#### INVENTION DISCLOSURE FORM (IDF)

Kindly complete **all** sections of this form and return to CTeD at: cted@duke-nus.edu.sg

The purpose of this Invention Disclosure Form (IDF) is to record a written description of your invention to allow evaluation for potential intellectual property protection and commercialisation. It helps Duke-NUS Centre of Technology Development (CTeD) to evaluate the technical merits of your invention, assess whether the invention is patentable and whether the invention has commercial value.

**IMPORTANT**

1. It is essential that all public disclosures of the invention be made after filing a patent application. These disclosures may damage the novelty and inventiveness of the invention and make it impossible to obtain a patent, because they will be prior art documents, citable against the patent application.

**Public disclosures include (but not limited to):**

* Publication in scientific journals
* Abstracts published in conference websites or books
* Oral or poster presentations at conferences, seminars, lectures, symposiums, etc.
* Oral or written disclosures to third/external parties in the absence of a signed Non-Disclosure Agreement (NDA)
* Advertisement, demonstration, sale or use in public of the invention
* Announcement of experimental trials that include enabling disclosure of the invention

The timing of preparing a patent application and a manuscript for publication can be managed. For further clarification on this, please reach out to us at cted@duke-nus.edu.sg

1. All information provided in this IDF will be treated as confidential information and used only for the purposes of assessing the patentability and/or commercial potential of the disclosed invention.
2. You are strongly encouraged to refer to “**ANNEX: GUIDANCE TO COMPLETE THIS FORM**” provided at the end of this document before completing this form.

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| --- | --- | --- |
| 1 | **TITLE OF INVENTION** |  |
| 2 | **DATE OF SUBMISSION** |  |

|  |  |
| --- | --- |
| 3 | **INVENTORS AND CONTRIBUTORS OF INVENTION***Please list all individuals who have contributed to the invention.* |
| **Duke-NUS INVENTORS***To declare more “Inventors/Contributors”, kindly add new columns to the right of INVENTOR/CONTRIBUTOR 2* |
|  | **INVENTOR/CONTRIBUTOR 1** | **INVENTOR/CONTRIBUTOR 2** |
| **SURNAME** |  |  |
| **GIVEN NAME(S)** |  |  |
| **DESIGNATION & POSITION** |  |  |
| **DEPARTMENT** |  |  |
| **CAPACITY AT THE TIME OF CONCEPTION OF INVENTION***(Please tick the correct option)* | [ ] UNDER THE CAPACITY SAME AS CURRENT EMPLOYMENT DETAILS GIVEN ABOVE[ ] UNDER A CAPACITY DIFFERENT FROM EMPLOYMENT DETAILS GIVEN ABOVEPlease specify the organisation, department, address, and position at time of conceiving the invention below: | [ ] UNDER THE CAPACITY SAME AS CURRENT EMPLOYMENT DETAILS GIVEN ABOVE[ ] UNDER A CAPACITY DIFFERENT FROM EMPLOYMENT DETAILS GIVEN ABOVEPlease specify the organisation, department, address, and position at time of conceiving the invention below: |
| **JOINT APPOINTMENT AT THE TIME OF CONCEPTION OF INVENTION***(Please tick the correct option)* | Do you hold any joint appointments?[ ] No[ ] Yes, please list the organisation/s: | Do you hold any joint appointments?[ ] No[ ] Yes, *please list the organisation/s:* |
| **PHONE** |  |  |
| **EMAIL** |  |  |
| **STUDENT / STAFF ID** |  |  |
| **CITIZENSHIP** |  |  |
| **MAILING ADDRESS** |  |  |
| **INVENTIVE CONTRIBUTION (%)** |  |  |
| **ASPECT OF INVENTIVE CONTRIBUTION***(Fill in brief description of the essential element(s) of the invention which each inventor/contributor has contributed to)* |  |  |
| **SIGNATURE** **&****DATE** |  |  |

|  |  |
| --- | --- |
|  | **NON - Duke-NUS INVENTORS***To declare more “Inventors/Contributors”, kindly add new columns to the right of INVENTOR/CONTRIBUTOR 2* |
|  | **INVENTOR/CONTRIBUTOR 1** | **INVENTOR/CONTRIBUTOR 2** |
| **SURNAME** |  |  |
| **GIVEN NAME(S)** |  |  |
| **CURRENT EMPLOYER** |  |  |
| **EMPLOYER’S ADDRESS** |  |  |
| **DESIGNATION & POSITION** |  |  |
| **INSTITUTION & DEPARTMENT** |  |  |
| **CAPACITY AT THE TIME OF CONCEPTION OF INVENTION***(Please tick the correct option)* | [ ] UNDER THE CAPACITY SAME AS CURRENT EMPLOYMENT DETAILS GIVEN ABOVE[ ] UNDER A CAPACITY DIFFERENT FROM EMPLOYMENT DETAILS GIVEN ABOVEPlease specify the organisation, department, address, and position at time of conceiving the invention below: | [ ] UNDER THE CAPACITY SAME AS CURRENT EMPLOYMENT DETAILS GIVEN ABOVE[ ] UNDER A CAPACITY DIFFERENT FROM EMPLOYMENT DETAILS GIVEN ABOVEPlease specify the organisation, department, address, and position at time of conceiving the invention below: |
| **JOINT APPOINTMENT AT THE TIME OF CONCEPTION OF INVENTION***(Please tick the correct option)* | Do you hold any joint appointments?[ ] No[ ] Yes, please list the organisation/s: | Do you hold any joint appointments?[ ] No[ ] Yes, please list the organisation/s: |
| **PHONE** |  |  |
| **EMAIL** |  |  |
| **CITIZENSHIP** |  |  |
| **MAILING ADDRESS** |  |  |
| **INVENTIVE CONTRIBUTION (%)** |  |  |
| **STATE ASPECT OF INVENTIVE CONTRIBUTION***(Fill in brief description of the essential element(s) of the invention which each inventor/contributor has contributed to)* |  |  |
| **SIGNATURE** **&****DATE** |  |  |

|  |  |
| --- | --- |
| 4 | **SOURCES OF SUPPORT OR GRANT RELATING TO THIS DISCLOSURE***Please identify all outside agencies, organisations, or companies that provided funding to the research that led to the outcomes described herein. Obligations of the research sponsor(s) will have to be met if patent protection and/or licensing of the invention is pursued.* |
| **DSTA/DSO: Ref No.**:Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] NoHave University resources or facilitiesbeen used? [ ] Yes [ ] No Funding Amount:Funding Duration: | **NMRC: Grant No**.:Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] NoHave University resources or facilitiesbeen used? [ ] Yes [ ] No Funding Amount:Funding Duration: |
| **MOE: Grant No.:**Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] No Have University resources or facilities been used? [ ] Yes [ ] No Funding Amount:Funding Duration: | **A\*STAR (BMRC/SERC/STDR/IAF-PP): Grant No.:**Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] No Have University resources or facilities been used? [ ] Yes [ ] No Funding Amount:Funding Duration: |
| **SMA/SMART: Ref No.:**Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] NoHave University resources or facilities been used? [ ] Yes [ ] NoFunding Amount:Funding Duration: | **NHIC: Ref No.:**Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] No Have University resources or facilities been used? [ ] Yes [ ] No Funding Amount:Funding Duration: |
| **Other Agency, Name: Grant No.:** Title of Project Funded: Collaborators (if any): Was there a formal agreement signed? [ ] Yes [ ] NoHave University resources or facilities been used? [ ] Yes [ ] NoFunding Amount:Funding Duration: |
| 5 | **CONTRACTUAL OBLIGATIONS***Please disclose any other contractual obligations entered into, including Research Collaboration Agreements (RCA), Research Contracts, Material Transfer Agreements (MTA), Confidentiality Agreements (NDA), etc., if relevant to the outcomes described herein.* |
| Was an agreement / contract entered between Duke-NUS (NUS) and an external party relevant to this invention? [ ] Yes [ ] No*If you answered “YES”, please attach a copy of the agreement/contract together with this IDF and answer the following questions. If you answered “NO”, input “NA” for the questions below and move to section 6.** Reference Number of the Contract (NUS and/or External):
* Name of External Collaborator or Provider of Material (Organisation and Individual):
* Relevant Details of Collaboration or Material:
 |
| 6 | **DESCRIPTION OF INVENTION** * *Provide a description of the invention and how it works.*
* *Include preliminary studies and detail the significance of the results (additional information and data can be included as an attachment to this IDF).*
* *Is this invention related to, or an improvement to, any prior invention disclosed to CTeD? If so, please provide details.*
* *Please include as much details as possible and do not withhold any key elements of this invention.*
 |
| 7 | **IMPACT OF INVENTION*** *What problem/s does this invention address?*
* *Provide a bullet point list of the key novel aspects of this invention.*
* *Describe the advantages over current known technologies and solutions.*
 |
| 8 | **DEVELOPMENT PLAN*** *Highlight the development work you plan to undertake in the next 12 months.*
 |
| 9 | **COMMERCIAL PRODUCT*** *What is the envisioned commercial product?*
 |
| 10 | **RELEVANT INDUSTRY CONTACTS*** *List companies and details of contacts (name, position, and contact details) who may be interested in this invention.*
 |
| 11 | **DATE OF CONCEPTION*** On what date did you conceive the ‘invention’? (This is the date you had formed in your mind a definite and permanent idea of how the technology would ‘work’):
* How was this documented? (Lab Notebook, computer disk, diagrams, photos etc.):
 |
| 12 | **PUBLIC DISCLOSURE / PUBLICATION OF INVENTION (IF ANY)** |
| Has the work already been publicly disclosed? (This includes posters and oral presentations as well as journal articles) [ ] Yes [ ] No*If your response is “YES”, respond to the questions below:** Date of disclosure:
* Provide all details including the format of its disclosure (attach copies at the end of this form, if possible):
 |
| Do you intend to disclose this work publicly in the near future?[ ] Yes [ ] No*If your response is “YES”, respond to the questions below:** Planned date of future disclosure:
* Format of disclosure of the invention (e.g., journal article, poster presentation, submission of abstracts, etc.,):
 |
| 13 | **REFERENCES***Please list literature references that most closely describe your work. You may, if desired, conduct a patent search (for e.g., on google patent search). Also provide a list of references cited in this write-up.* |
| 14 | **SOFTWARE DEVELOPMENT***If your disclosure involves or includes software, please answer the following questions. Otherwise, just write “N/A”.* |
| * Is the software stand-alone? If not, list associated software that is required for the invention to work:
* What language is the software developed in and what platforms is it designed for delivery on? List the minimum hardware specifications required:
* Was any of the source code obtained under an open-source license (e.g., BSD, GPL, Apache, etc.) or from any other source? [ ] Yes [ ] No

If yes,1. Please provide a list of the sources:
2. Explain how the sources listed above have been used in the invention:
* Are there any third-party rights associated with the invention of the software? List grants or contracts if any, with third parties:
* Is the software an improvement of existing software? Has a license been obtained on the existing software? Provide details:
* Is the software a proof-of-concept, a demonstration, prototype, or fully functional end user version? Provide details:

 |

**INVENTOR AND CONTRIBUTOR DECLARATION**

I/we acknowledge and agree:

* That the information contained within this invention disclosure form is accurate and complete to the best of my knowledge.
* To fully co‑operate with CTeD in the process of IDF evaluation, seeking intellectual property protection and in the commercialisation of this invention.
* If a Duke-NUS employee, to assign all intellectual property rights, titles, and interest in this invention to Duke-NUS or its designee in accordance with [Duke-NUS Policy Relating To Patent Protection for Inventions](https://www.duke-nus.edu.sg/docs/librariesprovider7/default-document-library/work-cted/duke-nuspatentpolicy-20150331-vf.pdf?sfvrsn=9e731f64_2) [Please see section C] by executing the relevant documents at the time of filing of a patent application.
* CTeD reserves the right to make final decisions on intellectual property protection matters.

**IMPORTANT INFORMATION**

CTeD manages, protects, and commercialises all intellectual property generated by employees of Duke-NUS involving the use of Duke-NUS resources. Information provided on this form may be used as a basis of a statement of inventorship in respect of a patent application. Incorrect information may compromise the grant or validity of the patent and its subsequent commercialisation. In accordance with [Duke-NUS Policy Relating To Patent Protection for Inventions](https://www.duke-nus.edu.sg/docs/librariesprovider7/default-document-library/work-cted/duke-nuspatentpolicy-20150331-vf.pdf?sfvrsn=9e731f64_2) and the Patent Act, any invention resulting from research and/or work conducted by a Duke-NUS employee in the course of employment under Duke-NUS, or involving the use of Duke-NUS resources, shall be considered the property of Duke-NUS. Duke-NUS inventors shall assign all intellectual property rights of the invention to Duke-NUS.

**ANNEX: GUIDANCE TO COMPLETE THIS FORM**

1. **TITLE OF INVENTION:**

Please provide a short title to identify the general nature of the work disclosed herein; it should not include unique details.

1. **DATE OF SUBMISSION:**

Date on which you submit the completed IDF to CTeD Office via cted@duke-nus.edu.sg.

1. **INVENTORS AND CONTRIBUTORS OF INVENTION:**

Please list all individuals (inventors and non-inventors) who have contributed to the invention.

1. **Who is an inventor? What is the difference between inventor in a patent application (or of the new technology) and author on a research paper?**

An Inventor is any person who has conceived the invention or has devised the inventive idea or has contributed to the conception of the inventive steps that make the invention workable. Not all contributors will necessarily be “inventors”. This is a legal issue: the rules for inclusion are not the same as for a scientific publication. Identification of inventors will be determined by the drafting attorney.

Performing routine experiments which exist in the art and statistical analysis of data do not qualify one to earn the inventor status since neither of these has to do with conceiving the invention. It is the ideation that is critical to determining the inventor(s). This differentiates inventorship in a patent from authorship in a publication since in publications, it is normal that contributions such as statistical data analysis, performing experiments upon instruction, writing the manuscript, or completing the final experiment are sufficient to warrant authorship. While author lists on publications are not governed by laws, inventorship is a legal issue and the laws and judicial decisions can vary from country to country. In fact, patents can be invalidated based on erroneous list of inventors. Hence, “courteous granting” of inventorship may have serious consequences.

1. **Details of Inventors/Contributors:**

* 1. **Mailing Address:** This is required to send all official documents to the inventors/contributors. Kindly keep CTeD informed of permanent/home address changes to ensure you do not miss patent-related notifications or revenue payouts.
	2. **Inventive Contribution Percentage:** To fill out the percentage contribution of each inventor to the invention – this % will be used to determine the % income split amongst the Duke-NUS inventors. The total percentage across the Duke-NUS and non-Duke-NUS inventors should add up to 100%. If left blank, it is taken that each inventor has contributed equally to the invention and any income will also be distributed equally amongst the Duke-NUS inventors. Please note that CTeD will not accept any amendments to the Percentage Inventive Contribution/ Income Split after one month from the date of receipt of the Form.
	3. **Aspect of Inventive Contribution:** Please state a brief description of the essential element(s) of the invention which every inventor/contributor has contributed to.
1. **SOURCES OF SUPPORT OR GRANT RELATING TO THIS DISCLOSURE & CONTRACTUAL OBLIGATIONS:**

Providing us with details on the funding support that you and your co-inventors received for conducting your research and making this invention informs us that there might be obligations to the research sponsor(s) that will have to be met if the patent is filed and/or licensed. For example, contracts such as material transfer agreements (MTA) and research collaboration agreements (RCA) between the university and external parties may contain clauses which will determine how exactly new foreground IP resulting from the use of a third party’s material or funds will be dealt with, vis-à-vis the ownership of the new IP.

1. **DESCRIPTION OF INVENTION:**
	1. Please provide as complete a description as possible. This is essential for us to be able to assess whether the technology you describe is an “invention” in a legal sense; we may then elect to file a patent application. It is also essential to obtain an enforceable patent. The purpose of your description is to enable a person with similar skills in your field to be able to make and use the technology/invention you describe.
	2. Describe the background of field of invention, the significance of the unmet need and/or deficiencies in the current state of art which motivated the creation of your invention.
	3. Please do not withhold any key elements: you are obliged to describe the best way of making/using the technology/invention that is known to you at the time of submission.
	4. Detail the preliminary studies, experimental evidence, prototypes, pre-clinical / clinical data generated in support of the ‘invention’. Provide any supporting diagrams, images, graphs if available, and properly label these images and results.
	5. Describe any other ways of making or using your invention.
	6. Please let CTeD know if this invention is related or an improvement to a prior invention previously disclosed to CTeD and provide details.
2. **IMPACT OF INVENTION:**
	1. What current problem(s) or unmet need does the invention solve? How?
	2. Provide a bullet point list of the key novel aspects of this invention.
	3. What advantages does it have over existing methods, devices, or materials? (Please distinguish your work from prior publications/patents).
3. **DEVELOPMENT PLAN:**

This section is intended to help CTeD to define the current stage of development of the invention, and the type of progress to be expected in that time frame. It also allows CTeD to work with patent agents to draft a patent application that will be broad enough to cover all versions and applications of your invention. You are therefore requested to fill up this section highlighting the following pointers.

* 1. State what work / experiments have been planned for the next 12 months.
	2. State all the funding support you have received to support the work for the next 12 months.
	3. State what work needs to be done to bring the invention closer to the market.
	4. State what funding (translational funding) you plan to apply or have applied to complete the development work.
1. **COMMERCIALISATION PLAN (COMMERCIAL PRODUCT & RELEVANT INDUSTRY CONTACTS):**
	1. To assist you in your preferred mode of commercialisation of your invention (i.e., to help you spin out a company (NewCo) or license your invention to an existing company), CTeD needs to understand the commercial product(s) that is envisioned from the invention and the opportunities that your invention addresses.
	2. Please identify any potential licensees / collaborators / companies who may be interested in using or developing your invention.
	3. Please provide us your relevant Industry / Venture Capital (VC) contacts that CTeD can contact to find out their interest in investing in or licensing/collaborating with you.
2. **DATE OF CONCEPTION:**

The date and evidence of conception is very important information, as it might establish that you and your team of inventors conceived the invention before everyone else.

1. **PUBLIC DISCLOSURE / PUBLICATION OF INVENTION:**

It is essential that all public disclosures of the invention be made after filing a patent application. These disclosures may damage the novelty and inventiveness of the invention and make it impossible to obtain a patent, because they will be prior art documents, citable against the patent application.

**Public disclosures include (but not limited to):**

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* Oral or written disclosures to third / external parties in the absence of a signed Non-Disclosure Agreement (NDA)
* Advertisement, demonstration, sale or use in public of the invention
* Announcement of experimental trials that include enabling disclosure of the invention

**In this section, you are required to inform us about:**

1. Information relating to your invention you have disclosed to non-Duke-NUS parties and the format of such disclosure(s).
2. Details of any future disclosures you are planning such as manuscript submitted and/or accepted for publication, the date of publication of your accepted manuscript, conference papers / abstracts and their date of publication in conference websites or books, date of an oral or poster presentation, etc.

The timing of preparing a patent application and a manuscript for publication can be managed. For further clarification on this, please reach out to us at cted@duke-nus.edu.sg