



# Software Disclosure Instructions



## General Information

The purpose of disclosing an invention or other technology to the Office of Technology Transfer (OTT) 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 Software 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 and corporate sponsorship.

For software, we generally do not file provisional patent applications.

## The Disclosure

**In all disclosures, please include the following information:**

- Methods used in writing the Software
- Hardware configuration required to operate the Software
- Required operating system and utilities
- Programming language used to create the Software
- Code format you recommend the Software be distributed (e.g., object code only, object and source)
- The current state of the Software's development (fully functional, fully tested by developers, fully tested by someone else)

### **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, if you submit the manuscript to OTT along with:

- A fully completed Software 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 utilizing the Software, and a description of the details necessary to understand the invention.

**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 the completed disclosure (both the invention disclosure form and the disclosure) to:

Melinda Bakarbessy  
Office of Technology Transfer  
California Institute of Technology  
1200 East California Blvd., M/C 6-32  
Pasadena, CA 91125

Phone: (626) 395-3288  
Fax: (626) 356-2486  
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**CALIFORNIA INSTITUTE OF TECHNOLOGY**  
Office of Technology Transfer  
**SOFTWARE DISCLOSURE FORM**



→ Please attach this form to the description of your invention ←

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

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

**Inventor 1**

**First Name**

**Middle Name**

**Last name**

**Status At Time Of Invention** (e.g., Caltech grad student in EAS)

**Dept. at Time of Invention**

**Current Status** (e.g., Employee of Company X)

**Home Phone**

**Cell Phone**

**Work Phone**

**Email Address**

**Citizenship**

**Current Work Address** (include Caltech mail code, if applicable)

**Current Home Address**

**Inventor 2**

**First Name**

**Middle Name**

**Last name**

**Status At Time Of Invention** (e.g., Caltech grad student in EAS)

**Dept. at Time of Invention**

**Current Status** (e.g., Employee of Company X)

**Home Phone**

**Cell Phone**

**Work Phone**

**Email Address**

**Citizenship**

**Current Work Address** (include Caltech mail code, if applicable)

**Current Home Address**

**Inventor 3**

**First Name**

**Middle Name**

**Last name**

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**Current Work Address (include Caltech mail code, if applicable)**

**Current Home Address**

**Inventor 4**

**First Name**

**Middle Name**

**Last name**

**Status At Time Of Invention (e.g., Caltech grad student in EAS)**

**Dept. at Time of Invention**

**Current Status (e.g., Employee of Company X)**

**Home Phone**

**Cell Phone**

**Work Phone**

**Email Address**

**Citizenship**

**Current Work Address (include Caltech mail code, if applicable)**

**Current Home Address**

**3. Internal Funding**

Identify the source of the internal (Caltech) funding used to make this invention:

**4. State/Federal Funding**

Identify state or federal sponsors (if none, please enter NONE):

Contract or Grant Number AND Subcontract Number, if appropriate:

**5. External Funding**

Identify industry sponsors, private funding, etc.:

**6. Fellowship money to post-docs**

Identify non-government sponsors (e.g., Damon Runyon, ACS, etc.):

**7. Modification/Improvement**

Is this software a modification or improvement to existing work?

Yes

No

If yes, please identify the existing work and its developers

**8. Incorporated Elements**

Please identify any program code, data, files, or other incorporated elements not original to the contributing

**9. Support**

What level of support are you prepared to provide.

**10. Market Price Range**

Please provide an estimate for the market price range for this software:

**11. Support**

What level of support are you prepared to provide.

**12. Events**

- a. Initial Idea:
- b. First Description of the Idea (oral or written):
- c. First successful demonstration (if any):
- d. First publication describing the invention:
- e. External disclosures (e.g., conferences):
- f. Distributions of software

Date	References (e.g., lab books or publication) and Comments

**13. Signatures**

Inventor 1 Signature	Printed Name	Date Signed
Inventor 2 Signature	Printed Name	Date Signed
Inventor 3 Signature	Printed Name	Date Signed
Inventor 4 Signature	Printed Name	Date Signed

Submit form and disclosure to Melinda Bakarbessy, MC 6-32; melinda.bakarbessy@caltech.edu; x8553