



Intellectual Property Disclosure (IPD) Form Guidelines

The submission of any new discoveries, inventions, or materials by an AU innovator may be made utilizing an Intellectual Property Disclosure (IPD) form. These submissions are the critical first step in the evaluation and commercialization process. The IPD form provides important information which helps the Office of Innovation Advancement and Commercialization (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.

The IPD form may be used to submit disclosures for new inventions, non-patentable materials, copyrighted works, trademarks, software, and plant varieties. When completed, disclosure submissions should be treated as *confidential and proprietary*.

Intellectual property submission options:

AU Innovator Portal: AU Innovator Portal ID login requests may be made via e-mail to iac@auburn.edu or by telephone to (334) 844-4977. Once new users have received their login information, disclosures may be submitted electronically. Once a disclosure submission has been approved an IAC licensing officer will contact you shortly.

OR

Traditional “sign-and-send” method: Complete the IAC IPD form and submit via email to iac_innovations@auburn.edu or to any IAC licensing officer you may have worked with previously. 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 contact you shortly.

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

Intellectual Property Type: From the provided options, select those that best describe the disclosed intellectual property.

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:

Provide the date of the first public oral presentation and / or written publication.

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.

For patentable innovations, it is strongly preferred to submit your innovation disclosure and have at least a provisional patent application filed BEFORE the first public disclosure. However, if it has already been publicly disclosed, please still submit your disclosure as soon as possible.

A. Public Disclosure Detail:

This section may be utilized to provide public disclosure details, to include publication name, presentation venue, etc. – when, where, how. If no previous or planned oral or written public disclosures are planned, state “none” in this section.

IV. Funding / Support Sources:

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

Otherwise, provide all known internal and external funding / support sources, listing the organization name, AU FOAP (fund, organization, account, and program number), the contract / grant / sub-contract number, and the PI (principal investigator) who was the recipient of the listed support.

Under federal law, the University is required to report those inventions resulting from federally sponsored research to the Government. If the University decides not to pursue an invention, the Government has rights to those inventions. Additionally, non-government sponsors may also have IP clauses and obligations attached to sponsored research with which the University must legally comply.

A. 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 disclosure form.

V. Intellectual Property Detail:

A. 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.

B. 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.

C. Further development plans:

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

D. 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.

E. Novelty:

List features that make this IP unique - those features that differentiate it from similar technologies currently available.

F. Scope & Potential:

Provide the broadest applications of the disclosed IP.

G. Date of Conception:

Provide the earliest recorded written record for the disclosed technology.

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

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

Include: a) the individual's full legal name; b) the individual's contribution %; c) the individual's position or title, their AU department, and their college/school. If non-AU, provide the individual's position or title and their employer's name (i.e. university / company / agency name); d) the individual's preferred phone number and email address.

****NOTE:** An Additional Contributor page should be utilized to provide additional contributor information for those disclosures having more than six contributors. Please indicate that an Additional Contributor page will be included by checking the box located just below Section IV.

Inventorship on a patent is different than authorship for journal publications; for example, following the instructions of someone else to produce data for a given project would typically not qualify someone as an



inventor. If needed, IAC's licensing officers can assist with inventorship determinations. 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.

The Contributor(s) Declaration states, "I hereby declare that all statements made herein to the best of my knowledge are true and that all statements made on information and belief are believed to be true. I hereby agree to cooperate with the Auburn University Office of Innovation Advancement and Commercialization in the protection of this intellectual property, if applicable."

All IPD submissions should include all named contributor(s) signatures (including any contributor(s) listed on an Additional Contributor page). However, if all contributor signatures cannot be obtained prior to submission, an IPD form may be submitted with contributor signatures to follow separately.

If you have any additional questions, 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.