

Carleton University Commercialization Framework

Purpose:

In January 2022, The Province of Ontario issued its Commercialization Mandate Policy Framework, which seeks to improve the province’s intellectual property position by “improving commercialization outcomes and realizing the benefits of policy-funded research and innovation”.¹ This document outlines the initiatives, practices, and procedures that Carleton University is undertaking in each of the six elements identified in the Provincial Framework.

Scope:

Innovation transfer and intellectual property management are well described in the Collective Agreement between Carleton University and the Carleton University Academic Staff Association (CUASA). According to the Collective Agreement, “Inventors, authors and other creators ... have sole ownership over their intellectual property except where the Employer has contributed any assistance in the creation or development of the intellectual property”.² For different reasons, some employees choose to assign ownership of intellectual property to Carleton University.

In compliance with the Ontario Government’s Commercialization Mandate Policy Framework, these procedures and practices apply to all intellectual property owned by or assigned to the University for the purpose of commercialization.

Carleton’s Commercialization Framework:

1. Commitment to the Management and Protection of Intellectual Property (IP)

The Carleton-CUASA collective agreement defines innovation transfer as representing “the movements of concepts, processes and products generated and developed at Carleton University to external communities including industry, government and society at large. This transfer of technology is undertaken in a variety of ways including, but not limited to, publication of research results and concepts, consulting arrangements, conduct of seminars and conferences and various types of research arrangements.”²

To support the management and protection of IP, Carleton University established the Carleton Innovation Transfer Office (CITO) that reports to the Vice-President (Research and International). The office provides assistance for innovation transfer and commercialization, including technical evaluation, market evaluation, industrial contacts and leads, negotiating inventorship agreements and commercial licensing arrangements, marketing the IP and protection of the intellectual property.

Carleton’s investments include salaries for professional staff, educational resources, subscriptions to marketing databases, fees for market assessments, legal fees for assessing, filing, and maintaining patents as well as other forms of intellectual property protection.

2. Defined roles and responsibilities for relevant stakeholders within the institution to achieve that commitment.

The Office of the Vice-President (Research and International) is responsible for the innovation transfer mandate at the University.

Carleton's Innovation Transfer Office (CITO) is the unit responsible for assessment of faculty invention disclosures and the protection and commercialization of intellectual property if the assessment is favorable. A Steering Committee made up of representatives from each of the Faculties and chaired by the Vice-President (Research and International) provides guidance and advice for the ongoing operations of the CITO.

Carleton's Industry and Partnership Services (IPS) office is responsible for supporting industry engagement, including business development, negotiating IP agreements, and securing leveraged funds for research and intellectual property. IPS also provides IP education via webinars, on-campus workshops, access to the Canadian Intellectual Property Office (CIPO) resources, and through partnership with external service providers.

Carleton's Sprott School of Business manages the Innovation Hub, which provides campus-wide support for student entrepreneurs. The Innovation Hub delivers early-stage development programs (Changemaker and Launch: Ideas) and supports entrepreneurial development pathways (Launch: Ventures and Breakthrough) in addition to events such as hack-a-thons.

Chairs, Directors, and Deans provide the CITO and IPS with opportunities to attend faculty or departmental meetings to build awareness with respect to intellectual property and of the resources available to support innovation transfer.

3. IP Education and Awareness resources

To facilitate the identification and the creation of intellectual property, the Innovation Transfer Office posts educational resources on its website and coordinates the delivery of on-demand workshops on the identification and protection of intellectual property. These resources include, by way of example, modules from the Canadian Intellectual Property Office, presentations by practitioners, Ontario's Digital Campus Resources, and access to Carleton's "Intellectual Property Strategy" short course. The course was developed in partnership with the Canadian Intellectual Property Office (CIPO) and Stratford Group to ensure we have the most up-to-date information from both a regulatory and business perspective. Through these education sessions, the Innovation Transfer Office encourages all inventors to first seek commercialization partners in Ontario.

Carleton University and CIPO established an "Examiner in Residence" program for CIPO staff to spend time on campus building IP awareness with our faculty and students, through office hours and guest lectures.

4. Invention disclosure policy

As described in the Carleton-CUASA Collective Agreement, inventors, authors, and other creators have a duty to disclose intellectual property developed with assistance from the University “whether by way of funds, facilities and/or support or technical personnel employed by the Employer beyond that which is normally provided to originators to carry out their usual duties. Unless specifically directed otherwise, each originator shall make such disclosure to the Provost and Vice-President (Academic).”²

5. Net benefit to Ontarians

The CITO search strategy for potential licensees prioritizes regional opportunities first, taking advantage of Ottawa’s extensive strengths in Information and Communications Technology. The Carleton Innovation Transfer Office further seeks provincial, national, and international partners in an effort to either advance the research prior to it being marketable, or to seek potential licensees for intellectual property that has been protected by the University.

Benefit is conferred to Ontario via companies founded by Carleton faculty and students (current and alumni); license revenue; industry-sponsored R&D; federally leveraged funding; and additional trainees (both in graduate research and undergraduate entrepreneurship).

Available licenses are posted publicly on the Carleton website and are marketed domestically via Cognit.ca, ExploreIP, and the Ontario Founders Club.

6. Institutional engagement with the innovation ecosystem (e.g., companies, incubators and accelerators, research institutes, market facilitators and intermediaries, etc.) to expand institutional capacity to achieve the goals of this Policy Framework.

Carleton is part of a comprehensive ecosystem for research commercialization and business venture creation. At different stages, the CITO will access one or more of the organizations below depending on the maturity of the technology.

Internal stakeholders include the Office of the Vice-President (Research and International), Carleton Faculties, Innovation Hub, and research centres.

External stakeholders actively engaged include innovation intermediaries such as:

- Ontario Centre of Innovation (VIP and MR).
- FED DEV Ontario.
- Invest Ottawa – The lead economic development agency for knowledge-based industries in Canada’s Capital, facilitating economic growth and job creation in Ottawa.

- Wesley Clover International is an investment management and holding company with headquarters in Ottawa and active operations around the globe.
- L-SPARK - An Ottawa-based Software as a Service (SAAS) accelerator. It provides mentoring and counseling services, office space, and seed funding to startups.
- Mistral is a seed stage venture capital firm based in Ottawa. As venture stake in the company once it gets off the ground.
- Celtic House Venture Partners is an independent Canadian investment firm in technology and innovation.
- The Capital Angel Network.
- NRC IRAP
- NSERC I2I
- Various Centres of Excellence, notably: Green Centre Canada, CENGN, AGE-WELL, Natural Products Canada.

¹ Commercialization Mandate Policy Framework, Ontario Ministry of Colleges and Universities

² Article 14 of the Carleton-CUASA Collective Agreement

Links to related documents:

[CUASA 2021 -2024 Collective Agreement](#)

[Intellectual Property disclosure forms](#)