

GUIDE TO THE CARLETON UNIVERSITY INTELLECTUAL PROPERTY SUMMARY FORM

WHAT IS INTELLECTUAL PROPERTY?

Intellectual Property (IP) is an umbrella term for a broad category of intangible (non-physical) assets. It refers to creations of the mind such as: inventions (products, processes); literary and artistic works; software code; designs; symbols, names and images used in commerce (including domain names); and even trade secrets. Depending on the nature of the IP, it may be legally protected through means such as patents, copyright or trademarks. Such protection enables individuals, companies and organizations to benefit financially and/or earn recognition from their inventions and creations. To learn more about IP, several resources are available on the IPS website at <https://carleton.ca/ips/intellectual-property-resources/>.

WHY FILE AN IP SUMMARY FORM?

At Carleton University, we have a creator owned IP Policy. This means that the university does not take automatic ownership of IP developed at Carleton. As a Carleton researcher, you can request support for the protection and commercialization of IP that you have developed through the Carleton Innovation Transfer Office (CITO). CITO is staffed by professionals with decades of industrial and commercialization experiences who are here to support you in realizing the potential impact of your work. Filing a confidential IP Summary Form with CITO is the first step towards obtaining formal support. CITO will then evaluate the submission and support may be provided by executing a mutually agreed upon Revenue Sharing-Assignment agreement with Carleton.

Not ready to fill out an IP Summary Form?

If you are at the early stage of an idea but it is not yet clearly conceptualized, IPS can help answer your questions and explore a course of action. Please contact CITO@carleton.ca to request an exploratory IP meeting.

The IP Summary Form should be completed when the IP is clearly conceptualized or as soon as the new product or process can be described in enough detail that someone else familiar with the field could use it.

The written IP Summary defines the IP of interest, contributors, funding sources as well as commercialization opportunities. **This guide is intended to help you fill out a draft IP Summary that you can submit to CITO.** Please feel free to add/delete sections to tables on the form but please do not otherwise change the questions on the form. **CITO staff will work with you to complete the form and review for completeness and accuracy.** The final form will be initialed by all contributors.

The finalized IP Summary Form will support CITO's evaluation of the technology to assess various aspects including due diligence regarding IP rights and any existing prior agreements, protectability, the market and potential to commercialize as well as the value that the office could provide to support commercialization efforts. The finalized IP Summary Form may also act as a reference and record of the IP in future agreements.

EXPLANATION OF FIELDS

FIELD NAME	INSTRUCTIONS	ADDITIONAL NOTES
Non-Confidential Title of the IP	Provide a brief, unique identification for the IP	The title may become public and may be used as identification in agreements. Do not reveal novel and useful features of the IP in the title.
Submitter's Name and Contact information	Please fill in principle investigators name, main faculty and department, phone number and email	The IP Summary Form should be submitted by a Carleton faculty member.
Completed by CITO Staff	Date of Submission CITO ID	Upon receipt, CITO staff will fill in the date that they received the draft IP Summary Form and will assign it a CITO TECH ID. This Tech ID may be used in agreements and in correspondence on the technology, particularly where a PI has multiple or similar IP recorded with CITO.
1 (a) Plain Language Summary	Please provide a <u>plain language summary</u> of your IP and indicate why it is valuable/useful to the target industry and/or end-user.	Please provide a brief, easy to understand, summary of your IP and indicate why it may be valuable and desirable for specific users.
1 (b) Problem	What problem(s) does your invention address and solve?	Describe the problem that your IP addresses. Consider if users are currently addressing the problem in a different way and if so, what are the challenges to these solutions.
1(c) IP Description	Provide a description of your IP and how it addresses the problem. Consider the nature, technical characteristics, composition, construction, method/process and/or operation and current development status of the IP.	Provide a description of your solution to the problem described above. Please describe the solution in enough detail so that we can understand what your solution is and the current state of development of the IP. Please feel free to refer to/include attachments including draft papers, prior publications or related technologies listed in question (4) below.
2 (a) Status	Is there a prototype, model, or sample of your IP? If yes, has the prototype, model or sample been tested?	This helps us understand and verify the status of development of the technology.
2 (b) Software	Is there any expression of this IP through software? If yes, have	IP summaries can include a variety of type of IP, including copyright IP related to software. The use of

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	any open-source resources been used?	open-source resources may restrict the commercial exploitation of such copyright IP.
2 (c) Continued Development	Do you expect to continue towards the improvement/commercialization of your IP?	Are you expecting to continue R&D on the technology, or do you see this as being a completed project that you will no longer be working on?
3 (a)	<p>Identify those specific features of your IP that you believe to be novel, distinctive, or original.</p> <p>Is the invention a <u>new</u> product/process or an <u>improvement</u> to existing IP?</p>	Identification of the key aspects that make the IP novel is a critical part of the IP analysis. Whether the IP is completely new or an improvement to an existing product/process, we need to understand what make it different and what utility that difference brings. For example, patentable technology must be demonstrated to be new, useful and not obvious.
3 (b)	What do you think is the commercial potential of this IP - who (ex. which companies, third parties or end users) would use it and why?	<p>Please consider anyone who might want to use the IP. This could be, for example, companies who would benefit from incorporating your technology in their products or end users who would benefit from using your IP.</p> <p>Explain why they would want and be willing to pay to use your IP. How is your IP better than alternative options available to solve their needs?</p>
4 (a)	List and provide e-copies of, or hyperlinks to, of any <u>published</u> or <u>submitted</u> articles, theses, or conference disclosures, including dates, relating to this IP.	Prior public disclosures may impact or limit patentability in certain jurisdictions. The timing and specific content of the disclosures can be critical.
4 (b)	List and provide e-copies of, or hyperlinks to, to any publications relating to invention(s) <u>written by others</u> that are or may be similar/competitive/complementary to this IP.	This information is required to understand and assess the novelty, patentability and competitive landscape of your IP.
4 (c)	Has a patent search been conducted? If yes, list and/or provide a copy of the report with a list of identified patent(s).	This is related to 4(b) but patent literature can be quite different from the academic literature that is more commonly reviewed by research groups.

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5(a)	<i>Grants and Research Contracts:</i> Have creators received any support from grants or research contracts related to this IP (NSERC, MITACS, OCI, etc)?	<p>These fields help us understand partners that you have worked with, locate agreements and identify any legal encumbrances etc. to funders/sponsors that is related to the IP. Even if you do not have all the information, please include what you know to help us locate any applicable agreements.</p> <p>Title & CUREsearch/ROMEO # (if known) Granting Agency (if applicable) Industry Sponsor (if applicable) Start Date (if known)</p>
5 (b)	<i>Other Support : Have creators received any other support (salary, equipment, materials, space, advisory etc.) from any other companies/universities/governments/non-profits etc. related to this IP?</i>	<p>Similar to 5(a), this information helps assess any obligations related to support that was provided for the development of the IP. Please consider support that may have been provided to any of the creators and describe what was provided under 'Type of Support'.</p> <p>Type of Support Company/Org Name Start Date</p>
6	List ALL persons who have made a contribution to this IP. Initialization by contributors should be completed after the form has been reviewed and finalized along with support from CITO.	<p>Please fill in all fields for each person that contributed to the IP. The information may be used on legal documents related to the IP, verifying status and rights, assessing inventorship/contributions as well as contacting creators in the future.</p> <p>Given Name/Surname – Must match Government-issued ID</p> <p>Position - List all positions and Affiliations including Carleton departments and any external affiliations</p> <p>Contact information – Primary/Alternative email, home address, personal phone number – may be used in legal agreements including IP filing documents as well as to contact creators for revenue distributions</p> <p>Contribution to Invention Please indicate your involvement in developing the IP</p> <p>Contributor Confirmation Initial to confirm review/ accuracy of your information AFTER the IP Summary Form is finalized with support from CITO</p>