

Invention Disclosure (incl. additional results)

To
Dean's Office of the Medical Faculty
Transfer Department
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To be completed by university administration only

Date of Invention Disclosure: _____

Submission of complete document on: _____

Note of incompleteness on: _____

Signed and as PDF:
med-transfer@uni-koeln.de

Only send in sealed envelope with a note that it must only be opened by addressee!

Content:

- Part A: General information about the invention
- Part B: Information concerning the inventor(s)
- Part C: Description of the invention
- Part D: Description of the market
- Part E: Additional results
- Part F: Confirmation of the inventor(s)
- Part G: Confirmation of the university
- Part H: Assignment of PROvendis

Part A: General information about the invention

[A1] Abbreviated designation of the invention (acronym):¹

[A2] Description of the invention:

[A3] When has this invention been generated?² _____

[A4] Has a patent already been applied for?:³

Yes No

[A5] Are you the sole inventor?

Yes No

How many persons have participated in this invention?⁴ _____

In case there are any co-inventors, please also complete B1 to B8!

[A6] Do you plan a publication of the invention?:

Yes No

In case of an intended publication: When? _____

In case of an intended publication: Where? _____

Part B: Information concerning the inventor(s)⁵

Please copy this page for each person that has contributed to the invention and fill in completely.

[B1] Names and addresses	
Family name	
First name	
Nationality	
Occupation	
Position	
Department/Institute/Company	

Business address	
Phone	
Fax	
Email	

Private address	
Phone	
Fax	
Email	

[B2] The co-inventors have the following shares in the invention:

[B3] The invention is part of my field of work: Yes No

[B4] The invention was generated within the context of my employment contract: Yes No

[B5] The invention is significantly based on know-how and experience of the university (Department/Institute): Yes No

[B6] The invention was made as a result of instruction: Yes No

If yes, who has given the instructions? _____

[B7] The invention was made in the context of my Doctoral-/Master-thesis (or any similar study work): Yes No

[B8] Have third-party funds been used for the invention?

[B8-1] The invention was made as part of a publicly funded project:

DFG BMBF EU Other: _____

Designation of the project: _____

My position has been financed from these project funds.

I know the purpose of the project.

[B8-2] The invention was made in collaboration with partners:

Designation of the collaboration: _____

Partner _____

My position has been financed from this collaboration.

I know the purpose of the collaboration.

[B8-3] No third-party funds have been used

Part C: Description of the invention⁶

Recommended structure:

- Which technical problem should be solved by the invention?
- Which state-of-the-art do you know?
- Which disadvantages do you see in the current state-of-the-art?
- What is new about your invention?
- What are the advantages for your invention?

[C1] Please describe your invention:

[C2] The following documents are attached to the invention disclosure: (*,7)

_____	_____
_____	_____
_____	_____

[C3] Characterize your invention by subject headings: (*,8)

English

_____	_____
_____	_____
_____	_____

German

_____	_____
_____	_____
_____	_____

[C4] Please quote any publication of the subject of your invention that you are aware of: *

_____	_____
_____	_____
_____	_____

* These fields are optional. Completion facilitates a fast and realistic review of your invention. However, your invention disclosure is also considered as complete, if you cannot provide information on these points.

Part D: Description of the market^(*,9)

[D1] The invention is existent as:

- Idea Experiment Sample Prototype

[D2] Do you consider to exploit your invention in an own company formation?

- Yes No

[D3] For which application is your invention suitable?

[D4] Which company(ies) may be considered as a potential licensee?

[D5] Which company(ies) are you already in contact with?

[D6] Which persons or customers may benefit from your invention?

[D7] How do you rate the market potential of your invention:

- very high high average low

* These fields are optional. Completion facilitates a fast and realistic review of your invention. However, your invention disclosure is also considered as complete, if you cannot provide information on these points.

TEIL E: Additional results

[E1] Have any further results been generated besides the invention?

- Software, source code, object program, module etc.
- Handbook or design of a screen surface
- Database, data collection or data
- Form design, design, sample, model or concept
- Drawing, graphic art, icon or photo
- Survey, table, or operating guidelines
- booklet or text
- Film
- Biological material (Animal model, cell line, antibody etc.)
- Label or trademark
- Know-how, experience or trade secret
- Other: _____

[E2] Please briefly describe your additional results here or attach a description.

[E3] Who has generated the aforementioned results?

Please provide the names of respective persons!

[E4] Are the aforementioned results necessary or meaningful for the utilization of the invention?

Or are these results independent of the invention?

Please answer for each result separately.

Part F: Declaration of the inventor(s)

I/we consent to the disclosure of my/our private data (such as private address, nationality) for the purpose of filing a patent application for the invention with the relevant patent offices and/or to third parties involved in filing the patent application (e.g. patent attorneys, IP departments of companies that have obtained any rights to the invention).

I/we have taken note that in the case of an invention disclosure, the processing of personal data is required for the purpose of filing a patent application for the invention. In particular, it is necessary to pass on my/our private data (such as private address, nationality) to the relevant patent offices and/or to third parties involved in the patent application (e.g. patent attorneys, IP departments of companies that have obtained the rights). The legal basis for the data processing is Article 6(1) sentence 1 lit. e) DSGVO and the further information according to Article 13 DSGVO can be found in the data protection declaration on the university's website.

I/we certify that the above information has been provided completely and truthfully, that I/we have made the findings described in this notification and that no persons other than those named were involved in these findings.

1. _____

(Date) (Signature)

2. _____

(Date) (Signature)

3. _____

(Date) (Signature)

4. _____

(Date) (Signature)

Check list

Please check the following points before you send the invention disclosure to your university's administration.

- I/we have signed the invention disclosure.
- The information concerning the inventors (Part B) have been completed for **each** co-inventor.
- The confirmation of the university (Part G) has been obtained.
- The invention disclosure has been printed out completely.
- The invention disclosure will be sent in a closed envelope to the address of the rector of the university.

Part G: Confirmation of the University

[G1] The inventor(s) is/are employees of the university:

	First name	Family name	
1.			<input type="checkbox"/> Yes <input type="checkbox"/> No
2.			<input type="checkbox"/> Yes <input type="checkbox"/> No
3.			<input type="checkbox"/> Yes <input type="checkbox"/> No
4.			<input type="checkbox"/> Yes <input type="checkbox"/> No
5.			<input type="checkbox"/> Yes <input type="checkbox"/> No
6.			<input type="checkbox"/> Yes <input type="checkbox"/> No

[G2] Third party's rights have to be considered concerning this invention: Yes No

The following third party's rights concerning the invention exist or need to be considered:

The following contracts/agreements concerning the invention are relevant and attached in copy:

Place: _____, Date: _____

Signature

Part H: Assignment of PROvendis

The university hereby commissions PROvendis to evaluate the invention described in this invention disclosure, taking into account the additional results, as far as these are necessary or useful for the utilization of the invention.

Comments:

Place _____, Date _____

Signature

Explanations regarding the Questions of the Invention Disclosure Form

¹ Please name your invention! Provide a short designation that explains the gist of your invention. The name will be used for the report.

² Here you should indicate the period of time or the point in time when you have generated the core of the invention. This can either be the moment of the flash of inspiration or the period from the idea to a technical realization of the invention. This information is of considerable importance for the assessment of your rights and obligations.

³ If a patent application has already been filed for your invention, or if only a "provisional" patent application has been filed, you are still obliged to report your invention due to your employment relationship with the university.

⁴ Please indicate the number of all persons involved in the invention. If several co-inventors are involved, please also complete B1 - B8.

⁵ Those persons have to be named as inventors, who have technically, factually, creatively and considerably contributed to the development of the invention.

The information with regard to the private address is mandatory for all employees of the university, as the names of the inventors and their private addresses must be provided when applying for a patent. In addition, we will keep you informed about the progress of the procedure and may have to contact you at a later date regarding inventor compensation or reassignments. Please note that you must inform us of any changes as soon as possible.

For any co-inventors, data must be provided for each respective employee of the university. If "external inventors" are involved, it is desirable, but not mandatory, to provide private data. The address of the legal owner of the "external invention shares" is important for further processing (likewise for "independent inventors"). Please coordinate this with your co-inventors.

This information may also be submitted later!

All personal data will of course be treated as confidential and only made accessible to authorized persons in the context of the evaluation process.

In case there are several inventors of the university, you may appoint one inventor as a contact person for technical questions.

In case of co-inventorship consisting of several inventors of the university you can appoint one inventor as contact person for technical questions.

⁶ This section is the core of your invention disclosure: What did you invent? By answering the following questions, you enable other persons to understand the objective and advantage of your idea. If you have already any documents (such as manuscripts for an intended publication or drawings or figures) you may add these documents as attachments to the invention disclosure. Written texts or have drawings and pictures, you can add them to your invention disclosure. Please provide answers to all of the questions nevertheless.

How was the addressed problem solved prior to your invention? Which alternative solutions are already known? Are there possibly alternatives that achieve comparable outcomes or which come close to your invention?

An invention cannot be patented, if the subject is already known. Therefore, please check as early as possible, if there are already solutions for the problem that you are aiming to solve. The finding that the aimed solution already exists is not worthless, since it saves you unnecessary development effort.

What cannot be solved with the approaches that you have described as state-of-the-art? What are the limitations and constraints? Please describe weaknesses and disadvantages of currently existing solutions.

Subsequent to your description on the issues of currently existing technology, you should describe here, how your invention solves these problems. Do not only describe what your invention does. Do also describe how your invention works.

Please explain in detail, which parts of your invention did not exist to date.

This question deals with an essentially important aspect, since a patent application cannot be made without a degree of novelty. And please consider that sooner or later a search will be performed whether your invention is affected by claims of existing patents.

For example, are the advantages of your invention cost savings or increased efficacy? Which user could benefit from the invention? Would you actually buy your own invention or the products developed from that later on?

⁷ If available, please attach documents to the invention disclosure, such as drawings, publications, explanatory texts, etc., which could be helpful in understanding your invention.

⁸ For a patent search, key words that describe your invention can be very helpful. Please try to characterize your invention and possible fields of application with such key words as precise as possible.

⁹ What is the ideal use of your invention? Maybe you already know companies that may make use of your invention. Also, consider companies with competing products, which may be affected by your invention. Please make a statement on the final customer, if possible. Such statements may help with an evaluation of the market size.