

INVENTION DISCLOSURE FORM

Utrecht Holdings is the Knowledge Transfer Office (KTO) for **Universiteit Utrecht (UU)** and the **Universitair Medisch Centrum Utrecht (UMCU)**. Together with the excellent researchers within these institutes, we strive to create impact on society: our goal is to turn inventions from research carried out at UU and UMCU into new products or services for the benefit of society. Hereto researchers of UU or UMCU are welcomed to report their inventions to Utrecht Holdings by submitting an **Invention Disclosure Form (IDF)**.

The purpose of this IDF is to provide a written and dated record of the invention and to provide the information needed for Utrecht Holdings to evaluate if the technology is patentable, determine whether intellectual property rights are owned by UU, UMCU and/or third parties and to identify commercialization opportunities for the invention by which it can be made available to society as new products or services.

Be aware that any prior disclosure of the invention in any form (e.g. conference abstract, poster, presentation or publication on pre-print servers like medRxiv, bioRxiv, arXiv, ChemRxiv, etc.) may seriously impact patentability and thereby prohibit its further development towards societal use and benefit.

It is therefore strongly recommended to contact Utrecht Holdings before:

- 1.) submitting abstracts or giving oral- or poster-presentations relating to the invention at conferences; or
- 2.) submitting manuscripts relating to the invention for (pre-print) publication; or
- 3.) disclosing information relating to the invention to companies or other third parties.

When completing this IDF, please be as comprehensive and detailed as possible. If you require additional guidance, do not hesitate to contact the Utrecht Holdings team.

Please return the completed and signed IDF along with supporting documentation to:

Universiteit Utrecht Holding B.V. / UMC Utrecht Holding B.V.
Heidelberglaan 8,3584 CS, Utrecht
secretariaat@utrechtholdings.nl
www.utrechtholdings.nl

Upon submitting the IDF to Utrecht Holdings, a Business Developer of the Utrecht Holdings team will contact the Applicant to schedule an intake meeting. The Business Developer will do an assessment of the technical feasibility and market potential of the invention and discuss the outcome with the Applicant and team.

In case of a positive outcome and upon formal completion of this document, Utrecht Holdings will seek external patent counsel to prepare and file a patent application and initiate business development activities towards commercial development by seeking partners or facilitating in setting up a start-up company.

Be aware that out-of-pocket expenses and revenue from exploitation will be shared according to the Board regulations of UU and UMC Utrecht. Service hours by Utrecht Holdings are free of charge.

TITLE OF THE INVENTION

Title:

DESCRIPTION OF THE INVENTION

Give a short description of the invention. Identify those elements of the invention that are essential to make the invention work.

Describe the problem that the invention would solve (Problem-Solution)

How have others tried to solve this problem in the past; what is the current “State-of-the Art”? Describe how your solution differentiates from these prior solutions in function/structure/approach.

Describe the advantages of your solution over the prior solutions.

Does your current solution have disadvantages or limitations? Indicate if and how they could be overcome.

PROOF OF PRINCIPLE

Has experimental evidence been obtained showing that the invention works as claimed? Describe the development status (concept only, laboratory tested, prototype, in vitro, in vivo, etc.). Indicate what further development may be required.

N.B. A draft manuscript intended for scientific publication describing the invention provides very useful information for evaluation. If such a draft manuscript is available, please attach it to this Invention Disclosure Form.

AUTHORSHIP/COPYRIGHT

Is there any expression of this invention through software or Artificial Intelligence?

What is the purpose of the software (e.g. proof of concept, demonstration of invention, prototype, fully functional end user version)?

Is the software a derivative or improvement of any existing source code?

if so please explain:

Who holds copyrights of the software?

Has any software or (open) source code from others been included in the invention? What were license conditions for using these open-source repositories?

If so, please specify:

Has any text, sound, visual or video material from others been included?

If so, please specify:

Is any proprietary hardware or software required to run the software?

If so, please specify:

COMMERCIALIZATION POTENTIAL

What kind of commercial applications could be derived from your invention?

What are the next steps that are required to bring such application as a product or service to the market? Are there specific challenges or requirements such as i.e. high development/regulatory burden (EMA/FDA/MDR/IVDR etc.), or dependency on third party technologies, etc...?

Are you aware of/in contact with companies that could be interested in your invention? In case of existing contacts, please indicate.

Is there interest within the research team to establish a start-up company to further develop and the invention towards commercial use?

If so, who are anticipated team members:

What are their envisioned roles in the company:

Any roles/capabilities still lacking, that should be recruited:

DATES

Date of conception of the invention:

First disclosure of the invention to another:

First written (or verifiable) record of the invention:

First experiment demonstrating the invention (proof of concept):

In case of software, date the code was first completed (1st version):

RECORDS/DOCUMENTATION

Are (lab) records available in either paper notebooks or ELN?

Are these (lab) records dated and signed?

In case of software, is the source code available?

Is software documentation available?

INVENTORS

Inventorship is NOT determined in the same way as scientific authorship and has important legal implications! It is important for the Applicants to identify all individuals who contributed significantly to the intellectual conception and/or reduction to practice of the invention. Please use the **Appendix** to identify further Contributors. In case of doubt, please contact your Business Developer at Utrecht Holdings for guidance.

Inventorship is defined by patent laws and is usually determined when the full scope of the invention is captured in a final patent application. It may therefore be the case that not all contributors will also become an inventor on the final patent application.

Use **full names as in passport**; this is required for the official documents.

Please provide home address and please inform Utrecht Holdings in case home address changes.

APPLICANT 1	
Full name:	
Position:	
Employer	
Faculty/Division	
Department	
Telephone	
E-mail	
Address-home	
Nationality	
Contribution to the Invention	
Involved in intellectual conception?	
Involved in reduction to practice?	
Involved in experimental design?	
Involved in carrying out experiments?	
Under supervision of others?	

APPLICANT 2	
Full name:	
Position:	
Employer	
Faculty/Division	
Department	
Telephone	

E-mail	
Address-home	
Nationality	
Contribution to the Invention	
Involved in intellectual conception?	
Involved in reduction to practice?	
Involved in experimental design?	
Involved in carrying out experiments?	
Under supervision of others?	

DISCLOSURES

Any own prior disclosure of the invention, in whatever form, may be harmful for patentability!
Please, list all past and upcoming disclosures of the invention. If still unpublished and undisclosed, provide any submissions already made or give the anticipated publication date.

N.B. Pay special attention to the use open-access preprint servers (e.g. medRxiv, bioRxiv, arXiv, ChemRxiv, etc.)

Type of publication or disclosure	Applicable (NO/YES)	If yes, please indicate the date (dd/mm/yyyy) and reference of publication or disclosure
External oral presentations at conferences, meetings, companies, etc.		Date: ; Reference:
Poster, abstract, proceeding that has been or will be posted, printed or web-published		Date: ; Reference:
Manuscript(s) that describes the invention has been or will be submitted for publication (also internet pre-print publications!)		Date: ; Reference:
A manuscript that describes the invention has been or will be published		Date: ; Reference:
A thesis (undergraduate, master or doctoral) that describes the invention has been or will be submitted and defended		Date: ; Reference:
A report (official or internal) that describes the invention		Date: ; Reference:
A news article or feature report that describes the invention has been or will be printed or published on the web		Date: ; Reference:
Information describing the invention has been or will be given to a person, company or institution outside the University?		Date: ; Reference:
In case of software, has the source code or executable files been shared or published, for example as open source software?		Date: ; Reference:

PRIOR ART

Please list and attach copies of any publication (theses, reports, preprints, reprints, paper or internet abstracts) and patents or patent applications by others, which you consider to disclose ideas most closely related to the invention. The following publicly available patent search engines or databases can be used: [Google patents](#) or [Espacenet](#)

- 1)
- 2)
- 3)
- 4)

USE OF RESOURCES AND FUNDING

UU and/or UMCU Resources

Has the use of any UU or UMCU resources (laboratory, equipment, facilities, support) in whole or in part led to the invention?

Past and current funding that led to the invention

Indicate for each funding source (you can use the salary base for each inventor as a guideline) the Agency or Sponsor (indicate "1e, 2e, 3e, 4e geldstroom", or UMCU, UU, NWO, KWF, Hartstichting, Hersenstichting, Health Holland, etc...) the Grant/Contract Type & Ref. Nr and the Term (dd/mm/yy to dd/mm/yy). Use the notes field for further explanation where applicable, e.g. when an individual contributor was sponsored by this particular party etc.

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:	
Term:	
Principal Investigator	
Notes	

Future funding that will further develop/improve the invention

If work on the invention is to be continued indicate known or probable sources of funding and the nature of the work yet to be performed.

Agency or Sponsor:

Grant/Contract Type & Ref. Nr:	
Term:	
Principal Investigator	
Notes	

Collaboration with third parties

Is the invention related to any third party, other university, company or collaboration therewith? Were any agreements executed in relation thereto? If so, please provide copies.

Use of third party materials and confidential information

Does the invention incorporate any material or confidential information obtained from third parties such as companies or institutions outside UU or UMCU? If so, has a Material Transfer Agreement or Confidentiality Agreement been executed for this material or information? If yes, please provide copies. Please list material, date received and supplier.

COST SHARING

Following policy by the Boards of UU (CvB) and UMCU (RvB), all patent related out-of-pocket expenses will be equally shared between Utrecht Holdings and the Faculty or Division.

Do you have consent from your Division/Faculty Management to incur these costs?

Please provide an internal "kostenplaats- or WBS-nummer" for invoicing:

DECLARATION

Applicants hereby declare that to the best of their knowledge 1.) each believes to be an original contributor to the subject matter which is described in this IDF and 2.) each believes that all contributors to the invention are listed in this IDF and APPENDIX.

SIGNATURES

Signing this document indicates that (a) the Invention Disclosure Form is complete and accurate, and (b) the inventors recognize that commercialization of their invention will require a commitment of their time to the technology assessment, patenting and commercialization processes.

Applicant 1

Applicant 2

Name:

Date:

Name:

Date:

APPENDIX TO IDF

FURTHER CONTRIBUTORS / INVENTORS

Inventorship is NOT determined in the same way as authorship and has important legal implications! At this stage it is important to identify all individuals who contributed significantly to the intellectual conception and/or reduction to practice of the invention. In case of doubt, please contact your Business Developer at Utrecht Holdings for guidance.

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Use **full names as in passport**; this is required for the official documents.

Please provide home address and please inform Utrecht Holdings in case home address changes.

CONTRIBUTOR 1	
Full name:	
Position:	
Employer	
Faculty/Division	
Department	
Telephone	
E-mail	
Address-home	
Nationality	
Contribution to the Invention	
Involved in intellectual conception?	
Involved in reduction to practice?	
Involved in experimental design?	
Involved in carrying out experiments?	
Under supervision of others?	

CONTRIBUTOR 2	
Full name:	
Position:	
Employer	
Faculty/Division	
Department	
Telephone	
E-mail	
Address-home	
Nationality	
Contribution to the Invention	
Involved in intellectual conception?	
Involved in reduction to practice?	
Involved in experimental design?	
Involved in carrying out experiments?	
Under supervision of others?	

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Contributor 1

Contributor 2

Name:

Date:

Name:

Date:

Contributor 3

Contributor 4

Name:

Date:

Name:

Date: