Your guide to the university’s

INVENTOR PORTAL
The university has been driving innovation for over 100 years. Commercializing those innovations and transforming them into real world applications is one way our research helps shape the future and improve life, create social and economic growth and value, and serve the public who helped fund that research.
Contents

Introduction ........................................................................................................... 4
Reporting an invention .......................................................................................... 5
Editing an existing report ....................................................................................... 16
Submitting a report ................................................................................................. 16
After you submit a report ....................................................................................... 18
Help | Questions ................................................................................................. 19
INTRODUCTION

During your research at the university you may have created a new innovation. The first step in protecting that invention, called intellectual property or IP, is confidentially reporting it to the university before publishing or sharing at a conference, in a lecture or in a poster, as such disclosure could affect your invention’s protection.

Policy and industry requirements
Any patentable IP created at the university must be disclosed before commercialization per the university’s Patent Policy and Commercialization of Patentable Intellectual Property Procedure. In addition to meeting university policy requirements, confidential reporting is the first step to determining patentability and commercial potential. Reporting is also required before commercialization, licensing or selling of your invention, and to comply with most industry contractual requirements. Finally, reporting may also be required to comply with sponsored research agreements. Reporting is sharing just enough detail about your invention to evaluate its patentability and commercial potential. The report describes the invention, inventor(s), funding details, if any public disclosure has occurred, and other related agreements so ownership and rights can be determined. To best protect your invention and IP, University of Alberta inventors are strongly encouraged to contact the university’s Technology Transfer Services (TTS) team before any public disclosure (e.g., lecture, presentation, publication etc.) because that could affect the invention’s patentability. If you have already publicly disclosed and intend to commercialize, you should still contact TTS.

Easy, confidential online reporting
The University of Alberta’s Inventor Portal enables researchers to:

- Complete and submit a confidential report of invention.
- Check the status of a submitted disclosure.
- Check the status of patent applications where you are listed as an inventor.

Once a report is filed, TTS can help you navigate the commercialization process and help you determine the best strategy for you and next steps. This could be commercializing via licensing or starting your own company, or other options depending on your invention.

Help and instructions
This guide provides ‘step-by-step” Portal instructions. For questions not answered, technical issues or Portal improvement suggestions, contact TTS@ualberta.ca.

Personal information collected
Personal information is collected during the invention disclosure process. All information requested is collected under the authority of Alberta’s Freedom of Information and Protection of Privacy Act (FOIP Act) of Section 33 (c) and is used for the purposes of assessing the reported invention and preparing statutory filings related to that reported invention. Certain information may be made available to federal and provincial departments and agencies under appropriate legislative authority. Questions concerning the collection, use and disposal of this information should be sent to:

Legal Counsel,
Vice-President (Research and Innovation)
1-560 Enterprise Square, 10230 Jasper Avenue
Edmonton, AB, T5J 4P6.
T: 780.492.4712.
REPORTING AN INVENTION

Accessing the Portal

Create new account, username and password
When accessing the portal for the first time, you must create an account, username and password. This is done via the Portal login page, accessible from the university’s technology transfer services page.

- **Click ‘request account.’**

- **Complete required fields and click request account.** As noted in the portal introduction, information collected during the disclosure process is required by patenting offices. All information requested is collected under the authority of Alberta’s Freedom of Information and Protection of Privacy Act (FOIP Act) of Section 33 (c). See page 4 - personal information collected section for more detail.

- **Email confirmation that your account has been created.** Once you receive a confirmation email, you can log in with your new username and password. Please check your spam folder as the university’s email protections often filters this auto-generated email there.

Portal homepage
Once logged on, the Inventor Portal homepage will be displayed. Before filing a new report please have all of the following ready:

1. Non-confidential title for your invention.
2. Electronic copies of any funding agreements related to your invention. You should be able to access these through PeopleSoft.
3. Electronic copies of past publications/presentations related to the new invention if any.
4. Electronic copies of any draft abstracts, presentations and manuscripts you intend to publish or present, and the dates when these will be made public.
5. Co-inventor names if applicable, and a common understanding of each inventor’s share of potential future commercial revenue.
From the homepage page you can:

1. **Report an invention (disclosure):** Once you have created, edited, and/or submitted a report it will appear in your ‘disclosures.’ This tab contains:
   - All reports of invention you have created
   - Any reports of invention submitted by others where you were listed as an inventor

   From this tab you can monitor and manage all your disclosures. The tab displays your draft, submitted and approved disclosures. On the right-hand side you can view draft disclosures and disclosures ready for approval.

   If you need help, click ‘submit feedback’ in the upper right-hand corner, enter your email address and your comments and click ‘submit.’

2. **Edit your profile** - Click ‘edit profile’ to update your information then save changes.

3. **Logout** - Click ‘logout’ on the top-right.
Create a New Report of Invention

Report a new report of invention:

- Click ‘add new disclosure.’
- Enter the title in the dialog box. Click ‘create new disclosure.’
- A new disclosure draft with the title you entered will be displayed stating you are an administrator for the disclosure and can edit it.
- Note: As the disclosure author, you can edit it in the Inventor Portal.
  - Please save as draft frequently to avoid losing information.
  - Once you submit the disclosure you cannot edit it without help from TTS. Therefore, please check all the information entered before submitting.

New Disclosure

You are creating a new disclosure. Before you can edit your disclosure, you must first enter a title and choose the type of disclosure

Title of Invention (Non-Confidential):

Choose the Type of Disclosure:

Report of Invention

Create New Disclosure  Cancel
Draft
This disclosure is in draft status. When you are finished editing, submit the disclosure for administrator review using the button below.

Save As Draft
Submit for Review

Instructions

Instructions
This form is for members of the University of Alberta community (including faculty, researchers, staff and students) to report Patentable Intellectual Property created at the University of Alberta, as required by the University of Alberta’s Patent Policy.

More information about patents, inventorship, the University of Alberta’s Patent Policy and your obligations thereunder can be found here.

Detailed instructions about how to fill out this Report of Invention form can be found here.
Mandatory fields * are required fields.

Description

Description *

Please describe the invention, highlighting its novel and non-obvious elements. If available, attach any detailed description (e.g. manuscript), drawings, or photographs in the Documents area below.

Third Party Rights

How was the work that led to the invention funded? *
RSO Proposal/Award ID - e.g. RESXXXXXXXXX (if applicable)
**Description tab:** Describe how your invention works technically, stating its key features and most important uses. Include supporting evidence (data, results, diagrams, manuscripts, etc.) that provide a more complete description of the invention and how it works. Attach any documents in the 'document tab' below.

**Third-party rights tab:** If the research that led to the invention was funded, enter that funding information including the proposal ID (RES number) for the funding agreements and attach funding agreements below.

**Other agreements:**

- **Identify any agreements related to the invention:** List any agreements you/the university entered into related to the invention that might grant rights of any sort in the invention to a company or other party outside of the university (e.g. commercially sponsored research agreements, confidentiality agreements, software licenses, etc.).

- **Did invention use any outside materials?** Did this invention use any materials that were obtained from a company, another institution, or other party?

- **Was this material covered by a Material Transfer Agreement (MTA) or other?** Was this material covered by a MTA, Sponsored Research Agreement, Collaboration Agreement, or any other type of agreement?

- **Were related materials transferred outside?** Did you transfer any new materials related to the invention (e.g., DNA, peptides, cell lines, vectors, catalysts, alloys, composites, prototypes, etc.) outside of your institution?

**Patentability tab:** Are written and dated laboratory records and data available? Has the apparatus, product or process been made or tested?

**Patents:** As patent records are created and populated in the Portal that pertain to the invention report, the Patent Application Number, Patent Number, Internal ID, Title, Country, Patent Application Type, Patent Status, File Date, Issued/Granted Date will be displayed so inventors can see the status of all related patents.

**Public disclosure:** Has there been any full or partial disclosure? This includes verbal/written/electronic disclosure (e.g., lecture, presentation, publication, conference, poster etc.) or offer for sale/license to a person outside the research team that would enable another person skilled in the field of the invention to repeat its development.
PUBLIC DISCLOSURE AFFECTS PATENT RIGHTS IN CANADA AND ABROAD. THEREFORE ACCURATE INFORMATION IS ESSENTIAL.

- **IF YES**, there was a public disclosure:

  - **Enter date** - when you disclosed the information.
  
  - **Describe disclosure** - provide names of persons/companies to whom you disclosed, and if there was a confidentiality agreement. Provide copies of any publications, abstracts, posters, or other materials which mention or describe the invention in whole or in part using the documents tab.

- **Future plans to disclose?** Yes or no. If yes provide:

  - **Future disclosure date.** - If unpublished and undisclosed, provide the anticipated disclosure date for any potential publication or disclosure.
  
  - **Describe future disclosure** including submission date, journal/conference, potential online publication before full publication date (e.g., online conference abstract). Provide copies of publications, abstracts, posters, or other materials which mention or describe the invention in whole or in part using the documents tab.

Prior art tab: Are you aware of any related patents or publications? Provide copies of any patents or publications using the documents tab.
**Documents tab:** Attach any documents [e.g., data, results, diagrams, manuscripts etc.] necessary to fully describe your invention, funding agreements, related legal agreements, past and planned publications.

**Commercial feasibility tab (optional):** Describe the development status [i.e. concept only, laboratory tested, prototype, etc.]. Indicate what further development is planned and/or may be necessary:

- **List the potential products you envision** resulting from this invention, and if you think these products could be developed in the near term (less than 2 years) or the long term (more than 2 years).
- **Marketing targets** - has any commercial interest been shown at this stage? Identify any companies that could have potential interest in the invention being disclosed.
- **Describe alternate technologies** that accomplish the same purpose as this invention, and list companies/products currently in the market using these alternate technologies or that could use your technology.

**Further research tab:** Is additional research needed or underway to complete development and testing of the invention? If yes,

- Provide a description of the research, development and testing needed.
- Are funds available to do this? If yes, outline funding sources.
- What disadvantages or limitations need to be addressed by future research?

**Inventors tab:** This tab displays all inventors associated with the disclosure:

- The submitting inventor’s name will be displayed.
- To add another inventor name click ‘add inventor.’
Find inventor by last name: Type in last name in the 'find Inventor field,' then hit search. If the name exists in the Portal, it will be displayed. Choose it and click 'select.'

If name is not found, click to create new contact click 'add new contact.'
To add another inventor repeat the above steps. Complete all sections in the inventor tab for each inventor listed:

- **Inventor’s disclosure permissions/access:** After adding another inventor, indicate their role and rights—editor or view only—by clicking ‘edit,’ then select editor for view only then ‘save changes.’
  - Editors can view and edit the disclosure.
  - View only allows viewing and adding remarks and documents.

- **Client department:** Enter inventor’s faculty department.

- **Role type:** Select from drop down menu: faculty, non-University of Alberta, other, postdoctoral fellow, research assistant, student, or technician.

- **Signature type:** Paper or digital. Inventors can sign digitally through DocuSign, which is integrated into the Portal.

- **Sign date:** Date inventor completed the Report of Invention.

- **Inventor order:** Number attributed to each inventor listed on the Report of Invention. Inventors can be listed in any order, but the inventor in order 1 is designated as the principal point of contact for representing the inventor group on decisions regarding commercialization (see section 3(1c) of the Commercialization of Patenable Intellectual Property Procedure).

- **Contribution:** The percent each inventor contributed to the invention. Note: inventor contribution % must equal 100%. To avoid system conflict, lower first inventor’s % before adding additional inventors.
When all add another inventor fields are complete click 'save changes.'

**Other appointments/employment contracts aside from the University of Alberta during the course of this work:** To list other appointments/employment contracts select 'add row' complete fields and click 'save changes.'
Inventor consent and election to assign/retain invention: The university’s Patent Policy gives inventors the choice to:

- **Assign invention to the university** - this option involves assigning title to the invention to the university. The university will then manage the commercialization of the invention, including assessing patentability, applying for patent protection, and negotiating legal agreements. The university may also be able to support early-stage patenting costs. To commercialize through the university select and sign **OPTION A**

OR

- **Commercialize your invention independently** - inventor[s] retain legal title to the invention, and are responsible for managing the commercialization of the invention, including retaining legal counsel, applying for patent protection, and negotiating legal agreements. Inventor(s) are responsible for all costs associated with commercializing the invention. To commercialize independently select and sign **OPTION B**.

**Remarks:** Enter any comments about the disclosure to be read by your TTS representative and/or other assigned inventors in this disclosure. Click ‘save remark.’

**Add a subscriber:** Add individuals that you would like to be notified by email of events and actions that take place for this disclosure. Fill in first name, last name, and email address of Subscriber and click “add subscriber.”

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1 Under the Patent Policy, out-of-pocket costs paid by an inventor for obtaining a patent and granting, performing and enforcing any assignment or licensing of PIP may be recovered before revenue distribution.
EDITING AN EXISTING REPORT OF INVENTION

If you do not have time to complete the disclosure can click ‘save as draft.’

- When you log back in to continue your disclosure it will be displayed in the My Disclosures list with the status marked as draft.
- In the manage column click ‘edit to open’ and add any additional information to the disclosure.

SUBMITTING YOUR DISCLOSURE

When you have completed your disclosure and reviewed it, you can then submit it by:

1. Click ‘submit for review.’

2. If any required fields are not filled in, the dialogue will ask you to correct the errors before continuing. The errors are highlighted and indicate which fields have not been completed.

3. Errors will be highlighted as you scroll through the disclosure.
4. When all required fields are complete, click ‘submit your disclosure’ again.

5. A prompt will be displayed stating “Once submitted, this disclosure will no longer be editable (except remarks) and an administrator will be notified to review the disclosure. Are you sure you want to submit?” If you do, check ‘yes’ to submit your disclosure.

Once the disclosure is submitted, the current status section in the left column will indicate that one (1) disclosure was submitted and the my disclosures status list will show the disclosure was submitted.

As noted previously, once the disclosure is submitted, it cannot no longer be edited. But you can click ‘view’ in the manage column to review your submitted disclosure. You can also still add remarks in the remarks tab.
AFTER YOU SUBMIT A REPORT OF INVENTION

After you submit a report of invention, a TTS associate director will be notified.

**Approved submission**
If your disclosure submission is approved, you will be notified by email and your disclosures status will change to approved. After the disclosure is approved all inventors that are listed on the disclosure will receive an automated email requesting a digital signature.

**Submissions not approved**
If your disclosure is not approved because it is incomplete, you will be notified by email. Its status will revert back to draft, and the remarks tab will indicate why it was not approved. You then click *edit* to open and revise disclosure information as requested and then resubmit.

After a TTS associate director reviews the revised submission and uploads any additional information they can approve the disclosure, which will then be displayed as approved. The disclosure will then be locked from further editing except for remarks. Check back often for updates on this disclosure such as new patents or agreements.

**Status updates**
Inventors can always check the progress of submitted reports and review ongoing remarks by logging into the Inventor Portal.
HELP | QUESTIONS

If you have questions that haven’t been answered by the guide, or have suggestions for improving the Inventor Portal, please contact:

Brenda Service
Intellectual Property Manager, Technology Transfer Services
Email: bservice@ualberta.ca
Phone: (780) 492-1584
LEARN MORE ABOUT TECHNOLOGY TRANSFER SERVICES VIST
uab.ca/TTS