



Intellectual Property Disclosure (IPD) Guidelines

(for use when completing the Intellectual Property Disclosure (IPD) form)

The submission of any new discoveries, inventions, or materials by an AU innovator may be made by utilizing an [Intellectual Property Disclosure \(IPD\) form](#) or via the [AU Innovator Portal](#).

Disclosure submissions are the critical first step in the evaluation and commercialization process. Both paper and electronic disclosures provide important information which help IAC staff in the evaluation of new disclosures for patentability and commercialization potential and in the determination of any deadlines and/or obligations on the disclosed research.

Both the IPD paper form and the AU Innovator Portal electronic disclosure may be utilized to submit disclosures for new inventions, non-patentable materials, copyrighted works, trademarks, software, and plant varieties. When completed, all disclosure submissions should be treated as *confidential and proprietary*.

IPD form submission options:

AU Innovator Portal: IAC Innovator Portal ID login requests may be made via e-mail to iac@auburn.edu or by telephone to (334) 844-4977. AU portal users may submit new disclosures online for review. Once a submission has been accepted, an IAC licensing officer will be in contact shortly.

OR

Traditional “sign-and-send” method: Complete the IAC IP Disclosure form and submit via email to iac_innovations@auburn.edu. Submissions may also be made via campus mail in a sealed envelope marked CONFIDENTIAL to: Office of Innovation Advancement and Commercialization, 570 Devall Drive, Suite 102. Once received an IAC licensing officer will be in contact shortly.

The following [guidelines](#) apply to the corresponding numbered sections of the IAC IP Disclosure form.

Intellectual Property Type: Select *only* one of the types listed. Select “Other” and provide additional information in the field provided if the disclosed intellectual property does not fall into one of the provided types or if you are unsure of the appropriate type.

Intellectual Property Type:

Select one or more of the defined “types” you feel are applicable to the disclosed IP.

Patentable Invention: Any new or useful process, machine, manufacture, composition of matter or any new and useful improvement thereof.

Non-patentable Material: [WHAT DO YOU WANT TO INCLUDE HERE?](#)

Copyright: Original works of authorship including literary, dramatic, musical, and artistic works, such as poetry, novels, movies, songs, computer software, and architecture.

Trademark: Brand names and logos used on goods and services.

Other: [WHAT DO YOU WANT TO INCLUDE HERE?](#)

**I. Intellectual Property Title:**

Create a brief title, no more than five to ten words. It should be descriptive enough to identify the nature of the invention, but not so descriptive that it would enable others to reproduce it.

II. Intellectual Property Summary / Abstract:

This should be about a paragraph long, including a summary-level description of the disclosed IP and focusing on its specific advantages over current technology.

Additional information, related, or supporting documents should be attached upon submission. This is the heart of the disclosure. The more information provided, the better equipped IAC will be to develop a protection strategy and to evaluate commercialization potential.

Items to include: a) general purpose / utility of the disclosed IP; b) background, including existing technologies and any known prior art related to your disclosure; c) detailed (technical) description of how it functions, including any features believed to be new and original (drawings, diagrams, manuscripts, research proposals, etc.); d) the best method for practicing the disclosed IP, including possible variations and modifications; e) commercial uses and applications, including its advantages or improvements over existing technologies or practices; f) current stage of development. Much of this information can often come in the form of a draft journal manuscript or proposal document.

III. First Public Disclosure Date & Detail:

Provide the date of the first public oral presentation and / or written publication, or, if no previous or planned oral or written public disclosures are planned, state "none".

The first public disclosure date is the first time any member of the general public (outside Auburn University), without the restriction of confidentiality, would have been able to legally gain access to a written description (publications, thesis, grant proposal, etc.) or verbal description (presentation, meeting, etc.) of the disclosed IP that is descriptive enough to enable a person skilled in the field to understand and make use of the IP.

IV. Funding / Support Sources:

If no funding or support was utilized in support of the research / work resulting in the disclosed IP, select "None".

If external funding or support was utilized in support of the research / work resulting in the disclosed IP, provide: a) the organization / agency name; b) the AU Fund Organization Account and Program (FOAP) number; c) the grant / contract number, sponsored research agreement (SRA) name / number, or sub-contract number; and d) the principal investigator (PI) name.

If internal funding was utilized, only provide: the type of support provided (departmental funds, gift, etc.) and the AU FOP number.

It is important that this information is accurate and complete since both private and federal sponsors have



certain rights to IP resulting from research carried out under these agreements, contracts, grants, gifts, etc.

A review by IAC is required to determine what, if any, IP rights may have been granted, any restrictions placed on publication or licensing of IP, and what, if any, IP reporting obligations are set out.

Proprietary Materials:

Also in this section, please let us know if you've used any proprietary materials or services that could create obligations to IP derived from such research.

If yes, identify the type of proprietary materials (e.g. cell line, components, polymers, computer software, chemical compound, etc.) obtained and the source(s) of the material utilized. Indicate whether the material was obtained under a restrictive written or oral transfer agreement and provide any supporting documents, agreements, etc., upon submission of the completed IPDF.

V. Intellectual Property Detail:

Commercial entities:

It's estimated that 50% of licenses result from contacts stemming from the innovators. In addition, providing company names that may have an interest helps to identify additional companies that could be approached. Please provide any known contacts along with their contact information.

In filling out this section of the form, consider the following questions:

- a) Who has approached you at conferences/
- b) Who do your industry colleagues work for?
- c) What companies/industries have sponsored your research in the past?

Your input and ideas help to identify potential licensees who might have an interest in the disclosed IP.

Successfully tested in simulation or actual practice:

Let us know how far the IP has been practically implemented, whether it's a theory or has been verified by computer model, bench scale tests, prototype, animal studies, etc.

This information will help IAC in determining marketing potential and in deciding what next steps may be needed to enhance such marketability.

Further development plans:

Indicate whether there are any additional plans to develop the disclosed IP. What are those plans?

Prior art:

This consists primarily of existing patents and publications. We ask that you provide what you have regarding a literature search and a preliminary patent search. Additional efforts are appreciated but not required as IAC can conduct patent searches as needed. However, any leads you provide can make that



process simpler and better. Further, it should be noted that IAC will typically rely on the researchers to provide a thorough understanding of the published scientific literature.

As part of the prior art search, you should also reference any other publications (e.g., journal articles) that are relevant, attaching copies of such articles, if readily available.

Should you choose to conduct your own preliminary patent search, AU's Ralph Brown Draughon (RBD) library has research resources. As well as being an official Patent Depository Library, RBD has microfiche of all but the most recent patents on the first floor, a direct computer tie-in to the U.S. Patent & Trademark Office (USPTO) on the fourth floor, and librarians who are available to assist in searches.

Alternatively, you can search online:

<http://www.uspto.gov/patft/> - This website provides claims, specifications, examples and abstracts of both issued patents and published patent applications.

<http://www.google.com/patents/> - Another website which provides claims, specifications, examples and abstracts of both issued patents and published patent applications.

<http://www.espacenet.com/> - This site provides images, descriptions and claims.

VI. **Inventor(s) / Creator(s) / Author(s):**

List all individuals who have actively participated in developing the disclosed IP, including students, post-docs, scientists, and non-Auburn University personnel.

Include: a) full legal name; b) whether the individual is (or was at the time of invention) an AU faculty member, staff member or student; c) male or female; d) contribution percentage; e) organization name; f) department, college and title or position; g) business telephone number; h) alternative telephone number, if available; i) business email; j) alternative email, if available; k) residential street address, city, state and zip code; l) country of residence; m) country (ies) of citizenship; and n) AU Banner ID, if applicable.

If a contributor is non-AU, provide the individual's employer name (i.e. university / company / agency name) where indicated for organization.

****NOTE:** An Additional Contributor(s) page is available for all disclosures listing more than six contributors.

Should Auburn choose to file a patent application, actual *inventorship* will be legally determined by a patent attorney. It is important to note that a patent can be invalidated for either including someone as a contributor who did not have creative input or omitting someone who did.

Contributor(s) Declaration & Signature(s):

A completed IP Disclosure form should include signature by all named contributors (including any contributors listed on an Additional Contributor page. However, if all contributor signatures cannot be obtained prior to submission, an IP disclosure form may be submitted with contributor declaration pages



Office of Innovation Advancement and Commercialization

to follow separately.

If additional contributors are included on an Additional Contributor page, print a blank Contributor(s) Declaration Signatures(s) page to accommodate those additional contributor signatures.

If you have any additional questions as you complete this form, please contact the Office of Innovation Advancement and Commercialization at (334) 844-4977. We look forward to assisting you in the advancement of your research and innovations.

IAC IPD forms may be submitted via email to iac_innovations@auburn.edu or via Campus mail to: Office of Innovation Advancement and Commercialization, 570 Devall drive, Suite 102.