**Standard Invention Disclosure Form**

*Please use this disclosure for most technology types excluding software, creative works, or biologic research tools/reagents which each have their own unique form*

**Thank you for taking the time to disclose this new discovery, invention, or other 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 invention 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?

|  |
| --- |
| **Part I: Description of Invention**  |
| \*Indicates a required field**Invention Title\*1:** [Title] |
| **Invention Description\*2:** *Provide a reasonably detailed description of the invention.*       |
| **Optional Information3:**  *Please list any similar technologies, patents, 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.***      |

|  |
| --- |
| **Part II: Publications and/or Oral Disclosures** |
| Has this invention been described either in a **publication** or **public presentation** (external to KU)\*4? |   |  [ ]  Yes [ ]  No  |
| If **yes**, please include names of periodicals/journals/conferences and attach a copy\*5. | Where:       | Date:       |
| **If unpublished or undisclosed**, please share you plans for publishing or presenting\*6. | Where:       | Date:       |

|  |
| --- |
| **Part III: Support, Materials, & Other Obligations**  |
| **Funding Information\*7:** |
| Please check the source(s) of support used in the research/development of the disclosed invention.[ ]  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 Material\*8:** |
| 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\*9:** |
| Does the disclosed invention 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 compliance*](https://export-compliance.ku.edu/compliance) | [ ]  Yes [ ]  No |
| If “Yes” please provide additional details:       |

|  |
| --- |
| **Part IV: Contributor Information10** |
| **Contributors & Allocation\*11:** |
| Please List **ALL** contributors12 (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 of the invention 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** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

|  |
| --- |
| **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: |       |
| **OPTIONAL13** | 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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |
| --- |
| **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: |       |
| **OPTIONAL13** | 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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |
| --- |
| **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: |       |
| **OPTIONAL13** | 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.*

|  |
| --- |
| **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 |

|  |
| --- |
| **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 an invention is an early and important step in the technology transfer process - it helps document the intellectual property that you helped create and provides KUCTC with information relevant to the discovery/innovation/invention. This information will help inform KUCTC as we assess patentability, market potential, and other factors that are relevant to commercializing the invention. We strongly encourage you to submit an Invention Disclosure Form prior to any public disclosure (publication, poster, presentation, etc.) that could adversely affect the patentability of an invention. We recommend you complete an Invention Disclosure Form when i) something new and useful has been discovered or conceived; ii) when unusual, unexpected, or surprising research results have been found; or iii) you’ve developed/created something you believe to have commercial potential or use to others outside academia.

The Invention 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 Invention – A good description is key to helping KUCTC’s team understand your innovation.

1. Title: The title should be Should be brief but descriptive; if you can avoid using jargon or acronyms, we appreciate it.
2. Invention Description: Please describe the invention 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 proposed invention?
	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 invention overcome existing disadvantages? Are there other advantages to the disclosed invention to be aware of?
	4. What are the key new features of the disclosed invention (in comparison to prior solutions or methods)?
	5. What is the preferred form, aspect, application, or mode to your invention envisioned by you now?
	6. Any thoughts about how the end user of the technology would benefit from the invention are also welcomed.
	7. 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** - Publications and/or Oral Disclosures – This information helps KUCTC understand what, if any, information pertaining to the proposed invention may already be public.

1. Public disclosures like publications and presentations can impact our ability to pursue patent protection, so knowing whether something relating to the proposed disclosure has been made public is important. If a presentation was made and non-KU individuals were in attendance, it should be considered “public” for this purpose.
2. Please include as much information as possible about any prior publication or presentation. Providing a copy of a manuscript, abstract, slides, or poster is appreciated.
3. Please include your plans to publish or present, even if they are speculative. This will help KUCTC align its work and time potential patent filings with you plans. As your plans change, feel free to update KUCTC.

**Part 3** – 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 seven numbers - 1234567). 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. Only funding used in the development of the invention at the time it is being disclosed should be reported; proposals that are pending or anticipated do not need to be reported on this disclosure form.
2. The use of materials (including equipment) or data obtain 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, 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 4** – Contributor Information -

1. It is important that we have information for each contributor named on the invention and that all contributors are aware of its submission. Completing this information now helps as it is used in various legal documents filed in the U.S. Patent and Trademark Office. 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 invention, starting with the individual who will be the main contact for this disclosure.
3. Contributors are individuals who may have conceived or developed elements of the invention, either independently or jointly with others. Inventorship has a legal meaning under patent law and will be determined by KUCTC’s patent counsel using the information provided and in accordance with applicable patent laws should KUCTC proceed with patent filing. Being listed as an author of a corresponding manuscript does not necessarily qualify as an inventive contribution for determining inventorship. 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.