**Creative Works Disclosure Form**

*Please use this disclosure form for innovations or programs comprised primarily of creative*

*works such as writings, surveys, assessments, curriculum, videos, etc. to KUCTC*

**Thank you for taking the time to disclose this new innovation to KUCTC!** Whether you are part of the KUMC, Lawrence, Edwards, Wichita, or Salina campus, we appreciate your efforts to be innovative!

If this is your first time submitting an invention disclosure, please see our guide and instructions in **Exhibit A** at the end of this form; otherwise please dive in and share your innovation with us! If you have any questions while completing this form, please contact our team at [kuctc@ku.edu](mailto:kuctc@ku.edu).

We look forward to working with you! Rock Chalk Jayhawk!

**RETURN THIS FORM ONCE COMPLETED TO: KUCTC@ku.edu**

For KUCTC Use Only:

Sponsor Verified (Y/N): \_\_\_\_\_\_\_\_ Export Control (Y/N): \_\_\_\_\_\_\_\_\_\_ If Industry Sponsor, Is SRA applicable/executed? (Y/N): \_\_\_\_\_\_

Copyright (Y/N): \_\_\_\_\_\_\_\_\_\_\_\_\_ Report to iEdison (Y/N): ­­\_\_\_\_\_\_\_\_ Tech Class: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Is MTA Linked (Y/N): \_\_\_\_\_\_\_\_\_ 3rd Party Material Use (Y/N): \_\_\_\_\_\_ If Federally Sponsored, Award Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Who is lead for patenting? \_\_\_\_\_\_Sponsor? \_\_\_\_\_\_KU? \_\_\_\_\_\_\_Co-inventor Institution?

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| **Part I: Description of the Work** |
| \*Indicates a required field  **Creative Work Title\*1:** [Title] |
| **Creative Work Description\*2:** *Provide a reasonably detailed description of the creative work.* |
| **Optional Information3:**  *Please list any similar works, technologies, or existing products you are aware of – including your own. Also please list any potential industry partners who may find the disclosed invention of interest.*  ***This information is appreciated but not required to disclose.*** |

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| **Part II: Creative Work Specifics** | |
| **Initial Completion\*4:** Please list the date in which the initial version of the work was completed? | Date: |
| **Prior Versions\*5:** Is the disclosed work an improvement or derivative of an existing work? This includes prior versions of the creative work itself. | Yes  No |
| If **yes**, please describe and include the KUCTC TechID number (if it was disclosed to KUCTC) or a link to the creative work from which this version is derived (if it is publicly available)? | |
| **Multimedia\*6:** Is the disclosed work comprised of multiple types of media (written works, video, audio, web) etc.? | Yes  No |
| If **yes**, please describe the main components that comprise the multimedia work (if this information has not already been included in the description in Section 1 above). | |
| **Stage of Development\*7**: If the creative work is an assessment, survey instrument, or other tool used to collect and assess information/data, please indicate whether it has been validated in representative population. | |
| **Further Development:** If you plan to continue refining the creative work, please share your development plans. | |

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| **Part III: Public Disclosures** | | |
| **Disclosures\*:** Has this work been described either in a **publication** or **public presentation** (external to KU)? | | Yes  No |
| If **yes**, please include names of periodicals/journals/conferences and attach a copy. | Where: | Date: |
| **If unpublished or undisclosed**, please share you plans for publishing or presenting.\* | Where: | Date: |

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| **Part IV: Support, Materials, & Other Obligations** | | | | | |
| **Funding Information\*9:** | | | | | |
| Please check the source(s) of support used in the research/development of the disclosed work.  Federal  Foundation  Industry  State  Internal  Other  NONE | | | | | |
| Please identify below each funding source’s name and each corresponding grant/contract or award number/ID. Please add rows if needed. | | | | | |
| **Funding Source Name**  *(List primary funding source first)* | **Grant/Contract Number** | | **Award Date** | **Principal Investigator** | |
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| **Third Party Material\*10:** | | | | | |
| Were any materials or data provided by a third party?  Yes  No  Unknown | | If yes, please provide details: | | | |
| If yes, are the material/equipment proprietary or subject to export control?  Yes  No  Unknown | | If yes, please provide details: | | | |
| If yes, were the material or data provided under a material transfer agreement (MTA) or data use agreement (DUA)?  Yes  No  Unknown | | If yes, please provide details including a description of the material/data, the provider, and a KU reference number for the agreement if possible: | | | |
| **Export Control\*11:** | | | | | |
| Does the disclosed work have a potential for “Dual Use” meaning having both a potential commercial application as well as possible military application or are you aware of applicable export control relevant to the disclosed invention?  *For examples of what types of projects, technology, or materials may be subject to export control restrictions please see number 8 in Exhibit A. For additional information on export control regulations please see -* [*export regulations*](https://export-compliance.ku.edu/compliance) | | | | | Yes  No |
| If “Yes” please provide additional details: | | | | | |

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| **Part V: Contributor Information12** | | | | | | | |
| **Contributors & Allocation\*13:** | | | | | | | |
| Please List **ALL** contributors14 (non-KU contributors should also be included) and the percentage of their contribution below. Add additional rows if needed.  List percentage of contribution at the time of this disclosure is necessary and the “Contribution %” should reflect each contributor’s contribution to the conception and creation of the work and should be agreed upon by all contributors. KUCTC understands that contributions may fluctuate as the technology is developed. If percent contribution is not included, KUCTC will assume an equal contribution from each individual. | | | | | | | |
| **Contributor’s Name** | | **%** | | **Contributor’s Institution** | | | |
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| **KU** **CONTRIBUTOR #1 - PRIMARY CONTACT** | | | | | | | | |
| Full Name: | | | Citizenship:  US Citizen  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | |
| Home Address: | | | Home/Cell Phone: | | | | | |
|  | | | Home Email: | | | | | |
|  | | | Work Email: | | | | | |
| **Faculty Members**, please list the department and school of your faculty appointment: | | | | | |  | | |
| **Non-faculty Members**, please list the department, center or institute in which you are employed: | | | | | |  | | |
| **OPTIONAL15** | Gender Identity:  Male  Female  Other (including non-binary or transgender) | | | | | | | |
|  | Race/Ethnicity:  American Indian/Alaska Native  Asian  Black/African American  Hispanic/Latino  Native Hawaiian/Pacific Islander  White  Other | | | | | | | |
| **Veterans Affairs (VA) Appointment Affiliation:** | | | | | | | | |
| No VA Appointment  VA Appointment: Dually Appointed  VA Appointment Without Compensation | | | | | | | | |
| If you have a VA Appointment, did you perform any research activities at the VA for this invention? | | | | | | | Yes  No | |
| If you have a VA Appointment and answered “No” above, were you appointed to exclusively perform clinical services, attending services, or educational activities? | | | | | | | Yes  No | |
| I acknowledge the terms and conditions of the University of Kansas Intellectual Property Policy. I hereby assign all right, title and interest to this invention or work to the University of Kansas and agree to cooperate with KUCTC in the protection of this invention or work. | | | | | Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |

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| **KU** **CONTRIBUTOR #2** | | | | | |
| Full Name: | | Citizenship:  US Citizen  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Home Address: | | Home/Cell Phone: | | | |
|  | | Home Email: | | | |
|  | | Work Email: | | | |
| **Faculty Members**, please list the department and school of your faculty appointment: | | | |  | |
| **Non-faculty Members**, please list the department, center or institute in which you are employed: | | | |  | |
| **OPTIONAL15** | Gender Identity:  Male  Female  Other (including non-binary or transgender) | | | | |
|  | Race/Ethnicity:  American Indian/Alaska Native  Asian  Black/African American  Hispanic/Latino  Native Hawaiian/Pacific Islander  White  Other | | | | |
| **Veterans Affairs (VA) Appointment Affiliation:** | | | | | |
| No VA Appointment  VA Appointment: Dually Appointed  VA Appointment Without Compensation | | | | | |
| If you have a VA Appointment, did you perform any research activities at the VA for this invention? | | | | | Yes  No |
| If you have a VA Appointment and answered “No” above, were you appointed to exclusively perform clinical services, attending services, or educational activities? | | | | | Yes  No |
| I acknowledge the terms and conditions of the University of Kansas Intellectual Property Policy. I hereby assign all right, title and interest to this invention or work to the University of Kansas and agree to cooperate with KUCTC in the protection of this invention or work. | | | Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |

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| **KU** **CONTRIBUTOR #3** | | | | | |
| Full Name: | | Citizenship:  US Citizen  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Home Address: | | Home/Cell Phone: | | | |
|  | | Home Email: | | | |
|  | | Work Email: | | | |
| **Faculty Members**, please list the department and school of your faculty appointment: | | | |  | |
| **Non-faculty Members**, please list the department, center or institute in which you are employed: | | | |  | |
| **OPTIONAL15** | Gender Identity:  Male  Female  Other (including non-binary or transgender) | | | | |
|  | Race/Ethnicity:  American Indian/Alaska Native  Asian  Black/African American  Hispanic/Latino  Native Hawaiian/Pacific Islander  White  Other | | | | |
| **Veterans Affairs (VA) Appointment Affiliation:** | | | | | |
| No VA Appointment  VA Appointment: Dually Appointed  VA Appointment Without Compensation | | | | | |
| If you have a VA Appointment, did you perform any research activities at the VA for this invention? | | | | | Yes  No |
| If you have a VA Appointment and answered “No” above, were you appointed to exclusively perform clinical services, attending services, or educational activities? | | | | | Yes  No |
| I acknowledge the terms and conditions of the University of Kansas Intellectual Property Policy. I hereby assign all right, title and interest to this invention or work to the University of Kansas and agree to cooperate with KUCTC in the protection of this invention or work. | | | Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |

*Please add additional tables for KU contributors as needed.*

*If non-KU contributors are involved, please complete the table below and add additional tables as needed.*

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| **NON-KU** **CONTRIBUTOR #1** | | |
| Full Name: | Citizenship/Visa Status: | |
| Institutional Affiliation: | Position/Title: | |
| Home Address: | Home/Cell Phone: | |
| Home Email: | |
| Work Email: | |
| Is this individual a federal employee? | | Yes  No |

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| --- | --- | --- |
| **NON-KU** **CONTRIBUTOR #2** | | |
| Full Name: | Citizenship/Visa Status: | |
| Institutional Affiliation: | Position/Title: | |
| Home Address: | Home/Cell Phone: | |
| Home Email: | |
| Work Email: | |
| Is this individual a federal employee? | | Yes  No |

**Exhibit A – Disclosure Guide & Instructions**

Disclosing your creative work is an early and important step in the technology transfer process - it helps document the work that has been created, provides critical information needed by KUCTC to assess protection strategies, market potential, and other factors that are relevant to commercialization. We strongly encourage you to submit a Creative Work Disclosure Form prior to any public disclosure (publication, poster, presentation, etc.) when possible.

Our Creative Work Disclosure Form is divided into four sections; please fill out each part as completely as possible. The importance of each section is discussed below:

**Part 1** - Description of the Creative Work – A good description is key to helping KUCTC’s team understand your innovation as well as how it might be useful.

1. Title: The title should be brief but descriptive; if you can avoid using jargon or acronyms, we appreciate it.
2. Creative Work Description: Please describe the work to the best of your abilities. Key points to highlight when applicable include:
   1. What is the general purpose, problem, or challenge solved by the work?
   2. What is the existing process, product, or way for solving the problem; where do those existing products or processes fall short?
   3. How does the disclosed creative work improve upon the current state of the art or overcome existing disadvantages? Are there other advantages of the work you want KUCTC to be aware of?
   4. What are the key new features of the work (in comparison to existing solutions or tools)?
   5. Any thoughts about how the end user of the work/tool would benefit from the invention are also welcomed.
   6. If more detailed information is available (draft manuscript, PowerPoint, figures, sketches, etc.), please attach those when submitting.
3. Our innovators are also great resources as they are knowledgeable of their field and often have existing industry relationships. This optional information assists KUCTC in conducting its review of the disclosed work. No additional research on the part of our innovators is expected, but if you have thoughts or ideas, we will happily accept them, including your ideas on how this newly disclosed work may differ from similar existing technologies. If you harbor entrepreneurial interests yourself and are considering a startup company to advance the disclosed invention, it can be mentioned here.

**Part 2** – Creative Work Specifics – This section includes information that is uniquely relevant to creative work innovations. It helps KUCTC further critical details that can impact the ability to commercialize or license the work.

1. The initial date of completion of the first complete version of the work helps KUCTC understand how long it has been in development and trace back to a date for copyright purposes.
2. We understand that creative works development is often iterative and a process of constant improvement, therefore there can be prior versions of the work already available or in use. Understanding these facets helps KUCTC make recommendations regarding how the work may be protected and identify potential challenges to commercialization efforts.
3. Creative works can be a part of a larger multimedia works; alternatively, a single work can be comprised of multiple types of media. Understanding where the disclosed work may fit in the scope of a larger effort is helpful to KUCTC.
4. Some works come to KUCTC early in their development, and some later after validation, or after it has already been used preliminarily. For assessments and surveys, validation in a relevant population is often key to further use and commercialization.
5. As mentioned above, creative works often are continually developed, refined, or improved upon. Knowing any planned efforts to for future development can be relevant to licensing and commercialization strategies.

**Part 3** – Public Disclosures - This Section requests information regarding any existing or planned publications or presentations. The disclosure of an invention to the public can create challenges when pursuing certain types of intellectual property protection. KUCTC will make recommendations for an appropriate intellectual property protection strategy for the disclosed work based on the information you have provided.

**Part 4** – Support, Materials, & Other Obligations -

1. The University is required to report all inventions made with Federal funding to the relevant agency, so it is important that you provide details on all federally funded inventions, in particular the agency and the grant number (example NIH grant format - two letter code followed by six numbers - AB123456; example NSF grant format two letter code followed by seven numbers - AB1234567). Along with the Federal agencies, private foundations, and industry sponsors can have rights in inventions through the terms and conditions of their funding agreements. It is important the KUCTC be aware of any related funding so we can ensure compliance with sponsor reporting and license requirements. For creative works, KUCTC will use this information along with federal guidance to determine the extent of reporting required.
2. The use of materials (including equipment) or data obtained from other sources can influence how intellectual property is protected, licensed, and commercialized. Agreements relating to the acquisition of 3rd party materials or data (MTAs, DUAs, etc.) can carry certain obligations and the receipt, use, and transfer of certain materials must be in compliance with export control regulations. Purchases of reagents or equipment from third-party vendors (Millipore, ThermoFischer, 3M, etc.) do not need to be included here.
3. Certain types of inventions, software, technologies, or materials which could have military or defense applications are subject to export control regulations and those regulations can influence commercialization plans and industry partnerships. While in many cases a military/defense use is clear, there are other situations where export controls apply where it is not as readily apparent. The following are some examples:

* (1) international collaboration which may involve export of goods, technology or technical data;
* (2) commercial and military application;
* (3) remote sensors, lasers & micro-electronics;
* (4) geological surveying using advanced electronics and software;
* (5) biotechnology development;
* (6) aerospace engineering;
* (7) advanced computing and
* (8) research with controlled chemicals, biological agents, and toxins.

You also may have heard of the “fundamental research exclusion” which applies to exporting controlled research and technology when results are widely published and accessible. The fundamental research exclusion, however, does not apply to physical goods, material or software, or if sponsor restricts participation of foreign nationals, publication or disclosure of results, or when physical export of controlled goods or technology is expected. For more information see: [export compliance](https://export-compliance.ku.edu/export-links) & [Office of Global Risk and Security](https://gos.ku.edu/FAQ).

**Part 5** – Contributor Information -

1. It is important that we have information for each contributor you list and that all contributors are aware of its submission. Completing this information now helps as it is used in our analysis and may be needed for certain legal documents. In addition, this information is useful should we need to contact you at later date and if/when license proceeds are generated.
2. Please include all contributors involved at time of creation of the creative work, starting with the individual who will be the main contact for this disclosure.
3. Contributors are individuals who have significantly conceived, developed, or created the creative work disclosed, either independently or jointly with others. There are multiple avenues for pursuing intellectual property protecting for innovations, and so KUCTC will use this information in concert with determining an appropriate path for protect the creative work. Individuals from KU should also sign the certification and acknowledgement.
4. OPTIONAL QUESTIONS - KU strives to create a campus where greater fairness and belonging are integrated into our learning and workplace practices; a place where all have opportunities to meet their academic and professional goals. For KUCTC this includes supporting a culture where innovators from all parts of our community are supported in their efforts. KUCTC collects this optional information to so that we can better understand those we currently serve and further our efforts to engage with the diversity of innovation and innovators across our campuses. The information is optional but appreciated.