

INVENTION DISCLOSURE to the University Medical Center Göttingen - Georg-August-Universität Göttingen Stiftung Öffentlichen Rechts, Universitätsmedizin (hereinafter „UMG“)

To be filled out by the recipient:

**Universitätsmedizin Göttingen  
Technology Transfer Officer UMG**

**Robert Koch- Str. 40  
37075 Göttingen**

Received on:	<input type="text"/>
Notification of incompleteness on:	<input type="text"/>
Confirmation on receipt sent on :	<input type="text"/>
<b>Expiry of the 4-month period on:</b>	<input type="text"/>
Decision on release/claimed on:	<input type="text"/>

Title of the invention

1. The following documents are enclosed with the invention disclosure:

<input type="checkbox"/>	<input type="text"/> pages description of the invention incl. <input type="text"/> sketches/drawing
<input type="checkbox"/>	Declaration by the chair holder or supervisor (page 6)
<input type="checkbox"/>	own work/publications in the field of the invention
<input type="checkbox"/>	References to the state of the art (brochures, publications, etc.)
<input type="checkbox"/>	<input type="text"/> additional pages naming inventors (only if more than 3 inventors are named)

2. The following inventors are involved in the invention:

Please use only **one column** for each inventor. Please also indicate external co-inventors or independent inventors here (details if known). If there are more than 3 inventors please use the additional form. This form must be completed and signed by all the other inventors.

An inventor is a person who makes an independent contribution to the invention ("flash of inspiration").

**Changes of address** must be communicated by the inventors, even after leaving the current employer.

	I hereby disclose the invention mentioned in point 1 (signature on page 5)					
	<input type="checkbox"/> Yes		<input type="checkbox"/> Yes		<input type="checkbox"/> Yes	
1 Surname	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2 Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3 Title/acad. degree	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4 Nationality	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5 Private Address	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
6 Telephone	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Information on the occupation at the time of the invention</b>						
7 Occupation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
8 Institute/chair Address	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
9 Telephone	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10 E-Mail address	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11 Position (Professor, student, research assistant, etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
12 Type of employment (working contract, service contract, etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Creation of the invention</b>						
13 Share in the invention	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
14 The invention is in my field of work	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
15 I was set the task that led to the invention (e.g. third-party funding)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

project)						
The invention was created as part of						
16a a research project in my undergraduate studies	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
16b my doctoral thesis	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
16c in the field of my work experience	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

### 3. Questions about the invention

3.1 How did the invention come about? Your own experience? e.g: Advice from colleagues, personal experience, problem on the periphery of the current research project? (Please answer only if the answer to point 2, lines 16 a-c is negative)

3.2 What research at UMG, the institute or the clinic is the invention based on?

3.3 Date of the invention: When exactly did the invention occur (month/year)? Please state time when the invention was completed:

3.4 If the invention was created as part of a research/third-party funded project (see point 2, line 15) please provide details on it below. Please be sure to enclose a copy of the project/research application, approval notice and any special regulations regarding patenting/utilization.

3.5 Were other scientific or technical staff involved in the development/execution of the invention in addition to the inventors named? If yes, which ones? (e.g. workshop, graduate students, but no independent share in the invention) Why do you think these people are not inventors?

**3.6 Pre-publication of parts of the invention: Has the invention already been made available to the public in any way (written or oral, seminar presentations, guided tours, trade fairs, exhibitions, posters, online abstracts, etc.)?**

Note: The core of the invention, i.e. the inventive content, must never have been published or disclosed anywhere before a patent application is filed with the patent office (not even by you). Hold back planned publications, the distribution of theses or dissertations as well as specialist lectures! **Please be sure to enclose relevant documents.**

**3.7 Utilization of the invention: Where do you see potential applications for your invention**

Possible sectors? Companies? Are there any industry contacts? If so, how much was disclosed?

**3.8 Are there already interested parties for your invention? Which ones?**

Contacted companies, cooperation partners?

**3.9 Have any verbal or written commitments been made to third parties, e.g. material transfer agreements/compound use agreements for substances used? Do confidentiality agreements exist? Please enclose copies.**

**3.10 What disadvantages or risks (scientific, in practical application, economic) do you see in your invention?**

**3.11 Have you already been involved in inventions related to this invention? If yes, please list the relevant inventions and the patents applied for (incl. title, date, patent number):**

**4. Description of the invention**

I/we enclose with this form a description of the invention in which the invention is fully disclosed (see point 1).

**NOTE:** The complete and comprehensive description is important, as no further extension is possible once a patent application has been submitted to the Patent Office. Even a release of the invention by UMG only covers what has been reported as an invention. The UMG will treat the submitted documents confidentially.

Please make sure to include the following points and documents:

- approx. 4 DIN A4 pages, more if required, possibly also manuscript of planned publication
- Drawings, plans, sketches, eventually important laboratory records
- Copies of important references to the state of the art
- Own publications in the field of the invention
- A copy of the research proposal

Scientific background:

- What is the field of research?
- What state of the art do you know? Please name relevant publications.
- Which technical problems or disadvantages is your invention intended to solve?
- Which solutions have been attempted so far?
- What is the ultimate purpose of your invention?

Technical solution:

- How does your invention solve this problem?
- What does the practical application look like?
- What are the **main new features**?
- What are the advantages of the invention compared to the state of the art?
- Materials and methods
- Experiments and data documenting the solution of the task
- Current and theoretically conceivable application examples
- Sketches, pictures (black and white only please) with legends, preferably in portrait format
- Time frame for further planned tests and results

**DECLARATION:**

- ✓To my knowledge, no one other than the persons mentioned under point 2 is involved in the invention as an inventor.
- ✓I declare that all persons listed under point 2 have made a creative contribution to the development of the invention. Inventive contributions include, in particular, participation in the original technical **idea** or its implementation. Contributions that did not (at all) influence the overall success and are therefore insignificant for the solution or that were only made according to the instructions of an inventor or a third party are not inventive contributions in the above sense. To my knowledge, no persons are named as inventors who have not made an inventive contribution in the above sense.
- ✓There is no prior publication of any kind other than the content mentioned and enclosed under point 3.6.
- ✓I have described the invention fully and comprehensively.
- ✓I am aware that all publications of the invention and all communications to third parties who are not obliged to maintain secrecy will prevent the granting of an industrial property right and may result in liability issues.
- ✓I may not dispose of the invention until it has been approved by the UMG.
- ✓I undertake to cooperate constructively in the patenting and exploitation process and will provide all necessary signatures.

5. Data protection consent

I consent to the personal data provided in this invention disclosure, in particular my name, address, telephone number, job title and e-mail address, being stored, processed and - if necessary - passed on to third parties, such as patent attorneys and patent authorities, by UMG and MBM

ScienceBridge GmbH, Hans-Adolf-Krebs-Weg 1, 37077 Göttingen (hereinafter referred to as "MBM") for the purpose of examining and evaluating the invention disclosure and - if the invention is claimed - for the purpose of applying for industrial property rights.

I agree that for the purpose of commercial exploitation of the invention, the applied for or granted property rights and for further correspondence with UMG and/or MBM, personal data of the inventors will be stored and in particular name and e-mail address will be passed on to potential contractual partners of UMG.

The duration for which the personal data is stored depends on the duration of the property rights and the statutory retention periods for business correspondence.

#### 6. Signatures of the inventors

**Declaration by the clinic or institute director or supervisor**

On the invention disclosure from  (date) on the topic

To assess the legal and contractual framework, please answer the following questions:

1. Was the invention developed within the framework of third-party funded projects? (e.g. SFB, DFG, BMBF, BITÖK, EU, industrial cooperation)

No

Yes

Please provide details, names of projects and contracts

2. Are special funds spent on the invention possibly to be reclaimed from return flows? In what amount? Are there special material or financial resources that have been spent on the invention (e.g. prototype construction in the workshop, special purchases)?

3. Should a patent application be filed for the invention?

Yes

Scientifically, the invention is

A breakthrough    Significantly new    Only new to a limited extent

No, because

the invention is not scientifically new    the invention is economically irrelevant

The information in the invention disclosure has been checked and appears to be correct.

(Place)

(Date)

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(Signature)

**Rights in relation to data protection: information, rectification, erasure and blocking, right to object**

In accordance with the statutory provisions, you are entitled at any time to request information from UMG and MBM about the personal data stored about you.

In accordance with the statutory provisions, you may at any time request UMG and MBM to correct, delete or block individual personal data if they are no longer necessary for the purposes for which they were collected or otherwise processed.

You can also exercise your right to object at any time without giving reasons and amend or completely revoke your declaration of consent with effect for the future. You can send the revocation either by post, e-mail or fax to the Georg-August-Universität Göttingen Stiftung Öffentlichen Rechts, Universitätsmedizin (Technology Transfer Office UMG, Robert Koch Str. 40, 37075 Göttingen, e-mail: techtransfer@med.uni-goettingen.de) or to MBM ScienceBridge GmbH (Hans-Adolf-Krebs-Weg 1, 37077 Göttingen, fax: 0551/ 30 724 -155, e-mail: info@sciencebridge.de).

**IMPORTANT: General explanatory comments on the invention disclosure**

**You invented something?**

Consider protecting your invention and its possible applications in good time. The longer you wait, the greater the risk that others will beat you to it. Do not publicise your invention. The UMG and the MBM will answer any questions you may have in this regard.

**The general purpose of reporting an invention is to clarify, before a possible application for industrial property rights, which party is entitled to the right of exploitation of the invention. This is regulated by the German Employee Inventions Act (ArbnErfG<sup>1</sup>).**

If the invention results

- from an **occupation (assignment, task)** at UMG or
- is largely based on the **experience or work** of the employee or **thematically** related to the employees field of work,

it is a **service invention** (§ 4) that can be claimed by the employer (§ 6). It is irrelevant where or when the invention was made (e.g. at the weekend or as a sideline). If UMG claims the invention, it must apply for a patent for the invention without delay (§ 13). The inventor is then entitled to appropriate remuneration (§ 9).

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<sup>1</sup> Unless otherwise stated, paragraphs refer to the Employee Inventions Act.

Every invention that arises during the term of an employment relationship **must** be reported to the employer **immediately, in text form and in full** (Section 5 and Section 18). Receipt of the invention disclosure must be confirmed to the employee immediately in text form (Section 5 para. 1 sentence 3).

The employer (as a non-specialist) should be able to use the notification documents to **assess** whether the invention is actually a service invention and, if so, whether he wishes to claim it. The employer must make this decision **no later than 4 months after receipt of the invention disclosure** (§ 6). If he does not make a statement, the invention is automatically deemed to have been claimed (§ 6 para. 2).

In the event of a claim by the employer, the employer ensures the registration of a property right at his expense. The practical implementation and subsequent commercial exploitation of the invention takes place via a body commissioned by the employer (e.. the Technology Transfer Office UMG and/or MBM ScienceBridge GmbH).

Pursuant to Section 42 (4), the inventors privately receive 30% (in total) of the gross proceeds from the exploitation of the invention. From the remaining proceeds, a further significant share generally goes to the departments involved.

The scope of the documents describing the invention must be such that UMG, as the employer, can decide whether it wishes to claim the service invention and apply for a patent. If the notification does not describe and explain the invention or its origin in sufficient detail, the employer may **object** to the notification **within a period of two months** (§ 5 para. 3). If he does not object to the invention within this period, it shall be deemed to be in order.

In the event of objections, the above-mentioned claim period shall be extended accordingly.

### Explanations on the "Invention disclosure" form

#### Purpose and function of the form

The Employee Inventions Act stipulates that invention disclosures must be made in text form. However, many inventors are unaware of the requirements for a proper invention disclosure. This is where the form "Invention disclosure", which is designed to specifically request the necessary information from the inventor. Delayed queries and complaints by the UMG administration can thus be minimized from the outset.

For the UMG administration, there is also the advantage of a uniform, clear and comprehensive presentation of invention cases. An additional (optional) form (page 6) is intended to obtain a statement from the supervisor (usually the professor) if the supervisor does not report an invention him/herself and alone. The inventor should submit this form to his/her superior together with the notification documents before the invention disclosure is submitted to the UMG. In this way, misunderstandings between the parties involved can be avoided.

#### Entries of the UMG administration

The table on page 1 above is intended to clearly show important dates in connection with the invention disclosure. The date on which a written confirmation of receipt is sent or, if applicable, a complaint if the notification documents are incomplete is also entered here. The expiry date of the claiming period is particularly important.

## Attachments

The invention disclosure form should essentially only contain information about the persons involved, how the invention came about and the legal and financial framework. The actual technical description and explanation of the invention is attached as an appendix, together with any associated drawings. The scope of the attachment is noted under point 1

## Community of inventors (Point 2, questions 1-16 c)

If **several employees** are involved in the invention, it is sufficient to submit a joint invention disclosure. The drafted form explicitly takes this into account, whereby line 13 on page 2 immediately asks for the shares in the invention in order to encourage an early agreement on the percentage shares in the creation of the invention.

Inventors who report their invention or their share of the invention with the submitted documents must indicate this in the table on page 2 by marking a cross. They must also sign the invention disclosure on the last page (page 5). This does not apply to external co-inventors, who must only be named by the notifying parties in the table on page 2 for the sake of completeness.

On page 5, the notifying parties confirm that no one other than the persons named is involved in the invention as an inventor. This information is required for the designation of inventors to be submitted after the patent application (Section 37 Patent Act). It is also necessary for the subsequent joint exploitation of the patent to know any independent inventors or employees of other institutions involved.

**Inventors** are those persons who make a significant, inventive, independent contribution to the invention ("flash of inspiration")!

## Information on the employment relationship (point 2, questions 7-12)

In particular, the employment relationship at the time of the invention is queried here. Since inventions are often made at the end of diploma or doctoral theses, line 12 should indicate where the inventors can be contacted after completion of this work.

## Origin of the invention (point 2, questions 13-16c)

The question of research projects is intended to clarify the UMG's obligations to third-party funding providers. It is of great importance and is therefore raised in point 2, line 15 and point 3.4. In addition, this question is also in the form "Declaration of the chair holder or supervisor", as experience has shown that often only the supervisor or head of research can provide precise on this.

If the invention is located in the field of work of another institute or department of the UMG, it must be checked whether the invention could be used there, for example.

## Pre-publication of parts of the invention

In order to assess the patentability of an invention, it is important to know whether parts of the invention have already been made available to the public in writing or orally (Section 3 Patent Act). There are still information deficits here, particularly in the scientific field. Below, the inventors are obliged to maintain confidentiality until the invention is released by the UMG or until the patent application is filed.

## Exploitability of the invention

Since patent applications are associated with financial expenditure, the question of the technical feasibility and market opportunities of an invention must be asked at an early stage. Inventors can and should be on the lookout for potential users of their invention at every stage of the technical development and the process under employee invention and patent law, provided that the content or nature of the invention is not disclosed in the process.

### Point 4: Description of the invention

A comprehensive and complete description of the invention must be included. The content should be divided into the technical problem, its technical solution and the origin of the invention, which are also part of every patent application. The inventor is required to provide comprehensive information on the state of the art and to include known literature references (note in point 1). This makes it easier to carry out (patent) searches. It is advantageous to carry out your own searches, the results of which can be enclosed or cited.

In the description, the inventor should focus **what is essentially new about their invention**. They should state why their invention solves a technical problem or what advantages their invention has over previous developments. Lengthy, unsuccessful preliminary tests and an explanation of the scientific basis can be stated as a secondary component of the invention disclosure. Both are not the core of a patent application, but can contribute to explaining the invention.

**Please note: As the inventor, you are the "above-average expert" - so write your invention for a "merely average expert"! For example, do without detailed mathematical derivations, do not write "WHY" something works, but "what you have to do to MAKE it work".**

### Explanatory notes to the form "Declaration by the Director of the Clinic or Institute or Superiors"

Together with the invention disclosure documents, this form should be submitted by service inventors to their immediate superior or authorized representative. They are not obliged to do so, which is why this appendix in Point 1 is optional. However, experience to date has shown that it is advisable to obtain the consent of the line manager.

Point 1: Doctoral and diploma students are usually not informed about third-party funded projects and their funding.

Point 2: *Special* material or financial resources used for the invention (e.g. for prototype construction in the workshops) could be the basis for financial claims against the inventor.

Point 3: The supervisor's personal opinion of the invention is an aid in evaluating the invention

Point 4: The supervisor confirms the information in the invention disclosure and agrees that the documents are correct.

Annex

**Further inventors**

Please use only **one column** for each inventor. Please also indicate external co-inventors or independent inventors here (details if known). This form must be completed and signed by all the other inventors.

An inventor is a person who makes an independent contribution to the invention ("flash of inspiration"!).

**Changes of address** must be communicated by the inventors, even after leaving the current employer.

	I hereby disclose the invention described in the invention disclosure form		
	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
1 Surname			
2 Name			
3 Title/acad. degree			
4 Nationality			
5 <b>Private</b> Address			
6 Telephone			
Information on the occupation at the time of the invention			
7 Occupation			
8 Institute/chair Address			
9 Telephone			
10 E-Mail address			
11 Position (Professor, student, research assistant, etc.)			
12 Type of employment (working contract, service contract, etc.)			

**Annex**

Creation of the invention						
13 Share in the invention	<input type="text"/> %		<input type="text"/> %		<input type="text"/> %	
14 The invention is in my field of work	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
15 I was set the task that led to the invention (e.g. third-party funding project)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
The invention was created as part of						
16a a research project during my undergraduate studies	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
16b my doctoral thesis	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
16c in the field of my work experience	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Signatures**

Name

Name

Name