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INVENTION DISCLOSURE REPORT

In the electronic version of this form the space will expand as you type. Use the tab and/or page up/page down keys to navigate between form fields. Attach additional material as required. This form is available at www.uti.ca. For assistance with this form, call Vesna at 270-2425.

The purpose of this INVENTION DISCLOSURE REPORT is to:

- ✓ Provide a complete description and formal documentation of an Invention.
- ✓ Serve as the basis for evaluation of patentability and commercial potential by the UTI.
- ✓ Serve as the basis for preparation of patent application(s), should it be warranted.

Note: In order to secure a valid patent, **you must:**

1. **Disclose all persons** who made a creative contribution to the conception and/or reduction to practice of the Invention.
2. **Describe the best way** of practicing the Invention.
3. **Describe all data/information** pertaining to the Invention, whether or not it directly supports the Invention.

The completion of all sections of this form is essential for UTI to perform a comprehensive assessment of your invention for commercial potential. If this form is not completed in its entirety it will delay assessment and commercialization efforts by UTI. Upon completion of the form, print it, make sure all creators have signed it, and return it to “University Technologies International” via Inter-Campus mail. In addition the form may be returned electronically via email to tech@uti.ca with a signed hard copy to follow. By submitting this form you acknowledge that UTI may request and UC may provide to UTI contract, grant or other information relating to the invention in order to determine any pre-existing third party rights to the invention.

General Information for Creators

University Technologies International Invention Assessment Process: An invention disclosure is first assessed by a Technology Analyst, who evaluates the invention in terms of the potential for obtaining commercially valuable patent claims and whether or not there is, or will be, a significant market for the invention. The results of this assessment are discussed at bi-monthly meetings with the UTI Licensing and Business Development team, and recommendations are made during these meetings to proceed with commercialization efforts, to retain the invention as “preliminary”, or to not pursue commercialization efforts. Our recommendation is then discussed extensively with the creators to determine the best path forward. If the decision of the parties is to continue commercialization efforts through UTI, an Engagement Agreement is entered into between the parties setting forth the roles and responsibilities of each party. If the decision is not to proceed with commercialization efforts, the creators may pursue commercialization efforts on their own if they so elect, subject to applicable University of Calgary policy. Inventions designated “preliminary” are felt to have commercial potential, but not yet developed to the point at which patenting or marketing is appropriate, and these are monitored for further progress and re-evaluated by UTI as new developments occur.

Requirements for Patentability: Patentability of an invention is primarily assessed based on three criteria established under intellectual property laws. The first is the requirement for usefulness of the invention, which is usually an easy criterion to meet. The second is the requirement for novelty. A patent will not be issued if the invention was known or used by others, patented, published or described before the inventor(s) made the invention. The third criterion is the requirement for non-obviousness. To meet this requirement, the subject matter of a patent application must be sufficiently different from what has been known, used or described before that it would not have been obvious to a person having ‘ordinary skill’ in the area of technology relating to the invention.

Requirements for Inventorship: Inventorship is a matter of law. Inventors are those who make a creative contribution to the invention, either in the original conception or in bringing the original conception to fruition. Those who simply perform experiments without contributing any creative element are not inventors from a legal standpoint. However, these individuals can still participate in revenue sharing. In cases where inventorship is disputed, a legal determination of inventorship will be performed by a patent attorney engaged by UTI in conjunction with potential inventors.

Encumbrances to Commercialization: It is particularly important to disclose funding sources (government and private) and relationships with industry that are pertinent to the invention (particularly the existence of agreements such as materials transfer agreements, sponsored research agreements, clinical study agreements, consulting agreements, etc.) as these may have critical bearing on how an invention is patented, marketed and licensed (see sections 6-9 below.)

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1. Title of Invention:
2. Abstract: Please provide a summary of the invention.
3. Creators of the Invention: Name each person who was involved in conceptualizing and creating the invention, briefly describe their creative action/activity, and their percentage contribution to the Invention. **The Percentage Contribution is used to calculate the creator's share of royalties should this invention be commercialized. Note however, that creators are not necessarily inventors. Those persons named as inventors on a patent application is a matter of law, and is determined at the time of patent filing when patent claims are drafted and again at the time of patent issuance depending on what claims in a patent ultimately issue into a granted patent. In many cases those persons listed in this section may not be true inventors under law.** If a creator was employed by an institution OTHER than UC at any time during their creative contribution to the invention, please note the percentage contribution when at that employer. Use additional pages if necessary.
 - a. Name and Creative Activity:
% Contribution:
 - b. Name and Creative Activity:
% Contribution:
 - c. Name and Creative Activity:
% Contribution:
 - d. Name and Creative Activity:
% Contribution:
4.
 - a. Date the Invention was conceived (when you first thought of it or made the key observation):
 - b. Date you made the first drawing, design, formulation, construction or model, if applicable:
 - c. Date of the first use of the invention, if applicable:
 - d. **University of Calgary Employees:** Were you employed elsewhere during any part of the creation of the Invention? If so, please provide the employer's name and address, and the dates of your employment there.
5. Has/will the Invention been/be described in a meeting, poster session, seminar, published paper, or abstract (check all that apply and **attach copies** if appropriate)? Yes No If **Yes**, please provide the following information (use additional pages if necessary):
 - a. Name of Journal/Meeting:
 - b. Date of submission:
 - c. Date of Publication/Presentation (estimate if specific date unknown):
 - d. Date of Electronic Publication (in full or abstract) on Internet, World-Wide-Web, Subscriber Service etc:
 - e. Was the disclosure sufficient to allow someone else to duplicate the Invention? Yes No
6. **List all sources of funding** that supported the conception of the Invention and/or the Invention's reduction to practice. (Company, Institution, Government Agency, or Private Foundation, etc.) Use additional pages if necessary.
 - a. Funding Source: _
Project Title:
Number: UC Acct No.:
 - b. Funding Source: _
Project Title:
Number: UC Acct No.:
7. Was this invention derived from materials received from another investigator or from a company? Yes No . If yes, please name the institution or company from which the material was obtained and provide a copy of the Material Transfer Agreement (if there was one).

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8. Has the Invention or any materials relating to the invention been transferred to any third party under a material transfer agreement or otherwise? Yes No
9. Is this invention related in any way to a contractual agreement that any of the contributors listed in No. 3 above have with a company or other institution? Yes No If Yes, select the type of agreement below and indicate the name of the other company/institution, as well as the contract number if known. Sponsored Research Agreement , Clinical Study Agreement , Laboratory Study Agreement , Consulting Agreement , Other contractual agreement
Name of party to agreement and contract No.
10. Please provide names of University of Calgary faculty/staff (or others) that you believe have sufficient technical knowledge in this field to serve as potential scientific reviewers of your invention (any such review would not be undertaken without your knowledge and appropriate confidentiality agreements in place.)
11. Please complete 11a. through 11f. in the spaces below or on separate sheets.
- What is the invention** and how could it be used?
 - How does the invention provide a competitive advantage** relative to existing technology (e.g., does it yield better or quicker results? Is it easier to use? Is it more cost-effective?) **or how does the Invention permit something completely new to be done?** Please answer in detail.
 - Summarize the results of your experimentation or testing** (e.g. in vitro/in vivo; computer simulation; model or prototype etc) and describe to what extent the experiments have been verified.
 - Does a prototype exist (if applicable)?** Yes No
 - What products and/or services could be sold** utilizing your Invention?
12. **What are your development plans?** What are the steps that must be taken to complete the basic research and prototype or pre-clinical research (toxicology, pharmacokinetics, tissue distribution, animal efficacy, models, field tests, etc.)? Which steps will you perform and which steps will be done by collaborators and who are they?
13. What companies are you aware of that might be interested in selling products or services using your Invention (provide the name, address, and phone number of a contact person at each company, if known)?
14. Do you wish to participate in sponsored research related to the commercial development and/or clinical testing of products/services arising from this Invention? Yes / No / Do not yet know
15. **Attach your experimental procedures and data, if available.** You may attach a grant application, a manuscript, or poster.
16. **Attach a sketch, drawing, photograph, etc. if applicable.**
17. **Enclose copies of all references that are directly relevant to your Invention,** including all relevant manuscripts, publications, and abstracts by any of the creators.
18. **Software Inventions Only:**
- Was any open source software code** used in creating the software: Yes No
 - What programming language is the software written in?
 - Have all authors/coders been listed in Section 3 above? Yes No

