



Policy and Procedures for Reporting and Documenting Inventions for Sponsored Research Projects/Awards

1.0 Introduction

- 1.1 **Purpose.** This policy provides guidelines for the reporting and documentation of inventions related to sponsored research projects/awards to ensure compliance with Cold Spring Harbor Laboratory (CSHL) institutional policies, Federal and state regulations, and the terms and conditions of the awarding organization.

This policy supplements the *CSHL Commercial Relations Policy*.

- 1.2 **Scope.** This policy applies to all inventions made with funds provided by sponsored research projects/awards or resulting from work performed under a sponsored research award/project. *Inventions* are defined as all ideas, discoveries, information, improvements, tangible research property, compositions, reagents, works of authorship, software, databases, materials, methods, processes and other technology, whether or not patented (or patentable) or copyrighted (or copyrightable).

- 1.3 **Responsibility.** The Principal Investigator, the Office of Sponsored Programs (OSP) Senior Accountant, the Executive Director of Sponsored Programs and the Vice President for Business Development and Technology Transfer are responsible for compliance with this policy.

The *CSHL Commercial Relations Policy* provides additional responsibilities and procedures for Principal Investigators regarding inventions.

2.0 Policy

- 2.1 CSHL's Office of Technology Transfer (OTT) will report inventions to Federal granting agencies, and private foundations in accordance with Federal regulations and the terms and conditions of the awarding organization.
- 2.2 CSHL's Office of Sponsored Programs will prepare and submit the Final Invention Statement to the awarding organization at the end of a

sponsored research project/award as required, or when a sponsored research project/award is transferred or terminated.

3.0 Procedures

- 3.1 Procedures to connect a grant number to a patent application.
 - 3.1.1 OTT will request that the inventor(s) complete CSHL's Invention Disclosure Form.
 - 3.1.2 OTT will report to OSP such invention(s) with the related grant account number and the sponsor name or the name of any private sponsor, including foundations and companies, which is required in the Invention Disclosure Form.
 - 3.1.3 The OTT Patent Database Administrator will report U. S. Government Funded inventions via the iEdison invention reporting system.
 - 3.1.4 If a patent application is filed, OTT will update its patent database, and report to OSP the related patent application information with the grant account number or the sponsor name.
 - 3.1.5 OTT will respond to OSP's request for invention disclosure information in a timely manner before OSP's reporting deadline.
- 3.2 OSP procedures to report inventions at the end of the term of the sponsored research project/award.
 - 3.2.1 The OSP Senior Accountant sends an email to the Principal Investigator and the Technology Transfer Department inquiring if there were any inventions associated with the ending sponsored research project/award.
 - 3.2.2 After a response is received from both the Principal Investigator and the Technology Transfer Department, the OSP Senior Accountant completes a Final Invention Statement. If required, the signature of the OSP Executive Director is obtained.
 - 3.2.3 After the OSP Executive Director reviews and signs the Final Invention Statement, the OSP Senior Accountant submits the form to the respective agency.
 - 3.2.4 If the agency requires electronic submission, the Final Invention Statement is submitted and verified by the OSP Senior Accountant.

4.0 Exceptions

4.1 Exceptions to this policy can only be made only by the Vice President for Business Development and Technology Transfer, and the OSP Executive Director.

5.0 Attachment

5.1 Attached to this policy is the Invention Disclosure Form.

SCIENTIST CONTRIBUTING TO THIS TECHNOLOGY DISCLOSURE

(Please complete one page for each contributor)

NAME OF INDIVIDUAL: _____

Affiliation: _____

Address: _____

Citizenship: _____

ROLE ON PROJECT. Please be specific about what they did and what role they had in developing or using the technology:

WHEN INVOLVED. Please indicate the period of time during which this individual worked on this project:

SUPPORT. Please indicate all funding sources (other than CSHL) that supported this individual's work on the project, including salary and fellowship support, including dates of the support:

