

Invention Disclosure Instructions

Purpose: The purpose of disclosing an invention to the Office of Technology Transfer and Corporate Partnerships (OTTCP) is to record what was invented and provide a basis for decisions on how to protect the technology, such as by patent. It is a legally important document that should be prepared carefully.

Invention Disclosure Form: All sections on the following pages must be completed. Accurate and complete funding information is particularly important, as prompt and proper disclosure of funding assists you and the Institute in fulfilling reporting obligations under federal grants, corporate, foundation and other sponsorships.

The Disclosure:

With a manuscript

If you have prepared a manuscript or conference presentation describing the invention, it can be a large part of the disclosure and of a provisional patent application.

Submit the following items:

- A copy of the manuscript or conference presentation;
- Any supporting information or materials available (particularly if referenced in the above);
- A summary of the invention (1-2 pages) specifically identifying the invention more explicitly than may be the case in the manuscript (or conference material), including:
 - The general purpose of the invention (what problem it solves);
 - Improvements over existing methods, devices or materials; and
 - Alternative embodiments, variations, or possible applications of the invention; **AND**
- A **fully completed Invention Disclosure Form**

NOTE: If the manuscript has been submitted for publication, a provisional patent application should be filed prior to the publication date (including any online release date earlier than the print publication).

Without a manuscript

If you are not relying on a manuscript, use the following outline for your disclosure:

- Background: briefly describe the work of others that has failed to solve the problem;
- Summary: describe the invention broadly and then again with more specificity;
- Description: provide experimental or other details to show how to make and use the invention;
- Figures: include drawings or graphs that are necessary to understand the invention.

Submit the document outlined above along with a **fully completed Invention Disclosure Form**.

Submission:

Please submit PDF versions of the completed Invention Disclosure Form AND the disclosure document, and an editable version of the disclosure document including editable tables, figures, legends, sequence listings and plasmid maps to:

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California Institute of Technology
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Pasadena, CA 91125
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EEA Residents

In section 2, Inventors, please indicate if any inventor was located in the European Economic Area (European Union, Iceland, Norway, or Liechtenstein) at the time of submission of this form.

CIT No. _____	OTTCP Use Only	Invention Discl No. _____
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Invention and Inventor Information

1. **Title of Invention** (provide a concise title):

2. **Inventors** (list those thought to be inventors; add additional names using Additional Inventors Form, if necessary):

Inventor 1

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>
<i>Status at time of invention (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>		
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
<i>Current Work Address</i>		
<i>Current Home Address</i>		
<i>Work Phone</i>	<i>Cell Phone</i>	<i>Home Phone</i>
<i>Email Address(es) (students/postdocs: please provide two emails)</i>		<i>Citizenship</i>

Inventor 1 was a resident of the EEA at the time this form was submitted.

Inventor 2

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>
<i>Status at time of invention (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>		
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
<i>Current Work Address</i>		
<i>Current Home Address</i>		
<i>Work Phone</i>	<i>Cell Phone</i>	<i>Home Phone</i>
<i>Email Address(es) (students/postdocs: please provide two emails)</i>		<i>Citizenship</i>

Inventor 2 was a resident of the EEA at the time this form was submitted.

Inventor 3

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>
<i>Status at time of invention (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>		
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
<i>Current Work Address</i>		
<i>Current Home Address</i>		
<i>Work Phone</i>	<i>Cell Phone</i>	<i>Home Phone</i>
<i>Email Address(es) (students/postdocs: please provide two emails)</i>		<i>Citizenship</i>

Inventor 3 was a resident of the EEA at the time this form was submitted.

Inventor 4

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>
<i>Status at time of invention (e.g., grad student, postdoc, faculty, visitor at X; if X = Caltech, include academic Division)</i>		
<i>Current Status (e.g., postdoc at Caltech; employee of Company X)</i>		
<i>Current Work Address</i>		
<i>Current Home Address</i>		
<i>Work Phone</i>	<i>Cell Phone</i>	<i>Home Phone</i>
<i>Email Address(es) (students/postdocs: please provide two emails)</i>		<i>Citizenship</i>

Inventor 4 was a resident of the EEA at the time this form was submitted.

From the list above, please identify **primary contact for correspondence**: _____

3. Principal Investigator(s)

<i>Identify the PI(s) of the laboratory/laboratories in which the invention was made</i>
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Funding and Other Resources

4. Funding Sources (actual and proposed)

Was the invention conceived or first actually reduced to practice in the performance of work funded, in whole or part, by any federal (or state) grants, contracts, or subawards; industry sponsored research; foundation grants; gifts; fellowships; or Caltech internal sources?

If YES, provide details below. If NO, check here: No funding supported the reported invention.

Federal (or state) Sponsor(s)	Grant/Contract/Subaward number(s)	Principal investigator (or recipient, for fellowships)	PTA (project/task/award)
Industry or Foundation sponsored research funder(s)	Grant/Contract/Subaward number(s)	Principal investigator	PTA (project/task/award)
Other funding source(s)	Grant/Contract/Subaward number(s)	Principal investigator	PTA (project/task/award)

Is the subject matter of the invention disclosure part of one or more applications for research funding (e.g., from a federal agency, corporate sponsor, foundation, internal Caltech program such as RI²)?

If YES, provide details below. If NO, check here: Invention not part of a funding application.

Name of funder	Date application submitted	Expected decision date

5. Did any Caltech researcher use any **non-Caltech resources** (computational, facilities, equipment) to develop this technology (e.g., LBNL Joint Genome Institute)?

If **YES**, provide details below. If **NO**, check here: No non-Caltech resources used.

If **yes**:

Please describe here and attach a copy of any agreement pertaining to this use.

6. 3rd-party Materials or Data

Were any materials (e.g., plasmids, cell lines) or data used in making the invention received from a third party?

If **YES**, provide details below. If **NO**, check here: No third-party materials used.

If **yes**:

Please identify provider and whether there was a material transfer agreement (MTA) or data sharing/use agreement.

Publication(s) and Public Disclosures

7. Has your invention been disclosed in a publication or otherwise been made available to the public, *or is a future publication date known or anticipated?*

YES Publication date:

NO

8. Are you including a **manuscript (published, or in preparation for publication)** as part of your invention disclosure?

If **YES**, provide details below. If **NO**, check here: No manuscript included.

If **yes**:

- If published, provide **full citation**, including earliest date available (print or online).
- If submitted for publication but not yet published, provide journal name, date of submission, and status.

9. Are you including any **conference presentation material**?

If **YES**, provide details below. If **NO**, check here: No conference materials included.

If **yes**:

Please provide name and location of conference and date of public disclosure (upcoming or past), and details about any conference proceedings or pre-conference publications. If an abstract was or will be made available in association with the conference, please include a copy of the abstract and indicate date of publication.

Please provide details (including timing) of any other anticipated disclosures below.

Technology Categorization

10. Please select at least one, and as many as applicable, **keywords** from the following list that apply to your invention.

- | | |
|---------------------------------|---------------------|
| Antibodies | Hardware |
| Antibiotics | Imaging |
| Cardiovascular | Instrumentation |
| CNS/Neurobiology | Internet |
| Diagnostic | Materials |
| Drug delivery | Medical device |
| Gene therapy | MEMS |
| Immunology | Microfluidics |
| Infectious disease | Nanotechnology |
| Oncology | Optics |
| Ophthalmology | Photonics |
| Orphan disease | Research tools |
| Therapeutics | Robotics |
| | Screening |
| Biofuels / Industrial chemicals | Semiconductor |
| Chemical | Sensors |
| Cleantech | Smart grid |
| Communications | Software/Algorithms |
| EE/Electronics | Solar |
| Energy efficiency | Telecom/wireless |
| Energy storage/batteries | Water technologies |
| Gas & Oil | Wind |
| GPS | |

Inventor Signatures (Caltech inventors ONLY)

11. All inventors required to assign rights to Caltech (i.e., Caltech faculty, postdocs, staff, or other employees; Caltech students; Caltech visitors and guests) must **sign below**.

By signing, I certify that the information contained in this Invention Disclosure Form is true, accurate, and complete to the best of my knowledge. I hereby assign all rights in the invention disclosed herein, including any patent applications related thereto, to the California Institute of Technology (Caltech).

<i>Inventor 1 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>
<i>Inventor 2 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>
<i>Inventor 3 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>
<i>Inventor 4 Signature</i>	<i>Printed Name</i>	<i>Date Signed</i>