# INVENTION DISCLOSURE FORM INNOVATION ANU

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| **FOR OFFICE USE ONLY** | **Version issued 01/12/19** | |
| **Date received** |  |
| **Tech project ID** |  |

The purpose of this form is to record and provide information to enable Innovation ANU to evaluate the commercial potential of your invention. This Invention Disclosure is made in accordance with the ANU Intellectual Property Policy (effective 01/01/17) which can be found on the ANU website: [policies.anu.edu.au/ppl/document/ANUP\_003603](https://policies.anu.edu.au/ppl/document/ANUP_003603)

If you wish to pursue commercialisation of your invention, you should disclose it to Innovation ANU as early as possible and well before sharing details of the invention through publications, posters, conferences, press releases or other public communications. Public disclosure of your invention will negatively impact upon the ability to protect it through patenting and/or reduce its future commercial potential. Innovation ANU strongly encourages inventors to submit an Invention Disclosure for all inventions and discoveries that may solve a significant problem and/or have commercial value.

Please try to complete as much of the form as possible. Our team can provide advice and assistance with completing your Invention Disclosure. Upon completion, submit this form, along with any supporting documents, to [innovation@anu.edu.au](mailto:innovation@anu.edu.au).

## KEY INVENTION DETAILS

### Invention title

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### Invention contact

Provide details of the inventor who will be Innovation ANU’s main contact for this invention disclosure.

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| **Inventor name** |  | **Phone number** |  |
| **Email address** |  |

### Inventors & contributors

Identify all individuals who have contributed to the invention, including students and those not from ANU. Refer to Appendix A for guidance on how to distinguish Inventors from Contributors. Students listed as Inventors/Contributors to this invention will be required to assign their IP to ANU. If your invention has more than four inventors and/or contributors, please copy this page.

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| --- | --- | --- | --- | --- | --- |
| **Full legal name** |  | | | | |
| **Inventor or contributor** | **Inventor** | **Contributor** | | | **Not sure** |
| **ANU affiliation** | **ANU staff** | **ANU student** | | | **External** |
| **ANU university ID (if applicable)** |  | | **Organisation** |  | |
| **Department/School** |  | | **College** |  | |
| **Residential address** |  | | **Phone number** |  | |
| **Email address** |  | |
| **Citizenship** |  | |

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| **Full legal name** |  | | | | |
| **Inventor or contributor** | **Inventor** | **Contributor** | | | **Not sure** |
| **ANU affiliation** | **ANU staff** | **ANU student** | | | **External** |
| **ANU university ID (if applicable)** |  | | **Organisation** |  | |
| **Department/School** |  | | **College** |  | |
| **Residential address** |  | | **Phone number** |  | |
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| **Citizenship** |  | |

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| **Full legal name** |  | | | | |
| **Inventor or contributor** | **Inventor** | **Contributor** | | | **Not sure** |
| **ANU affiliation** | **ANU staff** | **ANU student** | | | **External** |
| **ANU university ID (if applicable)** |  | | **Organisation** |  | |
| **Department/School** |  | | **College** |  | |
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| **Inventor or contributor** | **Inventor** | **Contributor** | | | **Not sure** |
| **ANU affiliation** | **ANU staff** | **ANU student** | | | **External** |
| **ANU university ID (if applicable)** |  | | **Organisation** |  | |
| **Department/School** |  | | **College** |  | |
| **Residential address** |  | | **Phone number** |  | |
| **Email address** |  | |
| **Citizenship** |  | |

## INVENTION DESCRIPTION

It is important for us to gain a detailed understanding of your invention, to enable us to adequately evaluate your invention, and work with you to develop an appropriate strategy to take your invention through the technology transfer process. Note, in order to be able to be protected by a patent, an invention must be (1) novel, i.e. must have at least one feature which is not present in single prior art; (2) inventive (non-obvious), i.e. it must have at least one feature which should not be obvious to a person skilled in the field of the invention in view of a combination of multiple prior arts or a single prior art and common general knowledge; and (3) useful, i.e. it must have an industrial application and there is a requirement to disclose a specific, substantial and credible use for the invention in the patent specification.

### Describe your invention.

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| The invention is **a** **method / a device / a process / a material / a design / a circuit / an algorithm / software / a creative work** *[delete all that do not apply]* **for** *[describe invention one sentence]…* |

### Provide a brief overview of your invention.

Provide a one paragraph overview of what your invention, summarising its structural, mechanical and technological highlights. Attach any supporting documents, inc. papers, grant applications, drawings, diagrams, specifications, etc. of relevance to your invention, when submitting this Invention Disclosure Form.

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### What is new or innovative about your invention?

Describe the novel aspects of your invention, i.e. what is the key inventive step of your invention over current technology?

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### What stage of development is this invention at?

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| **Idea/concept** | **Animal/lab models** | **Industrial prototype** | **Product** |
| **Preliminary results** | **Bench prototype** | **Clinical/field trials** | **Other:** |

### What problem does the invention solve?

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### What solutions currently exist to address or attempt to address this problem? What are the deficiencies of the known solutions?

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### What advantages does your invention have over current technologies?

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### How does your invention achieve these advantages?

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### Are there any limitations to your invention?

e.g. Technical risks, market risks, etc. Also describe what is needed to overcome these limitations, e.g. further experiments, etc.

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## FUNDING & MATERIALS

Please advise us of any prior funding or materials involved in the development of your invention, as it may impact upon the intellectual property position of your invention and/or its commercial potential, e.g. many grants have special arrangements around intellectual property ownership, etc.

### Was the research that led to the development of this invention funded, in whole or in part, by a third party? If so, please detail below.

This may include NHMRC, ARC Linkage Projects, ARC Discovery Projects, charities, industry partners, etc. Also consider any funding that may have been utilised by contributors, including students and those from other organisations/institutions. Attach any research agreements or other relevant supporting documents when submitting this Invention Disclosure Form.

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| --- | --- | --- | --- | --- |
| **Name of grant/funding organisation** | **Funding title and/or reference** | **Other parties involved** | **Approximate date funding was awarded** | **Supporting Documents attached** |
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### Did the development of this invention utilise data, software or materials from a third party? If so, please detail below.

This may include biological materials, prototypes, third-party and/or open-source software, etc. Also consider any materials that may have been utilised by contributors, including students and those from other organisations/institutions. Attach any relevant Material Transfer Agreements, Data Usage Agreements, etc. or other relevant supporting documents when submitting this Invention Disclosure Form.

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| **Name of organisation providing materials** | **Description of materials** | **Date that materials were provided** | **Was a relevant Agreement put in place for use of materials?** | **Supporting Documents attached** |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |
|  |  |  | **Yes  No** |  |

## PUBLIC DISCLOSURE

It is important for us to understand whether any part of your invention has been made public1, as this may impact on patentability and/or commercial potential.

### Has a description of the invention been disclosed, in whole or in part? If so, provide details below.

Where possible, please also attach a copy of the disclosure document, when submitting this Invention Disclosure Form.

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| **Type of disclosure and aspect of invention disclosed** | **Date of disclosure** | **Supporting Documents attached** |
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### Do you intend to publically disclose your invention in the next 6-12 months? If so, provide details below.

Provide details on the type of disclosure and anticipated date of disclosure, and attach a copy of any relevant draft publications, presentations, media releases, etc., when submitting this Invention Disclosure Form.

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| **Type of disclosure and aspect of invention disclosed** | **Anticipated date of disclosure** | **Supporting Documents attached** |
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*1Examples of public disclosure, that Innovation ANU would like to know about, include:*

* *Speaking about your research at a conference (internal and external)*
* *Presenting research results in a poster at a conference (internal and external)*
* *Publishing your research in a journal (online or print)*
* *Presenting your research in a seminar or poster session on or off campus (including student seminars)*
* *Posting or publishing your research in a student thesis*
* *Manuscript submissions to some journals (some manuscript reviewers are not bound by confidentiality obligations)*
* *Sharing or selling a prototype of your invention*
* *Discussing your research with external parties with/without an appropriate Non-Disclosure Agreement in place*
* *Transferring scientific materials with/without the use of a Material Transfer Agreement*
* *Applying for some grants (some grant applications are not kept confidential)*
* *Submitting grant progress reports (some grant reports are made accessible to the public)*
* *Posting messages anywhere online describing the invention, e.g. websites, blogs, social media, public new groups, ANU media releases*

## PRIOR ART

We will conduct a broad patent and literature search to locate relevant prior art, and any assistance you may be able to provide in helping identify existing research, literature or patents in this space would be extremely valuable.

### Are you aware of any related research (papers, abstracts, conference proceedings, etc) in the same space as your invention? If so, provide details below.

We recommend that you conduct a literature search prior to submitting your Invention Disclosure Form to familiarise yourself with similar publications or other published literature in the same space as your invention. Provide a list of any relevant publications or other references related to your invention that you have identified, and where relevant, attached a copy when submitting this Invention Disclosure Form. If you wish to provide more detail about this prior art, you can complete and submit the Prior Art Table provided at Appendix B.

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| **Supporting Documents attached** |

### Are you aware of any existing patents in the same space as your invention? If so, provide details below.

We recommend that you conduct a preliminary patent database search (e.g. Google Patents: [patents.google.com](https://patents.google.com/), SciFinder: [scifinder.cas.org](http://scifinder.cas.org/) [available through the ANU library]) to familiarise yourself with any similar inventions in the space. Provide a list of any relevant patents and/or patent applications that relate to your invention that you have identified, and where relevant, attached a copy when submitting this Invention Disclosure Form. If you wish to provide more detail about this prior art, you can complete and submit the Prior Art Table provided at Appendix B.

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| **Supporting Documents attached** |

### List any keywords related to your invention that may help the Innovation ANU team locate related research, technologies or inventions in your field.

Consider keywords you would normally use when conducting a literature search in the area of your invention, including keywords that define the novelty and inventiveness. This will assist Innovation ANU and any external support (e.g. patent attorneys) to conduct a more comprehensive search around patentability and commercial potential of your invention.

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### In your opinion, how obvious would it be for a skilled researcher in your field to review the prior art that is publicly available and independently develop your invention?

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## COMMERCIALISATION

*Your assistance in identifying potential applications, partners, competitors, etc. for your invention will greatly assist us in both evaluating your invention and also in the developing of an appropriate commercialisation strategy.*

### What are the potential commercial applications of your invention?

e.g. Would it be the basis for a new service, product, component of a current product, drug, etc.? Include information on relevant markets and sectors, as well as countries that these products/services would be sold in.

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### Which companies or third parties are active in the same space as your invention?

List any companies that you are aware of who are already in the same or related space i.e. currently sell a competing product, have a requirement for a new component, sell the unit to which your prototype would be retrospectively added to for better function, etc., as it may help us to identify potential competitors or partners.

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### Have you worked with or been approached by any individuals and/or companies regarding this invention?

If yes, please provide details, including contact name, nature of engagement to date, and contact details.

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## DECLARATION

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| I have discussed the content of this Invention Disclosure, and obtained consent for its submission, with all co-inventor/s and co-contributor/s to this invention |  |
| *[For students]* I have discussed the content of this Invention Disclosure, and obtained consent for its submission, with my supervisor. |  |
| I agree that by submitting this Invention Disclosure, I will work with Innovation ANU during all stages of the technology transfer process, and provide them with relevant input in relation to the invention, in a timely manner. |  |

# APPENDIX A: INVENTORS VS CONTRIBUTORS

Use the below guidance to determine inventorship for Question 1.3, for each individual who has contributed to the invention.

**Creator**is defined as ‘*any staff, student, emeritus or honorary appointee, visitor, or visiting fellow who contributes to the creation, development or invention of any IP whether or not in conjunction with other persons*.’ In this case the ‘IP’ is the IP that is being licensed into the Company.

Proceeds received from the sale of the shares taken by the ANU in the new company are distributed under the ANU Intellectual Property Policy (effective 01/01/17, which can be found on the ANU website: [policies.anu.edu.au/ppl/document/ANUP\_003603](https://policies.anu.edu.au/ppl/document/ANUP_003603)): 50% to the Creators after commercialisation costs have been recovered. All Creators of any IP licensed to the Company receive a portion of these returns regardless of whether they are also Academic Founders.

For patents, Creators must be designated as either **Inventors** or **Contributors**.

* **Inventors**: Made an intellectual contribution to the claims and are named on the patent. Accurate designation of ‘Inventors’ is important in ensuring validity of the patent.
* **Contributors**: Made a substantial contribution to the project that is not inventive. Contributors may play a role before or after the patent is filed.

The table below may assist you in determining whether people are Inventors or Contributors. If a dispute arises this may be referred to a patent attorney to undertake an Inventorship determination.

|  |  |
| --- | --- |
| **Inventor** | **Contributor** |
| Conceives the idea | Acts as a supervisor on the project but does not contribute to the inventive concept |
| Materially and intellectually contributes to the development of the invention in its final form | Carries out instructions of a supervisor without making significant changes over and above those instructions |
| Uses initiative and creativity to take the invention further (provided these further developments are included in at least one of the claims) | Builds or tests the invention (or parts of the invention ie supplies starting materials) after the idea has been conceived |
| Provides solutions to problems that are critical to making the invention work | Provides data to support the claims |

# APPENDIX B: PRIOR ART TABLE

For the prior art identified in Question 5.1-5.2, complete the following table for the inventions/research with the highest relevance to your invention. Copy the table, as necessary, for additional prior art.

|  |  |
| --- | --- |
| **Title** |  |
| **Relevance** | *High/Med/Low.* |
| **Patent number/ Journal citation** | *Please also include link.* |
| **Summary** | *Provide a brief summary of the invention/research described in this document.* |
| **How does this document relate to your invention?** | *Describe how this document relates to your invention and identify any similarities (this information is used to determine what scope of protection we can obtain).* |
| **Key differences** | *Describe the key differences between your invention and this invention/research (this information is used to identify the inventive/novel aspects of your invention).* |
| **Advantages** | *Describe the advantages that your technology has over this invention/research.* |
| **Other comments** |  |

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| --- | --- |
| **Title** |  |
| **Relevance** | *High/Med/Low.* |
| **Patent number/ Journal citation** | *Please also include link.* |
| **Summary** | *Provide a brief summary of the invention/research described in this document.* |
| **How does this document relate to your invention?** | *Describe how this document relates to your invention and identify any similarities (this information is used to determine what scope of protection we can obtain).* |
| **Key differences** | *Describe the key differences between your invention and this invention/research (this information is used to identify the inventive/novel aspects of your invention).* |
| **Advantages** | *Describe the advantages that your technology has over this invention/research.* |
| **Other comments** |  |