

Proof of Principle (POP) Program: Intellectual Property Assessment Form

This assessment form must be completed jointly by the Nominated Principal Applicant and the Technology Transfer Office. It is used for eligibility purposes and to provide supplemental information to the peer review committee.

Nominated Principal Applicant: _____

TT Officer: _____

Question	Answer	
1. Date of filing of patent application (if applicable) Year/Month/Day Specify if the patent application was a provisional or regular application.		
2. Does the Nominated Principal Applicant (and Partner for Phase II) meet CIHR eligibility criteria (general criteria and those specific to this funding opportunity)?	y <input type="checkbox"/>	n <input type="checkbox"/>
3. Does the Nominated Principal Applicant have an established track record of provincial, national and/or international peer-reviewed funding from recognized agencies for research in areas related to the proposed project?	y <input type="checkbox"/>	n <input type="checkbox"/>
4. Has the Intellectual Property (IP) been disclosed to the TTO office?	y <input type="checkbox"/>	n <input type="checkbox"/>
5. Has the IP been subjected to an initial technology assessment and selected for its significant commercial potential (assessment can include market, technology, IP components)?	y <input type="checkbox"/>	n <input type="checkbox"/>
In a few sentences summarize the assessment (e.g. method/components, who conducted it, results):		
6. Is the IP optioned, licensed, sold or assigned to any party other than the academic institution and researcher/inventor/applicant(s)?	y <input type="checkbox"/>	n <input type="checkbox"/>
Describe the situation (include whether exclusive or non-exclusive):		
7. For Phase I: Is the IP proposed currently, or has it been in the IP portfolio of a company (not including non-exclusive licenses)? (If yes, a legal, binding statement acknowledging that all rights to the IP have been given back to the research/academic institution must be included with the Application)	y <input type="checkbox"/>	n <input type="checkbox"/>
8. If the applicant has successfully applied to this Phase in the past with similar IP, please explain how this IP is distinct from IP in the previous application:		
9. For Phase II: Are any of the applicants and/or TT Office/Institution affiliated with or partly/fully own the partner organization in the application? If yes, please answer the following questions:	y <input type="checkbox"/>	n <input type="checkbox"/>
Is the ownership less than 30% for a single applicant? Note: For two or more applicants, the combined ownership must be less than 50%.	y <input type="checkbox"/>	n <input type="checkbox"/>
In a separate attachment, please provide a list of all owners of the company with their ownership percentage. Note that more than 50% of the equity positions and/or share options in the partner company/organization must be owned by a party/parties unrelated to the applicants and/or academic institution(s).		
10. Do any of the applicants or TT Office have any relationship with a company or other party that would impede the freedom to operate on the IP?	y <input type="checkbox"/>	n <input type="checkbox"/>
If yes describe:		
11. Is the IP the subject of an agreement with a foreign institution or organization? If yes, please provide a statement in a separate attachment documenting how a reasonable effort has been made in order to fulfill the need of a beneficial impact on Canada (<i>Phase II applicants: if the agreement is with the partner, include a statement documenting why the researcher was unable to develop a collaboration with a suitable partner in Canada</i>)	y <input type="checkbox"/>	n <input type="checkbox"/>
12. For multi-centre applications: A. Is an inter-institutional Memorandum of Understanding, letter of agreement, or equivalent in place?	y <input type="checkbox"/>	n <input type="checkbox"/>
B. Does this inter-institutional agreement specify co-ownership of IP?	y <input type="checkbox"/>	n <input type="checkbox"/>
13. Who currently owns the IP? Provide a list of owner(s) if owned by more than one entity or inventor:		
14. Is the IP wholly Canadian-owned?	y <input type="checkbox"/>	n <input type="checkbox"/>
If not 100%, please explain percentage and arrangement (<i>Phase I applicants note: a Canadian-based party must own at least 50% of the Intellectual Property proposed or have an inter-institutional agreement in place detailing how existing and new IP will be handled by Canadian stakeholders.</i>)		