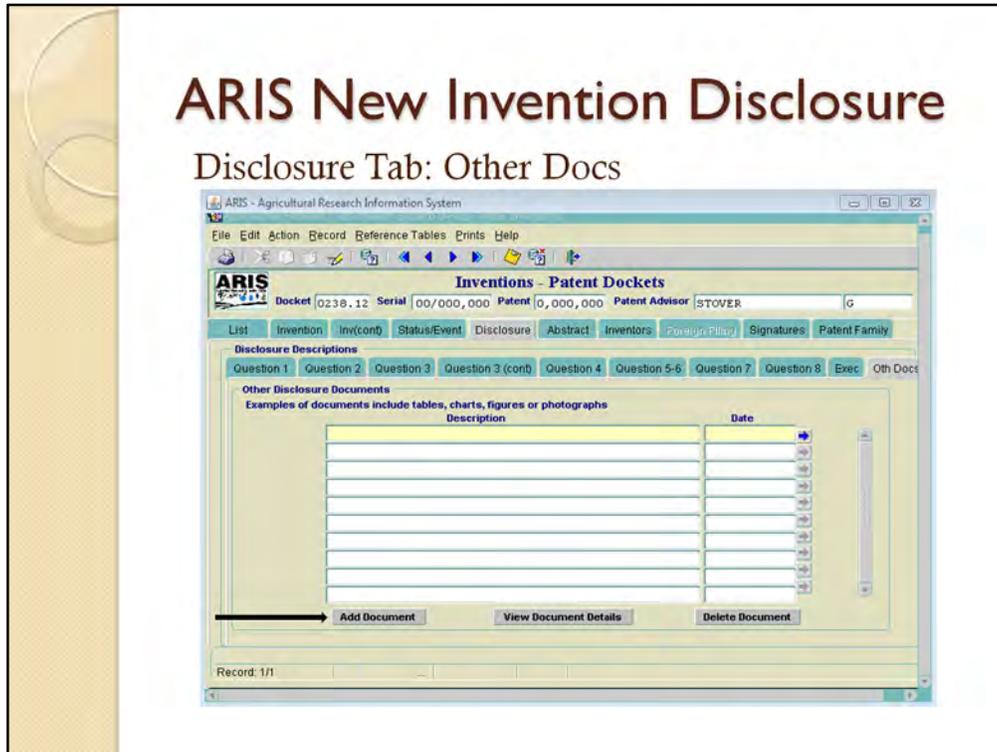
Execution: (Create a signature page in this section in ARIS. Print it, sign it, then [upload](#) it to the system.

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

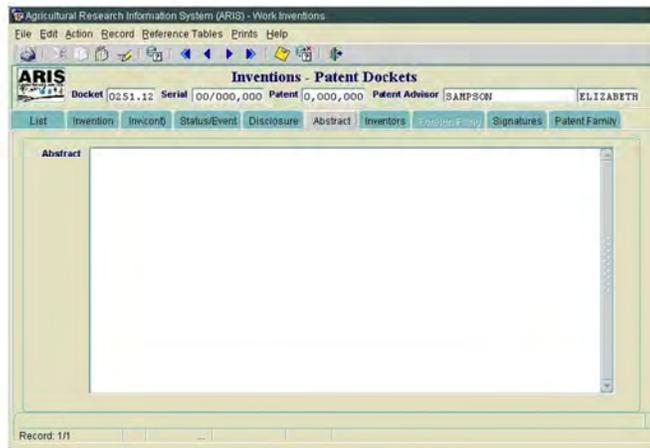


Disclosure Tab: (Other Docs)

- 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

IRIS Inventions - Patent Dockets
Docket 0238.12 Serial 00/000,000 Patent 0,000,000 Patent Advisor STOVER G

Inventor List

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
VANDER HEER ROBERT K	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Inventor Details

Name: VANDER HEER ROBERT K Modecode: 66 15 10 15

Address: MEDICAL, AGRIC & VETRY ENTOL
City, State, Postal Code: GAINESVILLE
Phone: _____ Fax: _____
Acen No: 0418303 Project No: 6615
Project Title: BIOLOGY, GENONICS, AND INTE
Project Modecode: 66 15 10 15 GAINESVILLE, FLOR
Agency/Organization: ARS
Non-ARS Location Desc: _____

Enter Information for ARS Employee:

Agency/Organization: ARS
Inventor's Name (Last, First, MI, Suffix): _____
Primary Contact?: Former Employee?: Deceased?:
Inventor's Modecode: _____

Residential Information

Address: _____
City: _____ State: _____ Postal Code: _____
Country: _____ Phone: _____
E-Mail: _____

Business Information

Address: _____
City: _____ State: _____ Postal Code: _____
Country: _____ Phone: _____
E-Mail: _____ Fax Number: _____

Select Project

NP Code (Type N-C, Description): _____
Project Title: _____
Project Modecode: _____
National Program Team: (Last, First, MI, Suffix, Type I-L, Dr, M, Member, A, DA)
Current Resp Name 1: _____
Current Resp Name 2: _____

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: (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.

Note: It is important to complete each field thoroughly. Data such as residence is used by OTT to prepare patent documentation.

ARIS New Invention Disclosure

Inventors Tab – Non ARS Inventor

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

Note: It is important to complete each field thoroughly. Data such as residence is used by OTT to prepare patent documentation.

ARIS New Invention Disclosure

Signature Tab

ARIS Agricultural Research Information System (ARIS) - Work Inventions

File Edit Action Record Reference Tables Prints Help

ARIS Inventions - Patent Dockets

Docket 0254.12 Serial 00/000,000 Patent 0,000,000 Patent Advisor SAMPSON ELIZABETH

List Invention Inv(Con) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

Title	Sig Code	Name				Date	Approve	Disapprove
Field		Last	First	MI	Suffix			
Research Leader							<input type="checkbox"/>	<input type="checkbox"/>
CDL/DAD							<input type="checkbox"/>	<input type="checkbox"/>
Area Director							<input type="checkbox"/>	<input type="checkbox"/>
Headquarters								
LIE (Legal Instruments Examiner)							<input type="checkbox"/>	<input type="checkbox"/>
PA							<input type="checkbox"/>	<input type="checkbox"/>
OTT/MQ							<input type="checkbox"/>	<input type="checkbox"/>

Clear Signature Approve/Disapprove Approve to OTT/MQ Approve to Official File

Signature Tab:

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 data into the program, please contact:

Robin McCormick- Legal Administrative Specialist (Patents) 301-504-6532

ARIS helpdesk- ARIS@ars.usda.gov

For questions regarding patentability or patent policy- Contact your Patent Advisor