Text

Description automatically generated

Making Innovation Matter

INVENTION IDEA DISCLOSURE FORM

**FOR USE WHEN RELATED INTELLECTUAL PROPERTY CONCERNS PATENTS OR OTHER FORMS OF IP, BUT NOT SETTING UP OF A BUSINESS**

The purpose of this form is to disclose information on a new business idea to the University. This will enable the University to support the initiative of the party concerned and to ensure that all possible intellectual property rights (including expertise) are sufficiently protected on behalf of both the individual and the University. Such disclosure of information by the individual concerned and support by the University will enable the individual and the University to commercially exploit such ideas in partnership and to protect the rights of the entrepreneur(s). It forms a binding agreement between you and the University.

Please note that you are to complete the form but a draft WITHOUT signatures must first be submitted. The TTO shall circulate for signature. Please see instructions on submission details on the last page.

1. **Name of the innovation (e.g. product/technology/service)**

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1. **The innovation concept/idea**

**Detailed** description of the innovation including, graphic representation/photos of any aspect of the innovation, procedures followed and results obtained.

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| Type of innovation (please tick box) | | | |
| Invention | ☐ | Multi-media | ☐ |
| Business idea | ☐ | Written work | ☐ |
| Plant breeders’ rights | ☐ | Procedural | ☐ |
| Intellectual property in research contract | ☐ | Registration | ☐ |
| Software | ☐ | Diagnostic | ☐ |
| Therapeutic | ☐ | New species | ☐ |

Please indicate in which category your technology falls (✓):

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| **AGRI SCIENCES** | | **MEDICINE AND HEALTH** | |
| Agronomy | ☐ | Diagnostics | ☐ |
| Aquaculture | ☐ | Medical Devices | ☐ |
| Integrated Pest Management | ☐ | Services | ☐ |
| Cultivars | ☐ | Therapeutics and Pharmaceutics | ☐ |
| Wine Biotechnology | ☐ | Indigenous Knowledge | ☐ |
| **ENGINEERING** | | **PHYSICAL SCIENCES** | |
| Electrical Engineering | ☐ | Chemistry and Polymer Science | ☐ |
| Marine Engineering | ☐ | Nanotechnology | ☐ |
| Mechanical Engineering | ☐ | Physics | ☐ |
| Process Engineering | ☐ |  |  |
| Industrial Engineering | ☐ |  |  |
| Electronic Engineering | ☐ |  |  |
| **LIFE SCIENCES** | | **CLEAN TECHNOLOGIES AND WATER** | |
| Biochemistry | ☐ | Biofuels | ☐ |
| Biotechnology | ☐ | Solar Energy | ☐ |
| Food Science | ☐ | Wind Energy | ☐ |
| Microbiology | ☐ | Hydro/Ocean Energy | ☐ |
| Physiology | ☐ | Water related technologies | ☐ |
| **SOFTWARE AND MODELS** |  | **SOCIAL SCIENCES AND OTHER (Please specify)** |  |
| Educational | ☐ |  |  |
| Geographical | ☐ |  |  |
| Media | ☐ |  |  |
| Payment systems | ☐ |  |  |
| Games | ☐ |  |  |
| Applications | ☐ |  |  |
| Psychological tools | ☐ |  |  |

Which **problems** are solved by this innovation?

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Which additional **benefits** are offered by the innovation?

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Where and when did the idea originate?

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Are you interested in starting a **new venture/spin-out company** with this innovation? If so, why and do you already have a team?

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Has the idea been disclosed either in writing (whether by email or publication) or verbally anywhere in any form (e.g. poster or any presentation is public disclosure) and, if so, where, when and to whom? Please provide copies of any such disclosure, if available, with this completed form.

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Is there any urgency to disclose? If not yet disclosed, when and how will the invention first be disclosed to the public?

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Do you have a working model of the innovation? (Proof of concept, Prototype, Clinical trial results etc.)

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Can the innovation be demonstrated? Are any test results available? If so, please include when submitting this completed form.

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Please indicate the stage of development of the innovation (✓):

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| **Dev Stage** | **Definition** | **Description** | **✓** |
| \*TRL 1 | Idea/Concept of innovation | Principles hypothesized no experimental proof available. | ☐ |
| TRL 2 | Concept development | Principle of innovation seems feasible based on observations. Research plans and protocols are developed.  Assumptions not supported by any practical proof or detailed analysis. | ☐ |
| TRL 3 | Applied research/ R&D initiated | Analytical and laboratory studies done. Parameters of interest measured and compared with analytical predictions. Initial Proof of Concept and Hypothesis tested. | ☐ |
| TRL 4 | Technical development | Basic aspects of the innovation are integrated/ assimilated to establish that the pieces will work together. Hypothesis refined. | ☐ |
| TRL 5 | Lab-scale model development and validation | Small scale prototype/model of innovation validated under relevant operational conditions mimicked in the laboratory. Hypothesis validated. | ☐ |
| TRL 6 | Pilot model development and validation | Representative prototype/model tested in **intended environment** and close to expected performance. Phase 1 trials | ☐ |
| TRL 7 | System prototype development and  validation | Fully functional prototype/model demonstrated in **actual operational environment** at pre-commercial scale. | ☐ |
| TRL 8 | Product testing and validation | Innovation proven to work in final form, under expected conditions and tested to see if it meets design and user specifications. | ☐ |
| TRL 9 | Finalisation of product manufacturing specifications | Proven innovation and ready for full commercial deployment | ☐ |

\*TRL = Technology Readiness Levels

Has the research been completed? If not, what work still needs to be conducted before the innovation can be commercialised?

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Does the project require additional funding? If so, how much do you estimate? Please provide detail for estimation.

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How would you like the Technology Transfer Office to assist you?

Who will typically be the end users or clients of the innovation? Which companies are you aware of that provide a similar product/service/technology? Do you have any contact person at any of these companies? If so, please provide detail.

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1. **Background to the innovation**

Which similar products/services/technologies (prior art) related to the innovation already exist? How does your innovation differ from these?

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Which publications or patents concerning the innovation are you aware of? A brief summary of how your innovation differ from these. If available, please attach copies of these documents.

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Where was the invention conceived/made/created?

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1. **IP Policy**

IP Creators share in the benefits from successful commercialisation, in accordance with the University IP Policy.

In terms of the requirements of the Protection of Personal Information Act (POPIA), you are hereby notified that the University will retain the personal information in the following tables (for inventors and enablers) in its patent case files and on the electronic IP Management database for as long as a case remains active and until abandoned cases are destroyed.

By submitting this form to Innovus, permission is deemed to have been granted by you for the use of your personal information for these purposes by each individual whose details appear below.

If you leave the University, please keep our office updated as to your contact details so that we can track you for the payment of any royalty income accruing to the IP Creators.

Please confirm that you have read the University IP Policy on <https://www.innovus.co.za/assets/files/03-04-2023/Revised%20IP%20Policy_2023.pdf>

Each contributor/enabler must complete the information below:

|  |  |  |
| --- | --- | --- |
| Full name and ID number (as displayed on ID or Passport) |  | |
| **Contact particulars:** | | |
| Email address |  | |
| Physical home address |  | |
| Do you have secondment to/from another institution? | Yes | No |
| Undertaking | By placing my signature here, I confirm having read the IP Policy and accepting the IP Policy as it may apply to me | |
| Signature |  | |

**Please add more blocks if necessary**

1. **Third parties**

Is this innovation the result of a research contract with a third party? If so, please provide more information (e.g. Scope of research, ownership of results, details of third party), contract reference number and attach a copy of the contract if available.

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Who financed the research?

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1. **Contributor(s) and Enabler(s) (personal and employment details)**

All contributors to or enablers of the innovation must provide us with their complete and latest personal and employment details. In addition, all contributors and enablers must complete and sign the **Contributor Sharing Agreement Form** attached hereto. This is required in order to process this disclosure and the distribution of income that might arise from the innovation. Please keep us informed of any changes in address and contact details, particularly should you no longer be an employee of SU.

**UNDERTAKING:**  By signing this form, you undertake to give your full co-operation in the protection of the innovation by whichever means is appropriate and advised by Innovus; you further undertake to give your full co-operation in the commercialisation of this innovation/idea.

**IMPORTANT:** Please classify yourself as either a Contributor or Enabler of the innovation in accordance with the following definitions.

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| **Definition of Contributor:**  Any and all persons who made a creative contribution to the innovation. Such persons must indicate what percentage of the creative contribution to the whole of the innovation they are believed to have made. A Contributor is also an inventor, in the case of a patent.  **Definition of Enabler:** Persons who made no creative contribution to the innovation, but made some other material contribution to enable the innovation and who, by agreement, must share in the benefits derived from it. An enabler is NOT an inventor in the case of a patent. |

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| 1. **Contributor / Enabler** | | | | | |
| Full name and ID number (as displayed on ID or Passport) |  | | | | |
| Contributor | ☐ | Percentage Contribution | \_\_\_\_\_\_% | Enabler | ☐ |
| **Contact particulars:** | | | | | |
| Telephone number |  | | | | |
| Fax number |  | | | | |
| Email address  Please provide both a University as well as alternative private email address |  | | | | |
| Physical home address |  | | | | |
| Citizen Status (e.g. South African, American) |  | | | | |
| Disclosure date |  | | | | |
| Signature |  | | | | |
| **Employment details:** | | | | | |
| Position at SU |  | | | | |
| Faculty |  | | | | |
| Department |  | | | | |
| SU number |  | | | | |
| 1. **Contributor / Enabler (please indicate (✓)):** | | | | | |
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| Contributor | ☐ | Percentage Contribution | \_\_\_\_\_\_% | Enabler | ☐ |
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| Physical home address |  | | | | |
| Citizen Status (e.g South African, American) |  | | | | |
| Disclosure date |  | | | | |
| Signature |  | | | | |
| **Employment details:** | | | | | |
| Position at SU |  | | | | |
| Faculty |  | | | | |
| Department |  | | | | |
| SU number |  | | | | |
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| Contributor | ☐ | Percentage Contribution | \_\_\_\_\_\_% | Enabler | ☐ |
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| Physical home address |  | | | | |
| Citizen Status (e.g South African, American) |  | | | | |
| Disclosure date |  | | | | |
| Signature |  | | | | |
| **Employment details:** | | | | | |
| Position at SU |  | | | | |
| Faculty |  | | | | |
| Department |  | | | | |
| SU number |  | | | | |
| 1. **Contributor / Enabler (please indicate (✓)):** | | | | | |
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| Contributor | ☐ | Percentage Contribution | \_\_\_\_\_\_% | Enabler | ☐ |
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| Disclosure date |  | | | | |
| Signature |  | | | | |
| **Employment details:** | | | | | |
| Position at SU |  | | | | |
| Faculty |  | | | | |
| Department |  | | | | |
| SU number |  | | | | |
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| Contributor | ☐ | Percentage Contribution | \_\_\_\_\_\_% | Enabler | ☐ |
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| Position at SU |  | | | | |
| Faculty |  | | | | |
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| Signature |  | | | | |
| **Employment details:** | | | | | |
| Position at SU |  | | | | |
| Faculty |  | | | | |
| Department |  | | | | |
| SU number |  | | | | |

**The following sections must be signed by your Departmental Head and Dean. This is necessary to process your disclosure.**

1. **Completed by the Departmental Head**

*“I recommend that this business idea or innovation be considered for IP protection and potential exploitation commercially”*

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| --- | --- | --- |
| Name:  Email address: |  |  |
| **Chairperson: Department** | **Signature** | **Date** |

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| **Comments (If none please add NA)** |
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1. **Completed by the Dean**

*“I recommend that this business idea or innovation be considered for IP protection and potential exploitation commercially”*

|  |  |  |
| --- | --- | --- |
| Name:  Email address: |  |  |
| **Dean** | **Signature** | **Date** |

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| **Comments (If none please add NA)** |
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1. **Completed by the Director: Research Contracts**

*"I acknowledge receipt of this disclosure and from a research management perspective I have no objection to its possible commercial exploitation”*

|  |  |  |
| --- | --- | --- |
| Name:  Dr. Cornelia Malherbe  Email address: |  |  |
| **Director: Research Contracts** | **Signature** | **Date** |

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| **Comments (If none please add NA)** |
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1. **Completed by the Director: Technology Transfer**

*"I acknowledge receipt of this disclosure and confirm that the document is complete and signed by all parties necessary. I confirm that the necessary Due diligence will be conducted by the Technology Transfer Office of Innovus and the further activity with regards to protection and commercialisation of IP will be communicated to the discloser”*

|  |  |  |
| --- | --- | --- |
| Name:  Ravini Moodley  ravini@sun.ac.za |  |  |
| **Director: Technology Transfer** | **Signature** | **Date** |

|  |
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| **Comments (If none please add NA)** |
|  |

**Please return a draft unsigned disclosure form to:**Director – Technology Transfer

For office use:

**reference number**

**ALLOCATED TTO**

Ravini Moodley  
Stellenbosch University  
Innovus Technology Transfer (Pty) Ltd  
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