

**Innovation Disclosure**

*“Innovation” means new Intellectual Property (as defined by the* [UofL Intellectual Property Policy](https://louisville.edu/policies/policies-and-procedures/pageholder/pol-intellectual-property-policy-1)*), including but not limited to ideas, processes, products, apparatus, compositions of matter, software, living organisms, and improvements to (or new uses for) things that already exist.*

**Submission Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Description of Innovation**

Title of Innovation:

Date idea first conceived or created:

Did you begin work on this idea prior to your time at University of Louisville? *If you chose “Yes”, please indicate where (i.e. workplace or pursuant to a degree) and whether it was under your scope of employment.*

Yes. Please describe \_\_\_\_\_

No

Are you attaching any publications/papers/poster presentations/or other things?

Yes. Please list what you are providing:\_\_\_\_\_\_\_\_\_

No

Is this innovation related to a previous submission to our office?

Yes. Please describe \_\_\_\_\_\_

No

Provide a brief description of the innovation (50-100 words that others not in your field can understand):

**Intellectual Property Protection Considerations**

Intellectual Property (IP) generated by University employees generally falls into one of two categories of legal protection: patents and/or copyrights.

For something to be patentable, it must be “new, useful and non-obvious.” Examples of things that fall under patent protection are new materials, drugs, medical devices, and methods for treatment or manufacture. For more information please see <https://www.uspto.gov/>

For something to be copyrightable it must be original and “fixed in a tangible medium” – this includes digital mediums. Examples of innovations that fall under copyright protection are books, art, music, and instruction manuals. For more information, please see <https://www.uspto.gov/ip-policy/copyright-policy/copyright-basics>

If you believe your innovation clearly falls into either the patent or copyright category, please complete that respective subsection below, along with the “Other Considerations” subsection. If you are unsure whether your innovation may be patentable or copyrightable, or think it could be both, please complete both the “Patent Considerations” and “Copyright Considerations” subsections below.

PATENTABILITY CONSIDERATIONS

How is the innovation "new" or "novel"?

*To be novel, an invention must be substantially different from anything else that is public knowledge. Public, worldwide knowledge includes anything that has been previously patented, written about in a publication, or already sold in the open market*.

How is it "useful"?

*To be useful, an invention must work and serve some type of purpose. You would not be able to patent a time machine unless you could get it to work. You also would not be able to patent a new drug if it had no effects*.

Explain how your idea is not "obvious"?

*To be non-obvious, the invention must not be easily perceived by an expert in the field. For example, patenting a toaster that can toast ten slices of bread at a time is obvious because it merely increases capacity.*

Would you consider your idea a research tool? Yes No

*Examples: vectors, antibodies, animal strains, cell lines, things primarily used by other researchers*

COPYRIGHT CONSIDERATIONS (if applicable)

How is your innovation original?

Does your innovation incorporate or utilize works from other sources?

*For example, if you have software code did you use another platform to create it or does it use parts of other codes?*

OTHER CONSIDERATIONS

Past public disclosure: Has the research been the subject of a submitted abstract, published, presented, or discussed with anyone outside of UofL faculty/employees? If yes, please provide an attachment.

Yes. Please summarize what was disclosed and associated dates.

No

Future public disclosure: Is the research the subject of a planned abstract, publication, or other disclosure?

Yes. Please summarize the timeframes you expect submission/acceptance \_\_\_\_\_\_

Check if urgent, a public disclosure is eminent (in the next 30 days). Describe. \_\_\_\_\_\_

No

Summarize the current stage of development. For example, is your innovation a theoretical concept, have you planned experiments but not yet started/completed them, describe the significance of any completed experiments, describe how others have reproduced your results, describe any working prototype here.

Outside materials: Does the research or any component thereof utilize or incorporate the proprietary materials of others? This includes materials that were either received under a Material Transfer Agreement (MTA) or purchased for the research.

Yes. Please describe name of material and the source\_\_\_\_\_

No.

Check if third party Artificial Intelligence (AI) used. If so, please describe\_\_\_\_

COMPLIANCE REPORTING CONSIDERATIONS

Funding: Have you already submitted any reports on this innovation to funding agencies?

Yes. Please describe or provide a copy.

No.

Did a funding agency of the federal government or another entity fund aspects of this innovation, or do you anticipate future funding will be used?

*Information on your grant progress report(s) and those filed by this office on your behalf for required reporting should match. A statement of government support listing relevant federal grant agencies and grant numbers accompanies a patent application and there are ongoing reporting obligations.*

Yes. Please list entities and grant numbers or describe:

No.

COMMERCIAL IMPACT CONSIDERATIONS

What is the problem your idea solves and why is this significant?

What is the competition for this new product or service. Or, how is the problem addressed currently?

Please list any comparable products, processes, or services currently existing or in development.

Please list any potential interested partners or market contacts.

Describe the end product(s) and/or service(s) that would result from your innovation.

What societal impact do you envision for your innovation?

Are you interested in starting a company to license this technology?

**Additional Information (Optional)**

Please insert any additional information you would like to provide.

**Contact Information**

|  |  |
| --- | --- |
| Full Name (s) |  |
| Employee Title(s) |  |
| Affiliations: Department, School and/or Center: |  |
| Email(s) |  |
| Appointments (eg. VA or other institution) |  |

**Acknowledgement by Discloser(s):**

Thank you for your submission and your contributions to our community and society! The lnnovation & Technology Transfer team will assess this disclosure and follow up with you to discuss next steps.

To complete and submit your Innovation Disclosure Form, please check the box below:

I \_\_\_\_ [insert name] \_\_\_\_\_\_\_\_\_\_, acknowledge that I have read and understand the University Intellectual Property Policy, the instructions and procedures relayed on the Innovation Disclosure and verify that the information I provided herein is true to the best of my knowledge.

I \_\_\_\_ [insert name] \_\_\_\_\_\_\_\_\_\_, acknowledge that I have read and understand the University Intellectual Property Policy, the instructions and procedures relayed on the Innovation Disclosure and verify that the information I provided herein is true to the best of my knowledge.

**\*The disclosure must be complete and the above box must be checked for your disclosure to be evaluated.**

**TO BE COMPLETED BY STAFF**

Received by University of Louisville Office of Innovation & Technology Transfer on:

(*First date received opened and acknowledge by ULITT staff*)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Federal Reporting Invention Disclosure deadline:

(*60 regular days from acceptance of a complete ID with federal funding*)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Contribution & Assignment Form**

ID#: : Lead Creator:

Title: Licensing Manager (if assigned):

This Contribution & Assignment Form (“CAF”) is for use by UofL Innovation & Technology Transfer when a “Go” decision has been made on a previously-submitted Innovation Disclosure (“ID”). Please complete this form in its **entirety**. If you would like assistance completing this form or have any other questions, please reach out to your assigned Licensing Manager.

**Prior to signing**, please submit a draft of the completed form to your Licensing Manager, so they can confirm completeness and route to all parties for signature.

The disclosed technology will not move forward to protection and commercialization until this form is complete and signed by all contributors.

**CREATORS**

Per the [UofL IP Policy,](https://louisville.edu/policies/policies-and-procedures/pageholder/pol-intellectual-property) *“Creator”* refers to *“the inventor of inventions (including know-how and other technological things listed in 14.c.), the author of a copyrightable work, or the originator of a creative work. Terms of art used in this section have the same meaning given under federal copyright, trademark and patent laws. Faculty and staff should recognize that students working with them on research projects or other creative activities might also be creators under U.S. law.”*

An “inventor” is a person who contributed to the conception of the innovation. For additional information see [35 U.S.C. 100(f)](https://www.law.cornell.edu/uscode/text/35/100) and [this overview from the U.S. Patent & Trademark Office](https://www.uspto.gov/web/offices/pac/mpep/s2109.html#:~:text=AN%20INVENTOR%20MUST%20CONTRIBUTE%20TO,he%20is%20not%20an%20inventor.%20%E2%80%A6). **“The definition for inventorship can be simply stated: “The threshold question in determining inventorship is who conceived the invention. Unless a person contributes to the conception of the invention, he is not an inventor.”**

An “author” is the creator of an original work. For additional information see [17 U.S.C. § 201(a)](https://www.law.cornell.edu/uscode/text/17/201) and [this overview from the U.S. Patent & Trademark Office.](https://www.uspto.gov/ip-policy/copyright-policy/copyright-basics)

The UofL Office of Innovation & Technology Transfer staff, in conjunction with outside counsel, may assist you in determining which Creator(s) rise to the legal definitions of “Inventor” (for patentable technology) or “Author” (for copyright) described above. For the purposes of this form, please list any and all persons who were part of the Creation of the innovation disclosed.

Please list ALL **UofL Creators** below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| NAME | DEPT/CENTER/SCHOOL | EMAIL ADDRESS | BRIEF DESCRIPTION OF CONTRIBUTION | CONTRIBUTION TO CONCEPTION OF IDEA? Y/N |
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Please list ALL **Non-UofL Creators** below:

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| NAME | AFFILIATION | EMAIL ADDRESS | BRIEF DESCRIPTION OF CONTRIBUTION | CONTRIBUTION OF CONCEPTION OF IDEA? Y/N |
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For each **Non-UofL** entity, please ascribe a percentage that reflects their contribution to the innovation:

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| NAME OF ENTITY | PERCENT CONTRIBUTED TO PROJECT |
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*\*Additional Agreements may be required if Non-UofL Creators rise to the level of inventorship*

[Signature Page Follows]

**THIS SECTION APPLIES TO UofL CREATORS ONLY**

**ULRF ASSIGNMENT & AGREEMENT TO PERCENT CONTRIBUTION/ROYALTY**

**Instructions: Each UofL Creator must sign below attesting to their agreement and understanding of the following language.**

I hereby assign all of my right, title and interest in and to this Intellectual Property, as defined in the University of Louisville Intellectual Property Policy, to the University of Louisville Research Foundation, Inc. (“ULRF”), and agree to execute all documents as requested to protect this Intellectual Property

If Intellectual Property is commercialized, ULRF will share any royalty income derived from the Intellectual Property with the Creator(s) according to the University of Louisville standard policies and according to the Creators’ percent contributions listed with their signatures below.

|  |  |  |  |
| --- | --- | --- | --- |
| UofL INVENTOR NAME | SUGGESTED% CONTRIBUTION | SIGNATURE | DATE |
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**The disclosed technology will not move forward to protection and commercialization until this form is complete and signed by all Creators.**

**Innovation Readiness Level**

*Evaluation Criteria for use by UofL Innovation & Technology Transfer for an Innovation Disclosure*

*Please note that a “red” status on any of the categories below indicates that the innovation is not ready to move forward towards Intellectual Property protection and commercialization. A “yellow” status means there is a problem or deficit but there is a good plan to address/overcome it. A “green” status indicates there are no issues or problems. In order to receive a “Go,” most categories should have a green status. Any red status is grounds to not move forward with the technology.*

**Evaluation Reason (Initial Disclosure or Patenting Investment Decision):**

**Evaluator Name:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Invention Readiness**

Description is complete, thorough, clear, meaningful, innovation reduced to practice vs. merely a concept, a clear product or service can be described. Status **red, yellow or green** & written notes

**Enforceability of IP**

Patentability is clear, effective claims can be written, enforceable subject matter (one could see infringement as opposed to it being hidden during a manufacturing process), note if additional or alternative IP strategy available (TM, ©, biomaterials) Status **red, yellow or green** & written notes

**Team**

Clear development path forward for existing team, people have an appetite for the next stages of development, innovator has relevant experience with technology development or innovation process, mentors in place to give the needed support. Status **red, yellow or green** & written notes

**Market Pull**

Economically meaningful solution, an important problem is addressable with this technology solution, market is defined and accessible, existing solutions are insufficient, market crying out with need, customers willing to try new products

Status **red, yellow or green** & written notes

**Market Size & Accessibility**

Market is large, clear and identified vs. a brand new set of customers to be developed, market will be able to access the product and not need other patents to practice, many available partners who value this solution, product use repeats vs. a once and done, is this a regulated market that adds difficulty/risk in navigating

Status **red, yellow or green** & written notes

**Value Proposition** (Example: GrubHub- Conveniently order food from wherever you are)

Innovators can identify at least one value proposition, value can be easily communicated and quantitated, value can be achieved quickly, is the business model disruptive, revolutionary, or incremental?

Status **red, yellow or green** & written notes

**Partnership Possibility**

Partners are easy to identify, space is “hot” with active interest, investment in the field currently ongoing, partners demonstrate financial support in this space

Status **red, yellow or green** & written notes

***Summary of Go/No Go decision and justification:***