National Aeronautics and Space Administration

Disclosure of Invention and New Technology (Including Software)

Form Approved O.M.B. NO. 2700-0009	DATE
CONTRACTOR CASE NO.	
NASA CASE NO. (OFFICIAL USE ONLY)	

This is an important legal document. Carefully complete and forward to the Patent Representative (NASA in-house innovation) or New Technology Representative (contractor/grantee innovation) at NASA. Use of this report form by contractor/grantee is optional, however, an alternative format must at a minimum contain the information required herein. NASA in-house disclosures should be read, understood and signed by a technically competent witness in the witness signature block at the end of this form.

In completing each section, use whatever detail deemed appropriate for a "full and complete disclosure." Contractors/Grantees please refer to the New Technology or Patent Rights - Retention by the Contractor clauses. When necessary, attach additional documentation to provide a full, detailed description.

1. DESCRIPTIVE TITLE

2. INNOVATOR(S) *(For each innovator provide: Name, Title, Phone Number, E-Mail Address, Home Address. For non U.S. citizen, include INS Form I-551 No. and expiration date. If multiple innovators, number each to match Box 5.)*

3. INNOVATOR'S EMPLOYER WHEN INNOVATION MADE *(For each innovator provide: Name, Division and Address of Employer, Organizational Code/Mail Code, and Contract/Grant Number, if applicable. If multiple innovators, number each to match Box 5.)*

4. PLACE OF PERFORMANCE *(Address(es) where innovation made)*

5. EMPLOYER STATUS *(choose one for each innovator)*

_____ Innovator #1 _____ Innovator #3

_____ Innovator #2 _____ Innovator #4

GE = Government
CU = College or University
NP = Non-Profit Organization
SB = Small Business Firm
LE = Large Entity

6. ORIGIN *(check all that apply and provide all applicable numbers. If multiple Contracts/Grants, etc., list Contract/Grant Numbers in Box 3 with applicable employer information.)*

- ☐ NASA In-house Org. Code _____
- ☐ Grant/Cooperative Agreement No. _____ UPN _____
- ☐ Prime Contract No. _____ UPN _____
  Task No. _____ Report No. _____
- ☐ Subcontractor; Subcontract Tier _____ UPN _____
- ☐ Joint Effort *(contractor, subcontractor and/or grantee contribution(s), and NASA in-house contribution)*
- ☐ Multiple Effort *(multiple contractor, subcontractor and/or grantee contributions, no NASA in-house contribution)*
- ☐ Other *(e.g., Space Act Agreement, MOA)* No. _____

7. NASA CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE *(COTR)*

8. CONTRACTOR/GRANTEE NEW TECHNOLOGY REPRESENTATIVE *(POC)*

9. BRIEF ABSTRACT *(A general description of the innovation which describes its capabilities, but does not reveal details that would enable duplication or imitation of the innovation.)*

SECTION I - DESCRIPTION OF THE PROBLEM OR OBJECTIVE THAT MOTIVATED THE INNOVATION'S DEVELOPMENT *(Enter as appropriate: A.- General description of problem/objective; B.- Key or unique problem characteristics; C.- Prior art, i.e., prior techniques, methods, materials, or devices performing function of the innovation, or previous means for performing function of software; and D.- Disadvantages or limitations of prior art.)*

SECTION II - TECHNICALLY COMPLETE AND EASILY UNDERSTANDABLE DESCRIPTION OF INNOVATION DEVELOPED TO SOLVE THE PROBLEM OR MEET THE OBJECTIVE *(Enter as appropriate; existing reports, if available, may form a part of the disclosure, and reference thereto can be made to complete this description: A.- Purpose and description of innovation/software; B.- Identification of component parts or steps, and explanation of mode of operation of innovation/software preferably referring to drawings, sketches, photographs, graphs, flow charts, and/or parts or ingredient lists illustrating the components; C.- Functional operation; D.- Alternate embodiments of the innovation/software; E.- Supportive theory; F.- Engineering specifications; G.- Peripheral equipment; and H.- Maintenance, reliability, safety factors.)*

SECTION III - UNIQUE OR NOVEL FEATURES OF THE INNOVATION AND THE RESULTS OR BENEFITS OF ITS APPLICATION *(Enter as appropriate: A.- Novel or unique features; B.- Advantages of innovation/software; C.- Development or new conceptual problems; D.- Test data and source of error; E.- Analysis of capabilities; and F.- For software, any re-use or re-engineering of existing code, use of shareware, or use of code owned by a non-federal entity.)*

SECTION IV - SPECULATION REGARDING POTENTIAL COMMERCIAL APPLICATIONS AND POINTS OF CONTACT *(including names of companies producing or using similar products)*

10. ADDITIONAL DOCUMENTATION *(Include copies or list below any pertinent documentation which aids in the understanding or application of the innovation (e.g., articles, contractor reports, engineering specs, assembly/manufacturing drawings, parts or ingredients list, operating manuals, test data, assembly/manufacturing procedures, etc.).)*

TITLE	PAGE	DATE

11. DEGREE OF TECHNOLOGICAL SIGNIFICANCE *(Which best expresses the degree of technological significance of this innovation?)*

☐ Modification to Existing Technology ☐ Substantial Advancement in the Art ☐ Major Breakthrough

12. STATE OF DEVELOPMENT

☐ Concept Only ☐ Design ☐ Prototype ☐ Modification ☐ Production Model ☐ Used in Current Work

13. PATENT STATUS *(Prior patent on/or related to this innovation)*

☐ Application Filed Application No. _____ Application Date _____

☐ Patent Issued Patent No. _____ Issue Date _____

14. INDICATE THE DATES OR THE APPROXIMATE TIME PERIOD DURING WHICH THIS INNOVATION WAS DEVELOPED *(i.e., conceived, constructed, tested, etc.)*

15. PREVIOUS OR CONTEMPLATED PUBLICATION OR PUBLIC DISCLOSURE INCLUDING DATES *(Provide as applicable: A.- Type of publication or disclosure, e.g., report, conference or seminar, oral presentation; B.- Disclosure by NASA or Contractor/Grantee; and C.- Title, volume no., page no., and date of publication.)*

16. QUESTIONS FOR SOFTWARE ONLY

(a) Using non-NASA employees to beta-test the program? ☐ YES ☐ NO If Yes, done under a beta-test agreement? ☐ YES ☐ NO

(b) Modification of this program continued by civil servant and/or contractual agreement? ☐ YES ☐ NO

(c) Copyright registered? ☐ YES ☐ NO ☐ UNKNOWN If Yes, then by whom? _____

(d) Has the latest version been distributed outside of NASA or contractor? ☐ YES ☐ NO ☐ UNKNOWN
If Yes, date of first disclosure: _____

(e) Were prior versions distributed outside of NASA or contractor? ☐ YES ☐ NO If Yes, supply NASA or contractor contact: _____

(f) Contains or based on code not owned by U.S. Government or its contractors? ☐ YES ☐ NO ☐ UNKNOWN
If Yes, name of code and code's owner: _____
Has a license for use been obtained? ☐ YES ☐ NO ☐ UNKNOWN

17. DEVELOPMENT HISTORY

STAGE OF DEVELOPMENT	DATE *(MM/YYYY)*	LOCATION	IDENTIFY SUPPORTING WITNESS *(NASA In-House Only)*
a. First disclosure to others			
b. First sketch, drawing, logic chart or code			
c. First written description			
d. Completion of first model of full size device *(invention)* or beta version *(software)*			
e. First successful operational test *(invention)* or alpha version *(software)*			

f. Contribution of innovators *(If jointly developed, provide the contribution of each innovator)*

g. Indicate any past, present, or contemplated government use of the innovation

18. SIGNATURES OF INNOVATOR(S), WITNESS(ES), AND NASA APPROVAL

TYPED NAME AND SIGNATURE *(Innovator #1)*	DATE	TYPED NAME AND SIGNATURE *(Innovator #2)*	DATE
TYPED NAME AND SIGNATURE *(Innovator #3)*	DATE	TYPED NAME AND SIGNATURE *(Innovator #4)*	DATE
TYPED NAME AND SIGNATURE *(Witness #1)*	DATE	TYPED NAME AND SIGNATURE *(Witness #2)*	DATE
NASA APPROVED ► TYPED NAME		SIGNATURE	DATE