When an invention or discovery is made by San José State University (SJSU) faculty or staff, or by SJSU students using SJSU resources, an Invention Disclosure must be made describing the invention and other facts related to the invention (such as the amount of University time, personnel, facilities, and/or equipment used). This form is for disclosure of inventions with subject matter appropriate for a patent (processes, machines, manufactures and compositions of matter). Separate disclosure forms are available for software/computer code and copyrightable works (original works of authorship such as literary, dramatic, musical, artistic, and certain other intellectual works).

An [Online Invention Notification Form](https://forms.gle/HUAwNqm8JiSPdmp86) is provided to initiate the invention disclosure process. The Office of Innovation will work with the lead inventor to use information submitted using the online Notification to prepare a complete Invention Disclosure that will be circulated to all inventors for review and approval. The Office of Innovation will work with the lead inventor to prepare a complete Invention Disclosure that will be circulated to all inventors, Department Chair(s), and College Dean(s) for review and approval. Once the University has a signed and approved Invention Disclosure, an ownership review will be initiated so inventor status can be established, acknowledged and credited by the University.

For more information on the background & purpose of this form, please refer to the [Invention Notification & Disclosure Guidelines](https://sjsu.edu/innovation/docs/intellectual-property/invention-notification-and-disclosure-guidelines-2021-01-22.pdf) or the [SJSU Intellectual Property Policy](https://www.sjsu.edu/senate/docs/F98-3.pdf).

For guidance on completing this Disclosure Form, you may contact the SJSU Office of Innovation at [officeofinnovation@sjsu.edu](mailto:officeofinnovation@sjsu.edu).

**Short title:** (required - short tile that a lay person could understand – less than 80 characters)

1. **Lead SJSU Inventor (primary point of contact):**

Email address:

Phone:

College/Department

1. **List of Other Contributors** (list anyone that contributed to the invention and their affiliation/employer)
2. **Date of Discovery** (Provide information on initiation of research, date of discovery, and if research/development is ongoing.)

Date of Idea Conception:

Date research was initiated:

Date research completed (indicate ongoing if research or development ongoing?:

1. **Summary of the Invention**

Provide a brief description of the Invention using the boxes below. If available, attach a more complete description of the invention. This could be in the format of a draft paper, poster, or technical presentation. Include any available figures, tables, graphs and other illustrations describing the invention.

4a. Abstract (provide a brief description of the invention in lay terms)

Abstract:

4b. Describe the problem solved by the invention.

The Problem:

4c. Provide an overview of your solution.

Your Solution:

4d. Describe anticipated practical or commercial application(s) of the invention.

Practical Applications:

4e. Technology Readiness Levels (TRL): TRLs are used to characterize technology maturity level. Using the table below, please indicate the TRL for your discovery:

|  |  |  |
| --- | --- | --- |
|  | TRL 1 | Lowest level of technology readiness. Research begins to be translated into applied research and development. Examples might include paper studies of a technology's basic properties. |
|  | TRL 2 | Invention begins. Once basic principles are observed, practical applications can be invented. Applications are speculative and there may be no proof or detailed analysis to support the assumptions. Examples are limited to analytic studies. |
|  | TRL 3 | Active research and development is initiated. This includes analytical studies and laboratory studies to physically validate analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative. |
|  | TRL 4 | Basic technological components are integrated to establish that they will work together. This is relatively "low fidelity" compared to the eventual system. Examples include integration of "ad hoc" hardware in the laboratory. |
|  | TRL 5 | Fidelity of breadboard technology increases significantly. The basic technological components are integrated with reasonably realistic supporting elements so it can be tested in a simulated environment. Examples include "high fidelity" laboratory integration of components. |
|  | TRL 6 | Representative model or prototype system, which is well beyond that of TRL5, is tested in a relevant environment. Represents a major step up in a technology's demonstrated readiness. Examples include testing a prototype in a high fidelity laboratory environment or in simulated operational environment. |
|  | TRL 7 | Prototype near or at planned operational system. A major step up from TRL6, requiring demonstration of an actual system prototype in an operational environment. |
|  | TRL 8 | Technology proven to work in its final form and under expected conditions. In most cases, this TRL represents the end of true system development. Examples include developmental test and evaluation of the system in its intended system to determine if it meets specifications. |
|  | TRL 9 | Actual application of the technology in its final form and under operational conditions, such as those encountered in operational test and evaluation. |

4f. In Appendix B, list supporting documents provided as a more complete description of the invention. This could be in the format of a draft paper, poster, or technical presentation. Include any available figures, tables, graphs and other illustrations describing the invention.

1. **Funding & Other University Resources**: In the table below and in Appendix A, identify any sources of funding available during the time of initial conception through the completion of work performed on the invention. This will include internal/external grants, sponsored research agreements or other sources of research funding. Indicate if the project was related to the conception, validation or development of the invention. This could include all aspects of discovery such as conception, development, and validation of the invention.

|  |  |  |
| --- | --- | --- |
| **University Funding and Support** | Yes | No |
| 5a. Government grants. If yes, briefly discuss below and indicate in the attached list of sponsored research agreements. |  |  |
| 5b. University time. If yes, please describe below and provide an estimate of the time/effort. |  |  |
| 5c.University funding. If yes, please describe below and provide an estimate of the amount. |  |  |
| 5d. University facilities, materials or other resources. If yes, please describe below. amount. |  |  |
| 5e. Collaboration with any University employees. If yes, please describe below. |  |  |
| 5f. Collaboration with any University students other than those listed as inventors. If yes, please describe below. |  |  |
| 5g .Any other University items used (e.g. cell line, antibody, plasmid, chemical compound or computer software). If yes, please describe below. |  |  |

1. **Non-University Support and Resources Used**: Identify any facts related to non-University personnel, equipment, or materials used as part of the discovery of the invention.

|  |  |  |
| --- | --- | --- |
| **Non-University Funding and Support** | Yes | No |
| 6a. Grants from sources other than the University. If yes, please describe below and provide an estimate of the time/effort. |  |  |
| 6b. Non-University funding. If yes, please describe below and provide an estimate of the time/effort. |  |  |
| 6c. Non-University facilities, materials or other resources. If yes, describe below. |  |  |
| 6d. Collaboration with any other Non-University personnel. If yes, describe below. |  |  |
| 6e. Materials, data or other items from another party used in the invention (e.g. cell line, antibody, plasmid, chemical compound or computer software). If yes, describe below. |  |  |

1. **Public Disclosure**: Identify any of the following public disclosures that apply. Note, a public disclosure is any disclosure of the subject matter with anyone not specifically covered by a confidential disclosure agreement. This includes papers, posters, student lectures, discussions at meetings, or other forms of written and verbal disclosure.

|  |  |  |
| --- | --- | --- |
| **Public Disclosure** | Yes | No |
| 7a. Anyone outside the University? If yes, describe below. |  |  |
| 7b. Any government or industry sponsors? If yes, describe below. |  |  |
| 7c. Disclosure to students? If yes, describe below. |  |  |
| 7d. Publication in any format, including abstracts, papers, thesis, poster, news story, or journal? If yes, describe below. |  |  |
| 7e. Any other public disclosure? If yes, describe below. |  |  |
| 7f. Do you have plans to publish the work? If so, what is the timescale and where will the publication take place? If a draft paper exists please provide a copy? |  |  |

1. **Support for Invention:** Under SJSU IP Policy, when discoveries are made without the use of substantial support and resulted from non-sponsored work, the Inventors may elect to retain rights to the discovery or enter an agreement with the University to commercialize the invention. When discoveries are made under sponsored work or using substantial support from the University, the University retains rights to the Invention. Please check one box below that indicates resources used in support of the discovery

|  |  |
| --- | --- |
|  | **Check one box that indicates resources used in support of the discovery.** |
|  | a. Sponsored Project: The invention resulted from a sponsored project, such as a contract or grant to investigate a specific topic and external funding was received for all or part of the work. The Inventors understand that under University Policy, when external funding is provided, the University retains certain rights to the Invention. |
|  | b. University Support: Substantial support was provided by the University to support the discovery. Examples of substantial support include any of the following: financial support, faculty release time, assignment of personnel, facilities or equipment in excess of normal uses. The Inventors understand that under University Policy, the University retains certain rights to the Invention. |
|  | c. Work Duty or Requirement: The Invention was created as a specific requirement of employment or as an assigned University duty or were the topic or content as determined by the author's employment duties and/or which were prepared at SJSU's instance and expense. |
|  | d. No University Support (University Assistance Requested): The invention resulted from non-sponsored work, such as independent faculty research, independent student projects, or master's theses; and no substantial support was provided by the University. If a determination is made that all rights reside with the Inventors, the Inventors would like to negotiate an agreement with the University to manage the intellectual property protection and commercialization. |
|  | e. No University Support (Ownership Determination Requested): The invention resulted from non-sponsored work, such as faculty research, independent student projects, or master's theses; and no substantial support was provided by the University. The Inventors are requesting an ownership review to determine if all rights should be retained by the Inventors. |

Note. Details regarding the definition on substantial support are provided in Section 3.0 of the SJSU Intellectual/Creative Property Policy (F98-3).

1. **Inventors:** List all Inventors, their relationship to the University, and how they contributed to the invention. Each Inventor must provide a signature and date.

|  |  |  |
| --- | --- | --- |
| **Contributor First and Last Name, Signature, Date** | **Employer/College/Department at time of making the Invention/Contribution** | **What did this person contribute?** (e.g., inventive contribution, performed lab experiments, analyzed data, etc.). |
| **Name**  **Signature**  **Date** |  |  |
| **Name**  **Signature**  **Date** |  |  |
| **Name**  **Signature**  **Date** |  |  |
| **Name**  **Signature**  **Date** |  |  |
|  |  |  |

**Declaration & Warranty**

The Inventors understand that in accordance with the San José State University Intellectual Property Policy, inventions conceived or developed while employed SJSU shall be examined by the University to determine rights and equities therein. The Inventors will furnish the University with information necessary to make this determination. The Inventors warrant that all information they provide related to an invention disclosure is accurate and complete. If any of the information provided by the Inventors is found to be incomplete or incorrect, any decision made regarding ownership of the invention can be revisited to ensure compliance with University policy.

**Review & Approval**

1. **Department Chair:** Review and approval. Please check one box and sign below.

I concur with the foregoing disclosure and declaration of institutional resource costs associated with the above titled invention.

I do not concur with the foregoing estimate of institutional resource costs associated with the above titled invention and request a meeting be scheduled to review the information.

**Chair Name:** XXXX, Chair, Department of

**Chair Signature:** Date:

1. **College Dean:** Review and approval. Please check one box and sign below.

I concur with the foregoing disclosure and declaration of institutional resource costs associated with the above titled invention.

I do not concur with the foregoing disclosure and estimate of institutional resource costs associated with the above titled invention and request a meeting be scheduled to review the information.

**Dean Name**: xxx, Dean, College of

**Dean Signature**: Date:

1. **Office of Innovation:** Review and approval.

I have reviewed the foregoing disclosure and find the information includes the information required for an ownership determination (such as the amount of University time, personnel, facilities, and/or equipment used). The completed form will be forwarded to the Vice President for Research & Innovation for ownership determination.

**Director of Innovation Name**:

**Director of Innovation Signature**: Date:

**Appendix A.**

**Sources of Funding Available from Conception to Completion of Research**

Identify any sources of funding available during the time of initial conception through the completion of work performed on the invention. In the far right column, indicate if the funding was used in any way to support research & development of the invention (any aspect of the invention including conception, testing, validation, or development). “Y” if funding was used and “N” if funding was not used in any relation to the invention.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Primary Investigator (Last name, First Initial)** | **Award Date** | **Source of Funds** | **Title of Project** | **Amount of Funding** | **Use Y/N** |
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Use the space below to provide details supporting any funds used in relation to the invention.

**Appendix B.**

**List of Supporting Documents Provided**