

# Intellectual Property Management Plan

## For award number DE-EE0009079 Incentivizing Cold-Climate Efficiency in Juneau (ICE-Juneau)

This purpose of this plan is to provide the guidelines and procedures on how intellectual property (IP) matters will be addressed among members of the project team.

Members of the ICE-Juneau team will provide technical support and facilitation to a residential energy efficiency pilot program in Juneau. They will validate energy savings and fuel displacement of energy efficiency retrofits and approaches to stimulating adoption of energy efficient technologies in small, rural locations. They will develop a market-based approach for rural communities to accelerate energy efficient technology adoption and integration. It is not expected that there will be inventions or creation of new intellectual property through this project.

### I. Definitions

This plan uses the same definitions as in the official project Department of Energy Office of Energy Efficiency and Renewable Energy (EERE) award. These definitions can be found in the Code of Federal Regulations: Title 10 Part 600 Appendix A to Subpart D – Patent and Data Provisions. The electronic CFR can be found here: <https://gov.ecfr.io/cgi-bin/ECFR?page=browse>

### II. Treatment of Confidential Information

It is expected that members of the project team will share confidential and private information such as names, addresses, and specific building details of the participants in the residential energy efficiency program and their homes. Project staff should abide by the guidelines outlined in the project's Data Management Plan when collecting, storing, transferring, and analyzing private data:

- Any data with private information will be stored in password-protected folders on CCHRC-NREL's internal server. The project manager will be responsible for creating the folder, changing the password quarterly, and ensuring that only project staff members with appropriate credentials have access to this data.
- All members of the project team with access to data with private information will maintain a current Collaborative Institutional Training Initiative (CITI) certificate on file in the project folder on CCHRC-NREL's server. The project manager will be responsible for distributing the password for access to the data to team members with current CITI certificates and for informing team members if their certificate has expired. CITI training is available through the University of Alaska Institutional Review Board website: <https://uaf.edu/irb/training/>
- As this is a federally-funded project, data will be made public. However, no identifying information will be made public. Project staff will replace private identifiers with generic identifiers consisting of a number and letter combination and remove any identifying fields before posting data to the project website and CCHRC's Research Data System website (<http://www.cchrc.org/research-data-system>).

- Project data without private identifiers will be preserved for a minimum of 20 years on CCHRC-NREL's internal server. Raw project data in password-protected folders will be deleted within three years following the conclusion of the project.

It is not expected that the project will generate confidential new information other than the private identifiers discussed above. However, should such data be generated, it will be password-protected with access granted only to the necessary project team members. To obtain access, project team members will first sign an agreement that will state the nature of the confidentiality and any conditions under which it can be shared. The P.I. will be responsible for creation of the password-protected location and agreement.

### **III. Background IP**

This project will not utilize background IP.

### **IV. Foreground IP**

It is not anticipated that this project will generate any foreground IP. However, should foreground IP be generated by a project team member during the course of the project, the following policies will apply:

- The owner of the foreground IP is obligated to disclose the foreground IP to the project P.I. The P.I. will be responsible for disclosing the creation of IP to other team members, and for taking steps to protect the IP.
- All team members will be granted a limited license for research only to the foreground IP with the option to negotiate a broader license with the IP owner.

### **V. Publication and dissemination**

This project expects to publish and disseminate several reports and other materials.

The data, with private identifiers removed, will be made public during the course of the project in accordance with the Data Management Plan. This will occur regardless of any publication or outreach activities undertaken during or after the project.

Short outreach materials created during the ICE-Juneau project may include 1-page flyers advertising project activities, workshop presentations describing the project, and videos under 2 minutes. These materials will abide by the following:

- Materials do not need to contain individual names of authors or other team members.
- Materials should acknowledge the Department of Energy as the project funder.
- Materials should contain the logos of all current team members. In the case of a video or presentation, this can be accomplished via an acknowledgement slide.

- Materials should be made available for all current team members to review for a minimum time period of 5 business days. The project manager will be available to the material author to help facilitate this review if necessary.

Outreach materials of any length created during or after the ICE-Juneau project that are used to disseminate project results, best practices, and guidelines may include 1-4 page flyers or reports summarizing results and guidelines, project summary videos, workforce development educational materials such as presentation slides or handouts, conference presentations, and other materials. These materials will abide by the following:

- Materials do not need to contain individual names of authors or other team members.
- Materials should acknowledge the Department of Energy as the project funder.
- Materials should contain the logos of all current and past team members. In the case of a video or presentation, this can be accomplished via an acknowledgement slide.
- Materials should be made available for all current team members to review for a minimum time period of 10 business days. The project manager will be available to the material author to help facilitate this review if necessary during the project timeline.

Publications created during or after the ICE-Juneau project that are used to disseminate project results, best practices, and guidelines may include reports longer than 4 pages, programmatic guides, workbooks, or articles submitted for journal publication. These publications should abide by the following:

- Materials should contain the individual names of the authors.
- Materials should acknowledge the Department of Energy as the project funder.
- Materials should contain names of current and past organizations and individual team members who are not primary authors in an acknowledgment section.
- Materials should be made available for all current and past team members to review for a minimum time period of one calendar month. The project manager will be available to the material author to help facilitate this review if necessary during the project timeline.

Should project team members engage in any interviews with members of the media regarding the project they should abide by the following:

- Acknowledge the Department of Energy as the project funder.
- Acknowledge the project has several team members. If possible, they should list the current team members.
- Communicate to current team members that they participated in an interview within 5 business days.

## **VI. Commercialization efforts**

This project will not be developing technology for commercialization.

## **VII. Change of membership**

If a member joins the project team:

- They will not have access to foreground IP created before they joined the team.
- They will be obligated to abide by this Intellectual Property Management Plan, the U.S. Manufacturing Plan, and the Data Management Plan, especially in regards to policies concerning private data.

If a member leaves the project team (including when the team disbands at the close of the project):

- They will retain any limited license rights to foreground IP.
- They will remain obligated to abide by the team policies regarding confidential and private data.

## **VIII. Dispute resolution**

If there is a dispute between two members of the team related to IP, the resolution process will follow the steps outlined below:

- The members with the dispute should disclose the dispute to the P.I. of the project.
- The members with the dispute will attempt to resolve the dispute themselves within one month of notifying the P.I. The P.I. will support this process by providing project documents and if necessary, facilitating physical or virtual meeting space. The P.I. can also provide other resources as available and necessary.
- If the members are unable to resolve the dispute themselves, the P.I. will arrange for a dispute resolution meeting with a neutral arbitrator. This neutral arbitrator may be the President of the Cold Climate Housing Research Center (not a project team member) or a professional mediator.

## **IX. Government rights**

This plan will be consistent with the IP provisions of the EERE award. The project manager will be responsible for providing all team members with an updated Intellectual Property Management Plan after the award is executed which will include an attachment of the EERE award IP provisions.

Further, this plan is consistent and will remain so with the project's Data Management Plan and U.S. Manufacturing Plan.

## **X. List of team members**

This list of team members as of the current version of this document (August 2020) is as follows.

Lead

Cold Climate Housing Research Center- National Renewable Energy Laboratory

Research team members

Alaska Electric Light & Power

Information Insights, Inc.

Advisory team members

Alaska Heat Smart

Renewable Juneau

Southeast Alaska Building Industry Association

Environmental and Energy Study Institute

Panasonic Life Solutions Company

Rocky Mountain Institute

Past team members

None

**XI. Signature**

I certify that my organization has been provided with a copy of this Intellectual Property Management Plan, that I have read the plan, and agree to abide with the contents herein.

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

ORGANIZATION: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_