Stellenbosch University

Text

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INNOVUS  
Making Innovation Matter

SOFTWARE DISCLOSURE FORM

FOR USE WHEN RELATED INTELLECTUAL PROPERTY CONCERNS OTHER FORMS THAN PATENTS

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.

1. **Shorty title of Software**

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1. **Background about the Software**

**Detailed** description including graphic representation/photos of any aspect of relevance

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| Field of disclosure | | | |
| Business idea | ☐ | Written work | ☐ |
| Plant breeders’ rights | ☐ | Procedural | ☐ |
| Intellectual property in research contract | ☐ | Registration | ☐ |
| Software | ☐ | Diagnostic | ☐ |
| Multi-media | ☐ | New species | ☐ |

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

|  |  |  |  |
| --- | --- | --- | --- |
| **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 | ☐ |  |  |

Are you interested in starting a **new venture/spin-out company** using the subject matter of the disclosure? If so, why and do you already have a team?

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Please provide a short business case for the disclosure (Proof of concept, Prototype etc.) If you are making use of open source platforms or code, please include a motivation for the royalty free licenses (if applicable)

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Please indicate the stage of development (✓):

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| **Dev Stage** | **Definition** | **Description** | **✓** |
| \*TRL 1 | Idea | 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 | 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

If there is any research involved, please define here. Research of technical nature may require completion of an invention disclosure form. Please add any preparatory or development detail still required before the concept can be commercialised. If this is the result of a research contract, please provide the contract reference number.

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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?

**Market research:**

Who will typically be the end users or clients? 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. **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 |  | |

|  |  |
| --- | --- |
| Full name and ID number (as displayed on ID or Passport) |  |
| **Contact particulars:** | |
| Email address |  |
| Physical home address |  |
| 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**

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| **Use of Third Parties and Third Party Code** | |
| Does your software incorporate third-party code?  If so, how have you obtained permission do to use it for commercial purposes? |  |
| Have you used opensource code?  If so, which license(s) covers the code? |  |
| Does your software rely on third-party code?  (e.g. a user needs particular software installed on their machine in order to run your code, so the user would need to obtain / license that software too) |  |
| Did you pay an external service provider to develop the software?  If so, has the external service provider assigned the copyright in the code to Stellenbosch University? |  |

Did you receive any financial assistance or funding? Please provide details. If funding was received through a research contract, please provide the contract reference number.

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**Markets: Potential Commercial Partners/Licensees**

*a) Will App stores be an appropriate platform for the distribution of your software? If so, which ones are you targeting?*

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1. *Companies that may be interested in the software:*

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1. *Existing links with potential commercial partners:*

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1. *Technical, marketing and investment contacts with knowledge relevant to the potential application that could assist with the commercial evaluation of the software:*
2. *Information on the commercial viability of the invention, e.g. selling price, potential markets, or a business plan:*

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**THE FOLLOWING SECTION IS TO BE COMPLETED BY THE INVENTORS (CONTRIBUTORS) AND ENABLERS – PLEASE REVIEW THE DEFINITIONS CAREFULLY**

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 concept in accordance with the following definitions.

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

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

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

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

1. **Completed by the Dean**

*"I recommend that this business idea be considered for potential exploitation commercially.”*

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

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

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** |

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

1. **Completed by the Director: Technology Transfer**

*"I recommend that this business idea be considered for potential exploitation commercially”*

*"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 potential protection and commercialisation of IP will be communicated to the discloser”*

|  |  |  |
| --- | --- | --- |
| Name:  Ravini Moodley |  |  |
| **Director: Technology Transfer** | **Signature** | **Date** |

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

**Please return the signed disclosure form to:**Director – Technology Transfer

For office use:

**reference number**

**ALLOCATED TTO**

Ravini Moodley  
Stellenbosch University  
Innovus Technology Transfer (Pty) Ltd  
15 De Beer Street  
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7600  
Email: [forms@sun.ac.za](mailto:forms@sun.ac.za)