**Software Disclosure Form**

*Please use this disclosure for software innovations or programs to KUCTC*

**Thank you for taking the time to disclose this new software 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.

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 Software**  |
| **Software Title1:** [Title] |
| **Software Description2:** *Provide a reasonably detailed description of the software and its intended use.*       |
| **Optional Information3:**  *Please list any similar technologies, patents, or existing software you are aware of – including your own. Also please list any potential industry partners who may find the disclosed software of interest.* ***This information is appreciated but not required to disclose.***      |

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| **Part II: Software Specifics**  |
| **Initial Completion4:** Please list the date in which the initial development of a functional version of software was completed? | Date:       |
| **Prior Versions5:** Is the disclosed software an improvement or derivative of an existing software program? This includes prior versions of the software itself. | [ ]  Yes [ ]  No |
| If **yes**, please describe and include the KUCTC TechID number (if it was disclosed to KUCTC) or a link to the software from which this version is derived if it is publicly available?      |
| **Open-Source Code6:** Was open-source code used or incorporated into the software during its development? | [ ]  Yes [ ]  No |
| If **yes**, please describe and include which components were open sourced and what open-source license applies (i.e. Apache, MIT, GNU, etc.) if possible.       |
| **Programming Language7**: Please list the language in which the software was programmed.      |
| **Other Components or Programs8:** Please list any other software necessary to run this program.      |

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| **Part III: Public Disclosures**  |
| **Disclosures:** Has this software 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 Information9:** |
| Please check the source(s) of support used in the research/development of the disclosed software.[ ]  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** |
|       |       |       |       |
|       |       |       |       |
| **Third Party Material10:** |
| 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 Control11:** |
| Does the disclosed software 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 -* [*https://export-compliance.ku.edu/compliance*](https://export-compliance.ku.edu/compliance) | [ ]  Yes [ ]  No |
| If “Yes” please provide additional details:       |

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| **Part V: Contributor Information12** |
| **Contributors & Allocation13:** |
| 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 software 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 [ ]  Prefer Not Answer |
|  | 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 [ ]  Prefer Not Answer |
|  | 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 [ ]  Prefer Not Answer |
|  | 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?  |  [x]  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 #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 |

**Exhibit A – Disclosure Guide & Instructions**

Disclosing your software is an early and important step in the technology transfer process - it helps document the software 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 Software Disclosure Form prior to any public disclosure (publication, poster, presentation, etc.) that could adversely affect our ability to protect the software.

Our Software 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 Software – A good description is key to helping KUCTC’s team understand your software.

1. Title: The title should be brief but descriptive; if you can avoid using jargon or acronyms, we appreciate it.
2. Software Description: Please describe the software 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 software?
	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 software improve upon the current state of the art or overcome existing disadvantages? Are there other advantages to the software you want KUCTC to be aware of?
	4. What are the key new features of the software (in comparison to prior solutions or software)?
	5. Any thoughts about how the end user of the software 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 invention. 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 invention 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** – Software Specifics – This section includes information that is uniquely relevant to software innovations. It helps KUCTC further critical details that can impact the ability to commercialize or license software.

1. The initial date of completion of a functional version of the software helps KUCTC understand how long the software has been in development and trace back to a date for copyright purposes.
2. We understand that software development is often iterative and a process of constant improvement, therefore there can be prior versions of the software already available or in use. Understanding these facets helps KUCTC make recommendations regarding how software may be protected and identify potential challenges to commercialization efforts.
3. Developing software often leverages open-source resources either through incorporation of open-source code or references to open-source libraries. When used, open-source code can come with certain license obligations or other restrictions/requirements which are pertinent to commercialization activities.
4. Certain programming languages are preferred by industry and more commonly used in commercial software. KUCTC appreciates being aware of what language was used so that it can understand whether reprogramming into a commercially relevant language might be needed as part of further development efforts.
5. Some software operates entirely independently, some software relies, connects, or “plugs-into” other programs to add new features/capabilities. Knowing if the disclosed software requires connectivity to another software program in order to function 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 patent rights. While many software innovations are protected by the underlying copyright to the code, in cases where the algorithm or logic implemented by the software is unique and where the commercial opportunity may benefit, there may be a rationale for pursuing patent protection. KUCTC will make recommendations for an appropriate IP protection strategy for the disclosed software 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 software, 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 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: <https://export-compliance.ku.edu/export-links> & <https://gos.ku.edu/FAQ>.

**Part 5** – Contributor Information -

1. It is important that we have information for each contributor to the software and that all contributors are aware of its submission. Completing this information now helps as it may be needed during KUCTC’s evaluation of the technology or 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 list the individuals who significantly contributed to the disclosed software, starting with the individual who will be the main contact for this disclosure.
3. Contributors are individuals who have conceived, developed, or created the software, either independently or jointly with others. There are multiple avenues for pursuing intellectual property protecting for software innovations, and so KUCTC will use this information in concert with determining an appropriate path for protect the software. 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. The information is optional but appreciated.