

Policy Name:	Commercialization of University Intellectual Property
Originating/Responsible Department:	Office of the Vice-President (Research and International)
Approval Authority:	Vice-Presidents' Academic and Research Committee (VPARC)
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Contact:	Associate Vice-President (Strategic Initiatives and Operations)

Preamble:

In July 2020, the Ontario Government released the province's first Intellectual Property Action Plan. As part of its implementation, in January 2022 the Province of Ontario issued its Commercialization Mandate Policy Framework ("Framework"), which seeks to enhance the province's intellectual property position by improving commercialization outcomes and realizing net benefits to Ontario of publicly-funded research.¹ Pursuant to the Framework, the University is implementing a commercialization policy that maximizes commercialization opportunities, protects Ontario's interests and strengthens the Ontario economy.

Purpose:

The purpose of this policy is to affirm Carleton's longstanding commitment to support the protection and commercialization of intellectual property generated from its research programs; to provide guidance to its members on educational materials and resources available; and to foster commercialization of intellectual property in a way that provides a net benefit to Ontario.

Scope:

In compliance with the Framework, these procedures and practices apply to all intellectual property owned by or assigned to the University for the purpose of commercialization.

Innovation transfer and intellectual property management are described in applicable collective agreements or employment contracts. For example, the Collective Agreement between Carleton University and the Carleton University Academic Staff Association (CUASA) 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

This policy does not amend or alter any duties and obligations to and of the University as stated in other University policies or amend or alter any collective agreements or employment contracts between the University and employee groups. Nothing in this Policy is intended to amend or supersede any grievance procedure or other aspect of any applicable collective agreement.

¹ Commercialization Mandate Policy Framework, January 14, 2022, Ontario Ministry of Colleges and Universities

² CUASA 2021-2024 Collective Agreement, Article 14

Policy:

1. Commitment to the Management and protection of IP, promoting Ontario's interest:

Carleton University supports innovation transfer in all its dimensions and the commercialization of the concepts, processes and products emerging from research at the University.

Innovation Transfer represents 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, commercialization, and various types of research arrangements.

Carleton will establish and maintain administrative structures that assist 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, for example, 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.

The [Carleton Innovation Transfer Office \(CITO\)](#) search strategy for potential licensees prioritizes regional opportunities first, taking advantage of Ottawa's extensive strengths in Information and Communications Technology. The office further expands its search to provincial, national, and finally, international partners 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.

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

2. Roles and Responsibilities:

The Office of the Vice-President (Research and International) ("VPRI") is responsible for the innovation transfer mandate at the University. [Carleton Innovation Transfer Office \(CITO\)](#), a unit under VPRI, is responsible for assessment of faculty invention disclosures and the protection and commercialization of intellectual property if the CITO 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 able to provide support for 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 [\(see here\)](#), and through partnerships with external service providers.

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. Such resources may be tailored to specific

circumstances and augmented and changed over time. 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, which was developed in partnership with the local business community and the Canadian Intellectual Property Office (CIPO) 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.

Courses taught as part of the University curricula include a unique Technology innovation Management program which is a unique master's program to train aspiring entrepreneurs on creating wealth at the early stages of company or opportunity life cycles. Graduates of the program earn either a Master of Applied Business Analytics, Master of Applied Science, Master of Engineering, or a Master of Entrepreneurship

The Innovation Transfer Office actively markets on-line courses identified and offered via [Intellectual Property Ontario](#).

4. Invention disclosure:

Inventors, authors and other creators have a duty to disclose intellectual property developed with assistance from the University beyond that which is normally provided to staff and faculty to carry out their usual duties. For example, the CUASA Collective Agreement, inventors, authors and other creators have a duty to disclose intellectual property developed with assistance from the University 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).³

5. Providing net benefits to Ontarians:

As outlined in section 1, in the absence of a pre-existing contract determining the disposition of intellectual property, the Innovation Transfer Office seeks local, provincial, national, and international partners to either further the research such that it is marketable, or to seek a potential licensee for intellectual property that has been protected by the University.

While there is no obligation for researchers to engage in Commercialization of Intellectual Property, it is encouraged and there are several ways to participate.

- If a researcher seeks to protect or commercialize an invention arising from university activities, it must be disclosed in accordance with section 4 above.
- Researchers may then avail themselves of the expertise and guidance of the CITO office.
- Researchers are encouraged to seek out educational opportunities as described in section 3 above.
- Researchers are encouraged to consider economic and social benefits to Ontario when conducting research, working with partners, and engaging in commercialization as describe in Section 1.

Economic and social benefits are conferred to Ontario via revenues and employment from companies founded by Carleton faculty and students (current and alumni); license revenue; industry-sponsored R&D conducted in Ontario; federally leveraged funding; and additional trainees (both in graduate research and undergraduate entrepreneurship).

6. Institutional engagement with the ecosystem:

Carleton is part of a comprehensive ecosystem for research commercialization and business venture creation; most recently investing in a new physical space in Kanata North (Canada's Largest Tech Park) called CU@Kanata

³ CUASA 2021-2024 Collective Agreement, Article 14.

- Internal stakeholders include the Office of the VP (Research and International), Carleton Faculties, Innovation Hub, and Research Centres;
- External stakeholders include but are not limited to:
 - Innovation intermediaries (e.g., Invest Ottawa, L-SPARK, IRAP, OCI, etc.),
 - Provincial, municipal, and federal governments and crown corporations (e.g. NRC), and federal commercialization centres of excellence (e.g. Green Centre Canada, CENGN, AGE-WELL, Natural Products Canada)
 - Canadian SMEs, large multinationals, and not-for-profits (e.g., CANARIE, CFI, etc.).
 - Local venture funds (e.g. Wesley Clover International, Mistral, Celtic House and the Capital Angel Network)

Contacts:

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Links to related documents:

[Intellectual Property disclosure forms](#)

[Policy on the Responsible Conduct of Research](#)