

UNIVERSITY OF CENTRAL ARKANSAS

Intellectual Property Disclosure Form

Do you need to file this form?

Work through these three questions in order.

1. Is it a traditional product of scholarly activity?

Journal articles, textbooks, reviews, works of art including paintings, sculpture, films and musical compositions, and course materials such as syllabi, workbooks, and laboratory manuals.

If yes, stop. No form is needed. **Policy 410 states that the university has not and will not claim ownership of these works, and specifically disclaims any rights to them under the “work for hire” provisions of the U.S. Copyright Act.**

2. Did you use university funds, facilities, or other resources to create it?

Policy 410 covers intellectual property conceived, first reduced to practice, written, or otherwise produced using university funds, facilities, or other resources. Work you produced outside the scope of your employment and without university facilities or resources is not covered.

If no, the policy does not reach the work. If you are not sure, file the form and let the review answer the question.

3. Are you a student?

Student created intellectual property is exempt from Policy 410. The reasoning in the policy is that students are paying for their education and should own what they create as part of it.

There are only two exceptions. The policy applies to student work when it was co-developed with a faculty or staff member, or when it resulted from federally funded research. If neither is true, you do not need to file.

What counts as intellectual property under the policy

Policy 410 groups covered property into three categories. A single project can fall into more than one.

- **Inventions and discoveries** that are appropriate subjects of a patent application, or that could be protected as proprietary trade secrets.
- **Copyrightable and trademarkable material** including sound recordings, videotapes, films, computer programs, and computer assisted instruction materials, outside the traditional scholarly works exception above.
- **Tangible research property** including cell lines, plasmids, hybridomas, monoclonal antibodies, plant varieties, computer software, databases, integrated circuit chips, prototype devices and equipment, circuit diagrams, analytical procedures, and laboratory methods. These count whether or not they are patentable.

When to file

File before the work becomes public. Public disclosure before a patent application is filed can permanently forfeit patent rights. In the United States there is a one year grace period after the inventor's own disclosure. Most other countries have no grace period at all, so a public disclosure can end foreign rights immediately.

Any of the following can count as a public disclosure:

- Publishing an article, or submitting a preprint to a public repository
- Presenting at a conference, workshop, or symposium, including a poster
- Pushing code to a public repository
- Giving a public demonstration
- Posting a thesis or dissertation to an open repository
- Offering the work, or a product based on it, for sale

Filing this form will not delay your publication. Policy 410 is explicit that seeking protection should never result in a publication delay. Tell us your publication date and we will work around it. What we cannot do is recover rights that were lost before we knew the work existed.

If the work is already public, file anyway. The U.S. grace period may still be open, and knowing the exact date of first disclosure is far more useful to us than not knowing it.

File early even if the work is unfinished. A thin, early disclosure is better than a complete, late one. Policy 410 anticipates this: if the work is too early to evaluate, the University Research Council places it in pending status, tells you what additional information would help, and sets a date to check back. Sections 6 and 7 of this form may be left incomplete at first submission.

What happens after you file

The University Research Council (URC) reviews your disclosure and determines whether the university has a legal interest in the work. There are four possible outcomes.

URC determination	What it means for you
No material use of university funds, facilities, or resources	The work is released to you. The university makes no further claim.
University has an interest, but commercialization is unlikely or the cost outweighs the potential income	The work is released to you.
University has an interest and there is a reasonable chance of successful commercialization	You are informed in writing, your income rights are recorded, and the matter goes to the Office of Grants and Sponsored Research (OGSR). You then execute an assignment of ownership rights to OGSR.
The work is too early to evaluate	It is placed in pending status. You receive the reasons, suggestions for additional data, and a date to report back.

Protections built into the policy

- **The six month rule.** Except for work placed in pending status, if the URC takes no action within six months of receiving your initial report, the rights are deemed released to you.
- **The university pays.** OGSR bears all costs of protecting and commercializing the property. Those costs are offset against future income before your share is calculated.
- **You share in the income.** Net income is shared 40% to the originator, 20% to the originator’s department, 20% to the dean’s office of the originator’s college, and 20% to OGSR. Your share stays with you, or passes to your heirs and assigns, for as long as the property generates income.
- **You stay involved.** OGSR determines how to protect the property in close consultation and collaboration with you, and the policy directs that your participation in commercialization be vigorously sought.
- **Annual accounting.** You are entitled to an annual detailed accounting of income and costs.
- **The two year rule.** If no commercialization has occurred two years after assignment, you may ask the URC to return all rights to you. The URC will require OGSR to account for its efforts. You may repeat the request at two year intervals.

Need help?

You do not have to fill this out alone, and we would rather help early than untangle something later.

Office	Office of Research Integrity and Compliance
Email	researchcompliance@uca.edu
Phone	501-852-7460
Location	Torreyson West, Suite 328
Commercialization	Kimberly Ashley-Pauley, Director, Office of Grants and Sponsored Research
Full policy	uca.edu/researchcompliance/intellectual-property-and-technology-transfer/

If anyone outside UCA already knows about this work, or if anyone has tried to sell or license it, contact us immediately rather than waiting to finish this form. The timeline for filing a patent application may be very short.

Disclosure Form

Throughout this form, “the work” means whatever you are disclosing: an invention, a discovery, software, a dataset, a material, or anything else described on page 1. “Originator” is the term Policy 410 uses for the person who created it.

Answer what you can. Not every question applies to every disclosure. Sections 6 and 7 may be left for later if the work is at an early stage.

Section 1. The work

Date of this disclosure

Title of the work

In one or two sentences, what is it? Write for a reader outside your discipline.

What field or industry would use it? Examples: a lubricant for down-hole drilling; a mobile application that teaches math to kindergartners; compounds and processes for treating cancer.

Section 2. Originators

List everyone who made an inventive or intellectual contribution to the work. Use additional pages if there are more than three.

Under patent law, naming someone who did not make an inventive contribution, or leaving out someone who did, can invalidate a patent even after it is granted. Take this list seriously, and ask us if you are unsure whether a contribution counts.

How income is divided among multiple originators

Policy 410 provides that where more than one person is an originator, the originators determine among themselves the individual share each will receive. If they cannot reach agreement, the URC decides after giving each person an opportunity to present their position, and that determination is final.

You are not being asked to fix percentages on this form. Describe each person’s contribution below. We strongly encourage you to reach a written agreement on shares early, while the work is fresh and everyone is on good terms.

Originator 1 (primary contact)**Full name****Role**☐ Faculty ☐ Staff ☐ Student☐ Other:**College****Department****Department chair****UCA email****Phone****Citizenship****Describe this person's contribution to conceiving or developing the work:****Originator 2****Full name****Role**☐ Faculty ☐ Staff ☐ Student☐ Other:**College****Department****Department chair****UCA email****Phone****Citizenship****Describe this person's contribution to conceiving or developing the work:****Originator 3****Full name****Role**☐ Faculty ☐ Staff ☐ Student☐ Other:**College****Department****Department chair****UCA email****Phone****Citizenship****Describe this person's contribution to conceiving or developing the work:**

Is any originator a student? If so, was the work co-developed with a faculty or staff member, or did it result from federally funded research? (See question 3 on page 1.)

Mailing address for each originator, if a patent application is filed. Required by the U.S. Patent and Trademark Office; a P.O. Box cannot be used. You may leave this blank now and provide it later. This information is kept confidential.

Section 3. Public disclosure and timing

This section is the most time-sensitive part of the form. Please complete it even if you leave other sections blank.

3.1 Does anyone outside UCA know about the work?

☐ Yes ☐ No

If yes, who, and are they collaborators in creating the work?

3.2 Was a confidentiality or non-disclosure agreement signed?

☐ Yes (please attach) ☐ No

3.3 Was any other agreement signed that includes confidentiality obligations, such as a material transfer agreement, consulting agreement, or research agreement?

☐ Yes (please attach) ☐ No

3.4 If no agreement was in place, on what date was the work first disclosed to anyone outside UCA, by any means, including publication, submission, poster, presentation, code release, or conversation?

3.5 If the work is not yet public, is disclosure planned?

☐ Yes ☐ No ☐ Not sure

If yes, what is the earliest planned date, and what form will it take? Tell us about submission deadlines, conference dates, and planned repository or code releases.

3.6 Has the work, or any product or service based on it, been advertised or offered for sale?

☐ Yes ☐ No

If yes, on what date? An approximate date is acceptable.

Section 4. Funding and support

Please complete this section in full. Funding source can determine who owns the work, and federal funding carries reporting obligations the university must meet.

4.1 List all sources and amounts of funding, internal and external, that supported this work in whole or in part. For grants and contracts, include the principal investigator, funding agency, award title, and grant or UCA identifying number.

4.2 Was any of this funding federal?

☐ Yes ☐ No ☐ Not sure

4.3 Were materials, data, or equipment used that came from another company, university, or institution?

☐ Yes ☐ No

If yes, identify the source and provide contact information. Attach any material transfer agreement.

4.4 Might any other company or institution claim rights in this work, for example through a sponsored research agreement, a subaward, a consulting arrangement, or a collaboration?

☐ Yes ☐ No ☐ Not sure

If yes, please explain.

4.5 Have you identified funding for continued development of this work? If so, list it.

Section 5. Development status

5.1 Where does the work stand?

☐ Concept only ☐ Tested, data generated ☐ Working prototype

5.2 If a prototype exists or the work has been reduced to practice, on what date? Attach documentation supporting that date if you have it, such as dated laboratory notebook pages, a repository commit history, or test records.

5.3 If no prototype or data exists yet, what would it take to establish a minimally functional proof of concept? Itemize the next steps and approximate costs.

5.4 Beyond proof of concept, what are the next steps to develop the work further? List them in order with approximate cost and timeline.

5.5 What are the main risks or obstacles to successful development?

Section 6. Prior art and related work

This section may be completed later if the work is at an early stage.

6.1 Who are the leading individuals, laboratories, universities, agencies, or companies in this field? A Google Scholar search may help supplement what you already know.

6.2 Are you aware of anyone else working on the same problem? If so, describe it and attach references. If no one is, explain why you think the problem is not attracting attention.

6.3 List the most relevant U.S. patents and published applications in this field, and who owns them. Google Patents (patents.google.com) is a reasonable starting point.

6.4 List any relevant foreign patent applications. The WIPO PATENTSCOPE database (patentscope.wipo.int) covers international filings.

6.5 For each originator, list prior publications, posters, presentations, patents, and patent applications in this field.

Section 7. Potential use and market

This section may be completed later if the work is at an early stage. Rough estimates are useful; precise figures are not expected.

7.1 What problem, shortcoming, or unmet need does the work address? A short list is fine.

7.2 What advantages does it offer over what is available now? Be as specific as you can about time, cost, quality, or effectiveness.

7.3 What existing products or methods would it compete with or replace? Name products, manufacturers, patents, articles, or websites where you can.

7.4 Roughly how large is the annual market, in the United States and worldwide? For a process or method, how often is it performed or how many units does it produce?

7.5 By comparison with similar products or processes, what might this sell for?

7.6 Do you know of anyone who might be interested in licensing the work or collaborating on its development? Include employer and contact information, and say why you think they would be interested.

Section 8. Technical summary

Attach a technical description of the work, generally two to four pages. Include whatever a knowledgeable reader would need in order to understand and reproduce what you have done:

- For a process, method, or procedure, a flow chart of the steps, explained in the text
- Diagrams, data, charts, and tables, each with an explanation
- For work in biology, chemistry, or medicine, descriptions of the experiments that produced representative data
- For software, a flow chart of the logic, together with pseudocode or source code

List the documents you are attaching:

Section 9. Signatures

What you are signing

Your signature confirms that the information on this form is accurate and complete to the best of your knowledge, and that the originators listed are, to the best of your knowledge, the people who made inventive or intellectual contributions to the work.

This signature does not assign any rights to the university. Under Policy 410, assignment happens only after the URC determines that the university has a legal interest and that there is a reasonable chance of successful commercialization, and it is executed through a separate document.

Originator 1 signature	_____	Date	_____
Printed name	_____	Department	_____
Originator 2 signature	_____	Date	_____
Printed name	_____	Department	_____
Originator 3 signature	_____	Date	_____
Printed name	_____	Department	_____

Submitting the form

Return this form and any attachments to the Office of Research Integrity and Compliance at researchcompliance@uca.edu, or Torreyson West, Suite 328. The office will log your submission, confirm receipt in writing, and forward the disclosure to the University Research Council.

Keep the confirmation. The date the URC receives your report starts the six month period described on page 2.

This form implements Board Policy 410, Intellectual Property and Technology Transfer (adopted 11/71; revised 05/97, 08/13, 08/26). Where this form and the policy differ, the policy governs.