Title: **Macquarie University Intellectual Property Policy**	
MACQUARIE UNIVERSITY ~ SYDNEY AUSTRALIA **Final Policy**	Status: **Policy** Version: **3.1 Approved by Council - 20 October 2006** Document Caretaker: **Intellectual Property and Commercialisation Committee** Related Documents: ❑ Macquarie University Interim Intellectual Property Policy, Version 2.3 ❑ Macquarie University Intellectual Property Guidelines ❑ Commercial Opportunity Report (Form) ❑ Invention Disclosure (Form) Please check for the latest version of this document on the Research Office Website: www.research.mq.edu.au/research_policy/intellectual_property/policy

1. Introduction

The University has adopted this Intellectual Property Policy (**Policy**) which sets out how the University treats Intellectual Property of the University, members of the University community and third parties. The Policy, as updated from time to time, will also be incorporated into the employment contract between the University and all University Employees, as well as into service contracts, assignment agreements and other applicable contracts. As the Policy is updated it will specify clearly the date when it takes effect and will apply to all Intellectual Property created on or after the effective date. All Intellectual Property created prior to the effective date will be governed by the terms of the Policy in force at that time. If there is any inconsistency between this Policy and any employment contract, service contracts, assignment agreements and other applicable contracts, the terms of the documents that have been executed between the University and the relevant parties will prevail, to the extent of the inconsistency. There are other documents associated with this policy, for example disclosure documents and assignments, which are described in the Policy.

The development of this Policy has been guided by the "National Principles of Intellectual Property Management for Publicly Funded Research" prepared in 2001. This document can be found at http://www.arc.gov.au/grant_programs/national_ip.htm and a copy is attached to this Policy. It is a condition of funding from the Australian Research Council (**ARC**), the National Health & Medical Research Council (**NHMRC**) and other research funding agencies that the University observes the National Principles.

Also guiding the development of the Policy have been the recommendations of the Commonwealth Department of Education, Science and Training (**DEST**) study, *'Analysis of the Legal Framework for Patent Ownership in Publicly Funded Research Institutions*' as endorsed by the Australian Vice-Chancellors Committee (**AVCC**), the ARC and the

NHMRC. The University is responsible for identifying, protecting and exploiting its Intellectual Property and suitably rewarding the creators of that Intellectual Property, in accordance with this Policy. To achieve this, the University must be able to demonstrate ownership of Intellectual Property rights, with the resulting ability to grant rights to third parties (such as developers or funding organisations) on a case-by-case basis.

In this document, words importing a gender include every other gender, and words in the singular include the plural, and words in the plural include the singular.

The Policy replaces all previous policies of the University in relation to Intellectual Property with effect from its effective date.

2. What is Intellectual Property?

Intellectual Property (**IP**) is a broad term for the various rights which the law gives for the protection of creative effort and especially for the protection of economic investment in creative effort. In 2001, the AVCC published a Policy and Good Practice Guide on the Ownership of Intellectual Property in Universities (**Guide**) (the Guide supersedes the AVCC's previous Guidelines on IP published in 1995 and 1993). The reader is referred to the Guide for a detailed review of Intellectual Property as it applies to the Australian Higher Education Sector. The Guide lists several items that are encompassed by the term Intellectual Property:

- Patents for inventions under the Australian Patents Act 1990, which may include products and processes;
- Copyright vesting by virtue of the Australian Copyright Act 1968 in literary works (including computer programs), dramatic works, musical works, artistic works, films, sound recordings, broadcasts, published editions and certain types of performances;
- Trademarks registered under the Australian Trade Marks Act 1995;
- Unregistered trade marks and names protected under common law or under s 52 of the Australian Trade Practices Act 1974;
- Designs registered under the Australian Designs Act 2003;
- New plant varieties under the Australian Plant Breeder's Rights Act 1994;
- Circuit layouts (computer chips) under the Circuit Layouts Act 1989;
- Confidential information, including trade secrets and know-how (protected by common law principles).

3. Definitions

In this Intellectual Property Policy, unless the context otherwise requires:

"Access Macquarie" means Access Macquarie Limited. Access Macquarie Limited (formerly Macquarie Research Ltd) is the commercial arm and a controlled entity of Macquarie University which facilitates and supports the commercial needs of industry, business and government seeking access to the academic expertise of the broader University community.

"Administration Material" is material that is created/generated by the administrative processes of the University, and includes all material that is not teaching or research.

“Associate” means any person other than a **University Employee** or **Student** of the University who takes part in any research project or scholarly activity that is conducted by any University Employee or Student of the University, or who visits any part of the University to conduct research, scholarship or any related activity during which time he or she creates Intellectual Property. Examples of Associates include; Adjuncts, Visiting Lecturers, Honorary staff, Emeritus Professors, Visiting Researchers, Persons employed to undertake research at the University via Access Macquarie, etc.

“Confidential Information” means all information of a confidential nature, and may include technical, proprietary and operational information, drawings, techniques, processes, know-how, trade secrets and other commercially valuable information of any kind.

“Course of Employment” generally, the University will consider that a University Employee has acted in the Course of Employment if the University Employee is performing the duties for which the University Employee has been engaged. In the case of the particular University Employee, this may include teaching duties, research, or the preparation of material for the University's use.

“Intellectual Property (IP)” includes all copyright and Teaching Materials and all rights in relation to inventions (including patent rights), registered and unregistered trademarks (including service marks), registered and unregistered designs, Confidential Information, and circuit layouts and all other intellectual property rights resulting from intellectual activity in the academic, industrial, scientific, literary and artistic fields recognised in domestic law anywhere in the world.

“Intellectual Property and Commercialisation Committee (IPCC)” is a University Committee responsible for the development of strategy and policy in the areas of Intellectual Property, innovation and commercialisation. It advises the Vice-Chancellor on strategic matters relating to the University’s Intellectual Property and the commercialisation thereof.

“Intellectual Property and Commercialisation Management Committee (IPCMC)” is a University Committee which manages the day-to-day Intellectual Property and commercialisation process and provides advice on these matters to the Director, Office of Business Development.

“Moral Rights” are a sub-category of rights set out in the *Copyright Act 1968* which protect the right of a creator of original copyright works and cinematograph films to be recognised as the creator of those works (the Right of Attribution) and to object to the derogatory treatment of those works (the Right of Integrity) and the right not to have someone else falsely attributed as the creator of those works (the Right of Protection Against False Attribution). Furthermore, moral rights vest in the creator irrespective of his/her employment status and the ownership of the copyright in the work.

“Scholarly Work” is work that includes any article, book, manual, musical composition, creative writing or like publication or any digital or electronic version of these that contains material written by an individual (University Employee, Student or Associate) based on that individual’s scholarship, learning or research, but does not include work that is a computer program, Teaching Material or Administration Material.

“Student” means any undergraduate, postgraduate or Non-Award student duly enrolled in the University, whether based on- or off-campus.

“Teaching Material” means all information, documents, materials or digital or electronic objects created or used for the purposes of teaching and education at the University and includes lecture notes that are made available to students, computer-generated presentations, course guides, overhead projector notes, examination scripts, examination marking guides, course data bases and websites, including personal teaching and lecture notes made available to students.

“University Employee” includes all persons appointed to the academic or general staff of the University who receive remuneration, whether they hold full-time, part-time or casual appointments.

4. Policy Objectives

This Intellectual Property Policy has the following objectives:

(a) to encourage innovation and the development of Intellectual Property;

(b) to appropriately protect the interests of University members, including University Employees, Students and Associates, while recognising the input and rights of the University;

(c) to protect the University's investment in the development of Intellectual Property assets while recognising the input of University Employees, Students and Associates;

(d) to maximise the return to the University community from potentially valuable Intellectual Property by appropriate commercialisation procedures (including establishing an optimal environment for research funding);

(e) to develop appreciation within the University community of significant issues in relation to Intellectual Property, including potential commercialisation, the need not to publicly disclose work until the IP has been appropriately protected, the need to avoid infringing the rights of third parties, and the need to maintain appropriate records on Intellectual Property development; and

(f) to be consistent with sound academic practice, the University's responsibilities, applicable legislative requirements, and legal principles.

5. Key Principles

This Intellectual Property Policy acknowledges the following basic principles:

(a) while the University encourages the results of research undertaken at or by the University to be published and made generally available, the University has the policy that its Intellectual Property should be protected and that commercial development and application of that Intellectual Property be appropriately pursued;

(b) unless the employment contract provides otherwise Intellectual Property created by a University Employee in their Course of Employment is the property of the University;

(c) the University will negotiate with any Associate, on a case-by-case basis, to commercialise and share on reasonable terms the benefits of any Intellectual Property developed by the Associate during their time working with the University;

(d) to assist with the commercialisation of Intellectual Property, in certain circumstances an Associate may be asked to assign her/his Intellectual Property to the University;

(e) all University Students enrolled in Higher Degree Research programs and University Students who are participating in commercially oriented projects are requested to assign their Intellectual Property rights to the University;

(f) it is intended that the Moral Rights of creators of works will be acknowledged and treated appropriately by the University;

(g) Confidential Information of the University must be treated with appropriate care by University Employees, Students and Associates; and

(h) Commercialisation of Intellectual Property will be undertaken with due regard to the rights of the creators and/or the owners of that Intellectual Property (see: this Policy, Section 11, “Rewards and Recognition”);

(i) Commercialisation of Intellectual Property will be undertaken with due regard to consultation and communication with the creators/owners of that Intellectual Property; and

(j) Commercialisation of Intellectual Property will take due recognition of any agreements between the University and any other party/parties.

6. Identification and Disclosure of Intellectual Property

When University Employees or Associates become aware of Intellectual Property, or potential Intellectual Property (which may be suitable for registration or commercialisation), developed by themselves, their team or a Student under their supervision, it is a requirement of the University that they notify the Intellectual Property and Commercialisation Management Committee immediately (the “disclosure notification” process).

Two reporting forms are available to help facilitate this disclosure to the University:

(i) the Commercial Opportunity Report, which should be used to inform the University of potential opportunities to commercialise Intellectual Property owned by the University or to create Intellectual Property for commercialisation (available here - http://www.research.mq.edu.au/research_policy/policy__and__procedures); and

(ii) the Invention Disclosure Form which should be used to detail more specifically any Intellectual Property created (available here - http://www.research.mq.edu.au/research_policy/policy__and__procedures).

6.1 Importance of correctly identifying contributors

It is crucial that creators of IP are correctly identified during the disclosure process. Intellectual Property protection may be lost if a creator is not correctly identified - for example, failure to name the correct inventors may invalidate a patent. In submitting the appropriate forms to the University in relation to Intellectual Property, University Employees, Associates and Students will be taken to have warranted and represented to the University that they have correctly and completely identified the creators to the creation of the Intellectual Property in question and the extent of each of their contributions.

A second reason that creators and the extent of their contribution to particular Intellectual Property must be correctly and completely identified arises from the University’s policies and procedures on the distribution of net proceeds/benefits arising from commercialisation of that Intellectual Property.

The University will, from time to time, conduct reviews and audits of potential and existing Intellectual Property.

6.2 Guidelines in relation to Confidential Information

The University wishes to impress upon all University Employees, Students and Associates the importance of protecting Confidential Information.

This is particularly important in the following contexts:

(a) for commercial projects and research that have results that may be protected by way of a patent or other form of registrable IP, successful protection may depend upon keeping the results or invention confidential until the patent (or other registrable IP) application has been lodged;

(b) one of the other forms of registrable IP referred to in (a) above is trademarks. If any trademarks are involved, the proposed trademarks should be kept confidential before any applications to register them are filed, as the priority for the registration of trademarks is generally determined by when the trademark applications were first filed;

(c) the University may develop valuable know-how which is not capable of being protected by patent or other forms of registrable IP, but which nevertheless has potential commercial benefits. This know-how can only be protected through observing comprehensive confidentiality restrictions; and

(d) in circumstances where University Employees, Students, and/or Associates become aware of Confidential Information concerning the University's strategic plans or other information that could affect he commercialisation of Intellectual Property, or where the University is contractually bound to keep confidential Confidential Information (whether the University's or a third party's).

Accordingly, all members of the University community (whether University Employees, Students or Associates) are required to maintain the confidentiality of Confidential Information.

Under certain circumstances University Employees, Students and/or Associates may be asked to enter into specific confidentiality agreements. Other persons (including any service providers or agents of the University) may also be asked to protect Confidential Information as part of their services agreements.

6.3 Respecting third party rights

Under this Policy, all members of the University community (University Employees, Students and/or Associates) are required to respect the rights of third parties in relation to Intellectual Property, and members may be required to provide necessary information, and otherwise co-operate in this process.

Respect for the rights of third parties may involve:

(a) correctly identifying the ownership of underlying material (or rights therein) for any new development;

(b) correctly acknowledging the contribution of third parties, including previous employers of University Employees, current employers for Students or other third parties;

(c) not infringing the Moral Rights of third parties; and

(d) not impinging upon the cultural, spiritual or other interests of indigenous peoples.

7. Ownership of Intellectual Property – University Employees

Intellectual Property created by University Employees in their Course of Employment is the property of the University.

In determining if any material created during the time of a University Employee's employment was created in the Course of that Employment the criteria used will include, but not be limited to, the following:

(a) whether resources of the University were used in the process, including office facilities and equipment;

(b) whether the University Employee created the material with the input of other University Employees, Students or Associates;

(c) whether the University Employee, in dealing with any external agency in relation to the material, was understood to be a representative of the University - for example by the use of University letterhead, or the use of University facilities for communication or production, or the use of University business cards, or the use of University titles; and

(d) whether the University Employee claimed pay for additional work or any in-kind payment for additional (over workload) work or other entitlements in respect of the creation of the material.

Where Intellectual Property created by a University Employee has not been created in the Course of Employment, the University Employee may still have obligations, such as fiduciary obligations, to the University in relation to such Intellectual Property. This may arise, for example, where the Intellectual Property has been created using University resources or through use of an opportunity provided by the University, or through the use of Intellectual Property belonging to the University. The University does not waive any rights it may have in relation to such Intellectual Property.

The University requires each University Employee to provide full and frank disclosure of any opportunities (to develop potential Intellectual Property) that may have arisen through the University Employee's employment.

Where University Employees work on personal projects (that is projects considered to be not part of their Course of Employment) the University encourages them to discuss those projects at an early stage with their academic supervisor or line manager, so as to assist in identifying whether any issues in relation to the ownership of Intellectual Property may arise (including any potential conflict of interest).

7.1 Existing University Employees

The University may contract with an existing University Employee for additional payment for a particular project beyond the scope of that University Employee's normal duties. The University takes the view that under this arrangement the individual remains an employee of the University.

For example, if a University Employee is asked to work on a project and is relieved of teaching duties, work on the project will be treated as being in the Course of Employment of the University Employee and not as a separate contract.

Any such arrangement will only be taken to fall outside of the employment relationship (such that the individual becomes a contractor or consultant, rather than a University Employee) if the arrangement is subject to a formal written contract.

7.2 Pre-existing Intellectual Property

A University Employee may consider that particular Intellectual Property was created by her/him before she/he joined the University. The University needs to ensure that it treats pre-existing Intellectual Property appropriately and does not claim rights that it does not have.

Accordingly, the University requires all University Employees, when they commence their employment with the University, to disclose to and thereby register with the University any pre-existing Intellectual Property developed by the University Employee before her/his employment with the University commenced, to the extent that she/he is legally and contractually permitted to do so.

As part of this process, University Employees are required to inform the University if that Intellectual Property is subject to any third party rights, for example the rights of the University Employee's previous employer, a publisher or a consultancy company.

Existing University Employees are also required to make a similar disclosure if they become aware that anything that they have developed is based on pre-existing or third party rights.

The University will assume that anything not so disclosed is Intellectual Property of the University, unless evidence to the contrary can be demonstrated.

7.3 Teaching Material

In relation to Teaching Materials:

(a) the University does not intend to prevent University Employees from using the skills they have developed during their Course of Employment, in any future employment; but

(b) any Teaching Materials, in any form, that have been developed as part of the Course of Employment of any University Employee will be owned by the University as the employer.

7.4 Scholarly Work

The University will not assert ownership of copyright in Scholarly Work created by University Employees, except under any of the following circumstances:

(a) where the Scholarly Work has been specifically commissioned by the University, including work commissioned as a result of contractual arrangements between the University and third parties;

(b) if the University agrees to assist with the publication or other commercial development of the Scholarly Work, the University will negotiate an appropriate distribution of all income arising from that process, including recovery of the University's costs.

(c) where the University is the publisher of a work, then the University will own the copyright in that work and any benefits arising therefrom;

(d) further to (c), where the University is a publisher under the Copyright Agency Limited (CAL) agreement the University shall retain ownership of that copyright and any entitlements to receive royalties under that agreement; and

(e) the University will retain ownership of any Intellectual Property associated with copyright, including the Rights of the University in Background Intellectual Property on which the work is based.

8. Ownership of Intellectual Property - Students

Generally, Students retain ownership of Intellectual Property created by them in the course of their study at the University.

However, Higher Degree Research Students, and in certain cases Bachelors Honours Students, will be requested to provide an assignment of Intellectual Property in the projects which they undertake or are associated with as Students. Students participating in commercially oriented projects or Students working on projects involving third parties will also be requested to provide an assignment of Intellectual Property in the projects which they undertake as Students. For further information on the rationale and justification for this process see the University's Website (http://www.research.mq.edu.au/research_policy/intellectual_property).

In all cases, these Students will retain ownership of copyright in their theses or other submissions (subject to the rights of the University or third parties in any underlying work or development on which the submission is based).

Students who assign their Intellectual Property to the University will be acknowledged as having the same rights (to the benefits of commercialisation) as University Employees.

8.1 Research assistants & other student employees

Students who are employed as research assistants or in other positions by the University will be treated on the same basis as other University Employees.

8.2 Other cases where the University will have rights in Intellectual Property developed by Students

The University may assert rights in Intellectual Property developed by a Student where a Student has used University facilities and/or resources.

Where the Intellectual Property developed by the Student is an adaptation of the University's Intellectual Property, then the University will retain its rights in any Intellectual Property owned by it and the University does not waive any rights that it may have in that regard.

8.3 Student placements with external institutions

The University actively encourages Students to participate in work or educational experiences with external institutions. Examples include Work Integrated Learning, Internships, Summer Work Experience and other Student placements. [Ownership in Intellectual Property developed by a Student while he/she is participating in a student placement with an external institution ("the host") is considered by the University to be owned by the Student and can be disposed of as they so determine.]

The University will not assert rights in such Intellectual Property unless:

(a) a specific contract has been negotiated to the contrary; or

(b) a Student has used substantial University resources; or

(c) a Student has used University Background Intellectual Property, or

(d) where the University supervisor has contributed substantially to the project.

Students uncertain of their rights in this matter should seek advice from the Office of the Deputy Vice-Chancellor (Research).

In all circumstances, the University will retain its rights in any Intellectual Property owned by it and the University does not waive any rights that it may have in the regard.

9. Ownership of Intellectual Property – Associates

While having due regard to an Associate's obligations to a third party, for example an employer, Macquarie University will negotiate with any Associate, on a case-by-case basis, to commercialise and share on reasonable terms the benefits of any Intellectual Property developed by the Associate during their time at the University.

In certain circumstances, to assist with the commercialisation of the Intellectual Property, Associates may be asked to assign their Intellectual Property rights to the University.

9.1 University requirements

Associates are required to disclose to the University any Intellectual Property identified as created while at, or working with, the University.

10. Commercialisation

10.1 Procedure

Upon receipt of a Commercial Opportunity Report or an Invention Disclosure Form, the Intellectual Property and Commercialisation Management Committee will examine the disclosure and, in conjunction with the creators of the IP, will determine if there is a favourable opportunity for commercialisation of the IP. As part of this process the Committee will take the necessary steps to ensure that the University has good title to the Intellectual Property (including any IP in any invention).

If it agrees to do so, the University (through the Intellectual Property and Commercialisation Management Committee) will then be responsible for managing the commercialisation process.

In general, management of individual Commercialisation projects will be undertaken by Access Macquarie.

Ownership of Intellectual Property will remain with the University, and it is the University that will enter into any subsequent licencing or assignment arrangements (see also Section 10.3 of this Policy).

The University encourages the relevant University Employees, Students and Associates to remain involved in the Commercialisation project.

10.2 Manner of commercialisation

There are several ways in which Intellectual Property may be commercialised, including licensing and/or the establishment of a spin-off company.

For further information refer to the Access Macquarie Website (www.access.mq.edu.au), or contact a member of Access Macquarie's staff.

10.3 Third parties

The University may have contractual agreements with third parties, such as Centres of Excellence, Cooperative Research Centres, the Commonwealth Science Industry Research Organisation, the Defence Science Technology Organisation, etc, which allow the Intellectual Property developed by an Employee or a Student to be commercialised by the third party (or at least that third party has first option of rights to commercialise).

Where a contractual agreement with a third party involves University Employees and/or Students, then the rights of those University Employees or Students with respect to Intellectual Property shall be determined by the conditions of that agreement.

11. Rewards and Recognition

11.1 General position

As a general position, the University will reward University Employees, Students and Associates who have created valuable Intellectual Property by sharing in the benefits arising therefrom. The reward system will be reviewed on a regular basis to ensure the congruence of the overall aims of the University in its commercialisation activities and the needs of individual creators.

In relation to financial rewards, the University will distribute any net proceeds from a commercialisation project as follows:

(a) it will first deduct its costs, including costs of registering and otherwise protecting the Intellectual Property (such as patenting expenses), costs of establishing the licensing arrangement or creating a company (including legal and valuation costs), external costs in commercialising the technology (such as marketing reports and business

planning), and repayment of any external investments. In some cases the University may need to retain an amount on account of forecast costs; and

(b) it will then, subject to any written agreement to the contrary, distribute the proceeds:

(i) 50% to be apportioned among all members of the University community who are the creators of the Intellectual Property that has been commercialised (and any other person agreed to between the University and the relevant members of the University community), in accordance with any agreement amongst them or, if there is no agreement, in shares in accordance with contributions as determined by the University; and

(ii) 50% to the University including the Division(s) or Office(s) involved.

The term "proceeds" in (b), above, may take the form of cash, holding shares (directly or indirectly), or other arrangements. It should be noted that, all other considerations being equal, while the University will endeavour to take account of the most effective tax regimes for the creators in each case, the primary driver will be deriving an arrangement that will facilitate a successful project outcome. The University does not provide taxation advice to individual members of the University community, who should obtain their own independent advice on such matters.

Non-financial rewards such as public and peer recognition will be facilitated through appropriate avenues such as the annual University Innovation Awards.

11.2 Commercialisation by individual developers

Where the decision is made by the University not to proceed with the protection or commercialisation of IP, or if a decision is made to cease commercialising at a later stage, the University will usually licence or assign the IP to the creators of the IP and permit the creators themselves the opportunity to seek external funding and commercial partners. Despite this, the University may require the right to recover any costs incurred by it in relation to the relevant IP and/or a share of commercial revenue from any such commercialisation and will negotiate this on a case-by-case basis with the creators.

12. Procedural aspects

12.1 Conflict of Interest

It is inevitable with commercialisation of research and teaching proposals that there may arise situations where a conflict of interest occurs; that is, where individuals may benefit personally from decisions made by the University in undertaking a commercial proposal.

Conflict of interest exists when a University Employee has a divided loyalty - i.e. when personal interests conflict with the University's interests. This may arise from the University Employee's affiliation, personal relationship or financial involvement with an organisation, person or entity where that University Employee (or the organisation, person or entity with whom the University Employee or has an affiliation, personal relationship or financial involvement) derives a personal benefit from a transaction whether that be by way of the provision of material or facilities, support of individuals through the provision of benefits (such as travel, gifts, entertainment, accommodation expenses, etc), or a direct or

indirect financial benefit. A University Employee must be free from influences of the kind described herein when dealing with persons or other organisations on behalf of the University, and therefore must always act for the benefit of the University.

Where a University Employee identifies an actual or potential conflict of interest he/she should:

i) disclose the actual or potential conflict of interest to the IPCMC immediately;

ii) remove himself/herself from any University decision process relating to the actual or potential conflict of interest and not attempt to influence the process in any way, whether directly or indirectly; and

iii) ensure that when an he/she is in University forums or committees dealing with the area of potential or actual conflict of interest that he/she discloses the conflict of interest and not participate in discussion about the subject of the potential or actual conflict of interest.

12.2 Dispute resolution

Any member of the University community who wishes to raise any dispute or difference of opinion about the application of this Policy may request a review of the issue by the Intellectual Property and Commercialisation Committee (details available at – http://www.research.mq.edu.au/research_policy/intellectual_property).

If the issue cannot be resolved by the IPCC, then the matter will be referred to the Vice-Chancellor.

12.3 Regular review of policy

This Policy will be regularly reviewed to ensure that it is up-to-date and that it addresses the needs of the members of the University community. The Policy, as amended from time to time, will be incorporated where applicable into documents, such as:

(a) Employment and services contracts;

(b) Licence agreements;

(c) Assignments of IP (e.g. by Students and Associates); and

(d) Disclosure documents,

with effect from its effective date. All Intellectual Property created prior to the effective date of a Policy will be governed by the terms of the Policy in force at that time.

If you would like to make a submission about the Policy, please contact the Intellectual Property and Commercialisation Committee.

INDEX

1. Introduction 1
2. What is Intellectual Property? 2
3. Definitions 2
4. Policy Objectives 5
5. Key Principles 5
6. Identification and Disclosure of Intellectual Property 6
   6.1 Importance of correctly identifying contributors 6
   6.2 Guidelines in relation to Confidential Information 6
   6.3 Respecting third party rights 7
7. Ownership of Intellectual Property – University Employees 8
   7.1 Existing University Employess 8
   7.2 Pre-existing Intellectual Property 9
   7.3 Teaching Material 9
   7.4 Scholarly Work 9
8. Ownership of Intellectual Property - Students 10
   8.1 Research assistants & other student employees 10
   8.2 Other cases where the University will have rights in Intellectual Property developed by students 10
   8.3 Student placements with external institutions 11
9. Ownership of Intellectual Property – Associates 11
   9.1 University requirements 11
10. Commercialisation 11
   10.1 Procedure 11
   10.2 Manner of commercialisation 12
11. Rewards and Recognition 12
   11.1 General position 12
   11.2 Commercialisation by individual developers 13
12. Procedural aspects 13
   12.1 Conflict of Interest 13
   12.2 Dispute resolution 14
   12.3 Regular review of policy 14