



Invention and Technology Disclosure Instructions

General Information

The purpose of disclosing an invention or other technology to the Office of Technology Transfer and Corporate Partnerships (OTTCP) is to record what was invented or created and provide a basis for decisions on how to protect the technology, such as by patent or copyright. It is a legally important document that should be prepared carefully, and all sections of the Disclosure Form must be completed.

Information relating to funding for the invention must be completed, as prompt and proper disclosure of funding assists you and the Institute in fulfilling reporting obligations under federal grants, corporate, foundation and other sponsorships.

Reportable technology includes software, integrated circuit designs, biological organisms, and the like, whether or not patentable, which may or may not have commercial utility.

The Disclosure

Have you prepared a manuscript describing the technology for publication in a journal?

If so, the manuscript can be a large part of the disclosure and a provisional patent application, if you submit the manuscript to OTTCP along with:

- A fully completed Invention Disclosure Form, and
- A short description of the invention (usually one page or less) specifically identifying the invention in broader terms that might not be academically appropriate for use in the manuscript, e.g., the general purpose of the invention; the improvements over existing methods, devices or materials; the best mode of carrying out the invention; and a description of the details necessary to understand the invention.

Please be aware that if the manuscript has been submitted for publication, a provisional patent application should be filed prior to the publication date.

If you are not relying on a manuscript, use the following outline in preparing the 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.

Submitting a Disclosure

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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CIT No. _____	OTTCP Use Only	Invention Discl No. _____
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1. Title of Invention (provide a concise title):

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

Inventor 1

First Name	Middle	Last Name
Status at time of Invention (e.g., Caltech grad student in EAS)	Department at time of Invention	
Current Status (e.g., Employee of Company X)		
Current Work Address		
Current Home Address		
Work Phone	Cell Phone	Home Phone
Email Address	Citizenship	

Inventor 2

First Name	Middle	Last Name
Status at time of Invention (e.g., Caltech grad student in EAS)	Department. at time of Invention	
Current Status (e.g., Employee of Company X)		
Current Work Address		
Current Home Address		
Work Phone	Cell Phone	Home Phone
Email Address	Citizenship	

Inventor 3

First Name	Middle	Last Name
Status at time of Invention (e.g., Caltech grad student in EAS)	Department at time of Invention	
Current Status (e.g., Employee of Company X)		
Current Work Address		
Current Home Address		
Work Phone	Cell Phone	Home Phone
Email Address	Citizenship	

Inventor 4

First Name	Middle	Last Name
Status at time of Invention (e.g., Caltech grad student in EAS)	Department at time of Invention	
Current Status (e.g., Employee of Company X)		
Current Work Address		
Current Home Address		
Work Phone	Cell Phone	Home Phone
Email Address	Citizenship	

3. Identify (or list) any non-Caltech resources (computational, facilities, equipment) used to develop this technology (e.g., LBNL Joint Genome Institute)

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4. Federal Grant/Contract/Subcontract/Sponsored Research/Private Funding

<p><i>Was the invention conceived or first actually reduced to practice in the performance of work funded, in whole or part, by any federal award(s) or subaward(s)? (If yes, list below) Yes <input type="checkbox"/> No <input type="checkbox"/></i></p> <p><i>List ALL funding sources (including federal) below.</i></p>			
Sponsor(s):	Grant/Contract Number(s):	Principal Investigator	PTA (project/task/award)

5. 3rd-party Materials or Data

<p>Were any materials (e.g., plasmids or cell lines) or data used in making the invention received from a third party? Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>If yes, please identify provider and whether there was a material transfer agreement (MTA) or data sharing agreement.</p>

6. Principal Investigator(s)

<p>Identify the PI of the laboratory</p>
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7. Publication(s) and Public Disclosures

	<i>Date</i>	<i>Details (e.g., journal citation, conference name)</i>
a. First publication describing the invention		
b. External disclosures (e.g. conferences)		

8. Inventor Signatures

<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>