

NYU Innovation Disclosure Form

At NYU's Technology Opportunities & Ventures (TOV), the Innovation Disclosure Form (IDF) is the first formal step in the process of identifying intellectual property and determining how to proceed with it. The process includes, for example, conducting searches for conflicting patents, copyrights and/or trademarks (as applicable), and evaluating the innovation's potential for commercialization by understanding the relevant market and competitive landscape. TOV reviews each disclosure to evaluate and determine, if applicable, a strategy to protect the innovation and to facilitate its commercialization to yield products to benefit society.

An IDF is a report and record that should be submitted when something new and useful has been invented or created. Completed IDFs are important legal documents serving as a record of innovation as well as the circumstances under which the innovation was made.

An IDF is treated by TOV as confidential and privileged because it is submitted for the purposes of seeking legal advice concerning patentability, copyrightability, etc., and such information is subject to legal and other review and confirmation. To ensure that the best strategy possible may be developed for your innovation, please keep it confidential until a decision by TOV has been made.¹

If a public disclosure (e.g., submission of a manuscript, publication, oral presentation, a poster presentation, press release, etc.) of your innovation is planned or will be planned, please complete and submit an IDF well in advance of the disclosure. Failure to submit an IDF early to our office may have potential negative consequences.²

It is required that all fields of the IDF be completed. For guidance on how to complete this IDF, email innovations@nyulangone.org.

TOV looks forward to learning more about your innovation and to working through this process with you.

Submit the completed IDF with original signatures to innovations@nyulangone.org.

Shilpa V. Patel, JD PhD
 Director, Intellectual Property
 Technology Opportunities & Ventures
 NYU Langone Health
 New York University
 One Park Avenue, 6th Floor
 New York, NY 10016
shilpa.patel@nyulangone.org
patels33@nyu.edu

¹For example, for innovations that are patentable and for which patent protection is pursued, a patent application is not publicly available until it is published (18 months after filing) or the invention is publicly disclosed (e.g. publication (online or paper) of a manuscript or a conference presentation describing some or all aspects of the invention). Accordingly, prior to a patent application publication or public disclosure, the information in a submitted IDF will not be distributed except (a) to research sponsors as may be stipulated by contract, (b) to parties that are under attorney-client privilege or confidentiality agreements, or (c) as may be required by law.

²For example, for an innovation that is patentable, it must be novel, nonobvious, have written description, be enabled and be useful. In order for an invention to be novel, it must not have been disclosed or made available publicly. If an invention has been publicly disclosed, in the United States it may still be possible to pursue patent protection for an invention; however, most foreign patent rights will no longer be possible.

A. Innovation Identifiers

Title of the Innovation

Date(s) of Innovation

Innovation Field (check all that apply):

Therapeutic ☐ Diagnostic ☐ Medical Device ☐ Healthcare Information Technology ☐

Materials/Chemical ☐ Non-Medical Software ☐ Research Tool ☐ Manual/Protocol/Questionnaire ☐

Reagent ☐ Electronics/Communications ☐ Trademark ☐ Copyright ☐ Digital ☐

Other (please describe):

B. Potential Contributors

Please list all Potential Contributors involved in the research, development, and/or creation activities, and provide all requested information for each. If a contributor is not from NYU, please indicate that below. If patent protection is pursued, then actual inventorship will be determined by a patent attorney in accordance with federal patent law. **The Potential Contributor who is designated as the Contact Contributor will be the main contact for NYU TOV, and will be responsible for coordination and/or correspondence with other Potential Contributors when needed.**

	Potential Contributor #1 (Contact Contributor)	Potential Contributor #2	Potential Contributor #3
Full Legal Name			
Department/Division at the time of the Innovation			
NYU Campus (SOM, WSq, NYU Abu Dhabi) or non-NYU Institution			
Home Address			
City, State, Zip Code			
Best Phone Contact			
NYU Email Address			
Personal E-mail Address			
Country of Citizenship			
NYU Employee # or Kerberos ID or NetID			
Is Contributor an awardee or sub-awardee on any federal grant(s), contract(s), or subcontract(s) related to this innovation	Awardee Sub-awardee Both	Awardee Sub-awardee Both	Awardee Sub-awardee Both

B. Potential Contributors - Continued

	Potential Contributor #4	Potential Contributor #5	Potential Contributor #6
Full Legal Name			
Department/Division at the time of the Innovation			
NYU Campus (SOM, WSq, NYU Abu Dhabi) or non-NYU Institution			
Home Address			
City, State, Zip Code			
Best Phone Contact			
NYU Email Address			
Personal E-mail Address			
Country of Citizenship			
NYU Employee # or Kerberos ID or NetID			
Is Contributor an awardee or sub-awardee on any federal grant(s), contract(s), or subcontract(s) related to this innovation	Awardee Sub-awardee Both	Awardee Sub-awardee Both	Awardee Sub-awardee Both

For distribution of any revenue received by NYU as a result of this innovation, please populate the below table. Specifically, please provide for each NYU Potential Contributor, the % share each would receive as an NYU Inventor or Creator[±], as per the NYU IP Policy*. If the table is blank, TOV will assign an equal division among all named Inventors or Creators.

NYU Potential Contributor	% NYU Inventor Share

[±] Assuming each Potential Contributor is a named Inventor on any patent application covering the innovation or a Creator of a tangible research property or copyrightable work.

* For NYU Langone Health employees the applicable policy is the NYU Langone Health Statement of Policy on Intellectual Property Policy (effective December 15, 2021) that can be found on InsideHealth for NYU Langone Employees and for NYU employees the applicable policy is NYU's Statement of Policy on Intellectual Property (effective December 15, 2021) that can be found on the NYU website.

C. Innovation Details

1. Describe the innovation, in as much detail as possible. (e.g. include materials and components; operative and preferred ranges for process/method parameters; concentrations of chemical compounds; technical details of software (e.g. system requirements, programming language, distribution code format)). Sketches, prints, photos, and any pertinent manuscripts should be included/attached when IDF is submitted.

2. What existing problem or unmet need does the innovation address and what advantages does it possess over current technologies/solutions? Describe all novel features of the innovation.

3. Specify the closest technologies known to you currently.

C. Innovation Details - Continued

4. List any knowledge you possess regarding existing patents, publications, or prior art. Please provide citations and or URLs. If you have questions, please contact us so that you may complete this.

5. At what stage of development is the innovation/solution? Specifically has the innovation been implemented in a computer program or online app, prototyped, scientifically studied, experimentally tested or clinically validated? If so, please describe and/or provide data, if relevant.

6. What is the research plan for the next two years relating to the innovation?

C. Innovation Details - Continued

7. Has this innovation been publicly disclosed (e.g. publications, abstracts, appearances online [e.g. BioRxiv, ChemRxiv, arXiv, figshare], conferences, conference abstracts, poster sessions, presentations, lectures, or other)?	Yes	No
7a. If yes, please list the date of earliest public disclosure and where it occurred.		
8. Are any Potential Contributors on this form interested in pursuing a startup company based on this innovation?	Yes	No
9. Do you know of any companies that might be interested in this innovation?	Yes	No
9a. If yes, please list the specific contacts if you have them, or simply list some companies that you think might be interested in this innovation.		
Company	City/State	Contact Person

D. Sources of Funding

Was the research that gave rise to the innovation funded, in whole or in part, by any federal grant(s), contract(s), or subcontract(s)? Please include resources used that are provided/supported by federal funding received by an NYU core facility. If yes, please list below. If no, then certify here that the innovation was not created with contribution from an active federal award.		Yes	No	
If Yes, are any of the contributors the primary or sub-awardee of the federal funding?		Yes	No	
Primary Funding?	Sponsor(s)	Grant/Contract Number(s):	Principal Investigator:	Administering Dept/Center:
If awards and/or support was provided by another source not listed above (non-federal grants (e.g., private foundation), philanthropic gifts, Institutional source, private investor, industry sponsor, etc.), please provide details:				
Award Source/Sponsor	Award Number	PI	Date Funded	If awarded to an entity other than NYU, please specify

E. Internal and External Resources & Funding

1. Do any of the Potential Contributors have an appointment with or funding from the U.S. Department of Veterans Affairs?	Yes	No
2. At the time of innovative contribution were any of the Potential Contributors a Howard Hughes Medical Institute (HHMI) Investigator?	Yes	No
3. Was the research that gave rise to the intellectual property supported by Colton Center Funding	Yes	No
4. At the time of innovative contribution were any of the Potential Contributors a member of the Perlmutter Cancer Center (PCC) or a full or associate member of a PCC Cancer Center Support Grant program (e.g., Cancer Cell Biology, Cancer Genome Dynamics, Epidemiology & Cancer Control, etc.)?	Yes	No
4a. If yes, please specify:		
5. Was the innovation funded by CTSI?	Yes	No
6. Was the research that gave rise to the innovation supported by the Parekh Center of Neurogenerative Diseases?	Yes	No
7. Was any part of this innovation generated and/or developed outside of NYU?	Yes	No
7a. If yes, please provide here the location outside of NYU where the innovation was created and, if applicable, please add to Section B of the form the names of Potential Contributors from outside NYU.		
8. Was the innovation funded by any other external or internal NYU grant or program? (Please specify all)	Yes	No
8a. If yes, please specify:		
9. Was the research that gave rise to the intellectual property supported by funding from Cancer Grand Challenges?	Yes	No

F. Does the innovation relate to third party agreements and/or obligations?

1. Were any materials that were used in the development of the innovation obtained from a third party?	Yes	No
2. Were any materials that were used to generate/create the innovation subject to an MTA or purchase agreement?	Yes	No
3. Was any third party owned equipment used?	Yes	No
4. Does the research arise from a Sponsored Research Agreement?	Yes	No
5. Are any other agreements applicable to this innovation?	Yes	No
5a. If yes, please specify:		

Submission acknowledgment section for NYU Langone Health employees.
For all other NYU employees, please use page 9.

Submission Acknowledgment - NYU Langone Health Employees

Please sign below in the signature boxes (digital signature, ink, or electronic scanned signature). NYU Langone Health requires all Potential Contributors who are its faculty, officers, employees or students to sign.

I/We submit this Innovation Disclosure Form pursuant to the NYU Langone Health Statement of Policy on Intellectual Property Policy (effective December 15, 2021) and the NYU Langone Health Intellectual Property Agreement, both of which can be found on [InsideHealth For NYU Langone Employees](#).

I/We have read and understood the above description of the TOV Innovation Disclosure Form submission process. I/We agree to provide assistance as TOV may reasonably request to obtain patents and develop the commercial value of the innovation, including but not limited to, signing documents as may be required for these purposes. I/We declare that this innovation disclosure is complete and accurate to the best of my (our) knowledge.

Signatures	Date

Signature of Department Chair

Signature of the Chair of the Department is mandatory

☐ I have read and understand the foregoing disclosure:

The Chair of the Department:

Date

Submission acknowledgment section for NYU employees.
For NYU Langone Health employees, please use page 8.

Submission Acknowledgment - NYU Employees

Please sign below in the signature boxes (digital signature, ink, or electronic scanned signature). NYU requires all Potential Contributors who are its faculty, officers, employees or students to sign.

I/We submit this Innovation Disclosure Form pursuant to NYU's Statement of Policy on Intellectual Property Policy (effective December 15, 2021) which can be found on NYU's website.

I/We have read and understood the above description of the TOV Innovation Disclosure Form submission process. I/We agree to provide assistance as TOV may reasonably request to obtain patents and develop the commercial value of the innovation, including but not limited to, signing documents as may be required for these purposes. I/We declare that this innovation disclosure is complete and accurate to the best of my (our) knowledge.

Signatures	Date

Signature of Department Chair

Signature of the Chair of the Department is mandatory

☐ I have read and understand the foregoing disclosure:

The Chair of the Department:

Date