

# National College of Ireland Quality Assurance Handbook



11. Research

November 2018

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## 11.1. CONTEXT

As part of the National College of Ireland's (NCI) Institutional Strategy, it has committed to **'developing an active research and enterprise culture which supports the growth and development of Ireland's knowledge economy'** (Key Goal 5). In order to achieve this goal the College is fully committed to becoming a research active institution. The College is aware of national objectives for research and wishes to play a full part in helping to achieve these while recognising the important role that research has to play in informing the teaching and learning strategy of the institution.

As a small institution with maturing research development, NCI has a number of strengths both in terms of its flexibility due to its relatively small number of staff and its ability to create true multi-disciplinary teams to address issues of academic and national interest. Having stated this there are clear limitations inherent in our relative small size and limited research experience which require us to critically examine possible routes to expanding and extending our research capabilities.

It has long been recognised that it is neither desirable nor possible to have one single institute of higher education which excels in providing first class research across all disciplines. Indeed policy initiatives and funding around research has emphasised the need for Irish institutions to work in a multi-disciplinary collaborative manner in order to achieve economies of scale. The National College of Ireland, in developing its research strategy, is cognisant of this reality and while we have ambitious plans we recognise that these must be built upon sound foundations through working closely with both national and international partners.

The College is in a strong position to play an important research role in niche areas in which it has the expertise, experience and connectivity that can be leveraged to contribute to the **challenges of the knowledge economy in Ireland**. **Research enhances the College's** institutional standing, reputation and recognition as a third level educational institution. It also provides an opportunity to maximise funding and develop a broader set of relationships, including collaborative partnerships with other educational institutions, industry and other organisations. An active **research environment not only enriches the College's scholarly** endeavours but is also critical to underpinning the development of a thoughtful and robust Teaching & Learning Strategy which is in addition closely aligned to the Knowledge Transfer aspirations of the College. The College aims to ensure that there is a clear link between what we teach and what we research and that the new knowledge created is accessible to all interested stakeholders.

Research at National College of Ireland is regarded as a core activity which is embedded in the academic culture and which contributes to the overall mission of the College. The vision for research at the National College of Ireland is one which sees it as contributing to the **realisation of Ireland's full potential** as a knowledge-based economy. The delivery on this vision is through the development of a number of research active clusters. In doing so the Research Strategy is directly linked to and informs the Teaching and Learning and the Knowledge Transfer Strategies. The College is also committed to ensuring that learners from a diversity of backgrounds have access to education, at all levels including postgraduate research opportunities. The new Institutional Strategy continues this commitment.

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### 11.1.1 Process of Research Strategy Formulation

The institutional Research Strategy is developed by the Research Committee. A Research Committee was convened in 2007 with the purpose of reviewing the Institutional Strategy and identifying potential strategic opportunities for the development of an integrated strategic College wide Research Strategy. The Research Committee is comprised of representatives from each of the Schools, administrative staff, enterprise staff and is chaired by the VP Academic Affairs Research or nominee.

The Research Strategy is informed by the institutional strategy and by developments in the broader national and international education, research and knowledge transfer strategy space.

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### 11.1.2 NCI Research Strategy (2007 - 2014)

**The College's overall strategic objective in terms of its research strategy is 'to develop an internationally recognized research active college with a reputation for applied research'.** Please Note: The Research strategy is currently in re-development as of October 2018.

In order to achieve this objective it requires us to:

- Support creative enquiry to allow it to flourish through engagement in scholarly research, which is integrally linked with scholarship in learning and teaching (Linked to Institutional Strategic Goal 2).
- Support the aims and values of the National College of Ireland through scholarly research that address lifelong learning, access and social justice (Linked to Institutional Strategic Goals 1-5);
- Contribute to and inform the broader discourse on lifelong learning and skills development in the context of EU and national policies (Linked to Institutional Strategic Goals 1, 4).
- Increase the quality and quantity of research outputs (Linked to Institutional Strategic Goals 1-5).
- Provide excellence in research-based graduate education by delivering specialised courses relevant to the needs of a knowledge society (Linked to Institutional Strategic Goal 3).
- Establish and nurture strategic alliances and partnerships with other third level institutional partners (Linked to Institutional Strategic Goal 5).
- Develop and apply new models of access to learning in the workplace, classroom and community (Linked to Institutional Strategic Goal 1).
- Provide students at both undergraduate and postgraduate levels with access to scholars and researchers who actively contribute to extending the boundaries of knowledge and understanding (Linked to Institutional Strategic Goal 2)

The eight strategic research objectives outlined above are highly ambitious however they are realistic and critical to the continued growth and success of the National College of Ireland. In order to achieve these objectives a number of linked strategic actions are required which the College is fully committed to.

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### 11.1.3 Research by Faculty

NCI is committed to attracting, developing and retaining staff who are active researchers in their respective discipline(s). Accordingly, the College aims to provide all faculty with core research skills training to enable them to participate fully in the research agenda of the

College. We will encourage innovative research projects that attract high quality graduate learners and visiting scholars. In addition, the College has sought to recruit faculty with strong research profiles while also encouraging and supporting existing staff to undertake PhD's where appropriate.

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#### 11.1.4 Promoting Research Excellence

NCI is committed to promoting research excellence across all disciplines and amongst all faculty by recognizing, supporting and rewarding those members of faculty who make significant contributions towards the **College's** research agenda. We will provide faculty with greater professional fulfilment and balance between teaching and research and have initiated a number of schemes to support this aim namely; a new work load model, a seed fund for research, a fellowship scheme for excellence in teaching & learning. As part of this process the College will ensure that the enabling conditions and structures are in place to support researchers in the College.

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#### 11.1.5 Developing Research Clusters.

The College will focus its research on a small number of areas (or themes), given the limited resources and the need to play to existing strengths. Initial research will focus on;

- Learning and Teaching Innovation: including the use of technology to enhance learning, skills acquisition, literacies and learning in organisational, community and classroom contexts. This research cluster will also focus on the area of philosophy of social science specifically the interpretation of the philosophy to inform the teaching and research agenda of the College. The College will form strategic partnerships with other educational institutions, business and industry to enable this inquiry.
- Economic & Social Development: including macro and micro economics, finance and financial markets, enterprise, regional development and urban regeneration, social development and inclusion, social justice and ethics, social corporate responsibility and the advancement of women. The College will seek to ensure that the three Schools work in a collaborative manner with external partners to enable this inquiry.
- Marketing & International Business: including strategy, growth, consumer studies, marketing communication and competencies, technology advancement in the area of business and international trade and markets.
- Organisational Growth & Sustainability: including employment and working conditions, work life balance, industrial relations and partnership and effective management of change in public and private sector organisations.
- Psychology
- Developing Structured Graduate Research Programmes. NCI is aware of national policy with regard to research and regards the development of robust structured graduate research programmes as a pivotal support to achieving a knowledge based, **'Smart' economy. The College will actively seek to collaborate with other HEI's to develop a suite of programmes.**
- Building strategic collaborative partnerships. NCI will develop research partnerships with commercial and government organisations through the

development of common research projects. We will also focus on investigating and establishing strategic collaborative partnerships through both national and international collaborations with other academic institutions that are undertaking similar research.

- Promoting Knowledge Transfer through linking Teaching and Learning. The Knowledge Transfer and the Teaching and Learning Strategies are inextricably linked to the Research Strategy of the College. NCI will promote and embed a culture of knowledge transfer of research through teaching and learning to enhance the experience of students of the College and those who teach them. In addition we will seek out opportunities to extend policy, public and commercial awareness of NCI through access to our research, results and discussions as clearly articulated in the Knowledge Transfer Strategy document.

## 11.2. QUALITY ASSURANCE SYSTEM FOR RESEARCH

NCI aspires toward excellent standards of quality in all aspects of its research work. In order to promote such excellence of quality in its research activities, management of research activities are central to the work of the Schools and can be supported by the Research Office depending on resources. For this reason, All research projects will be expected to have strong academic support. Only projects for which the College has adequate resources will be undertaken.

### 11.1.5.1 Postgraduate Research

In accordance with the memorandum of agreement between NCI and Maynooth University, postgraduate research programmes are subject to the procedures of Maynooth University. All proposals of postgraduate research must also have the approval of the Research Committee and the Academic Council. Academic Council must approve each application for postgraduate degrees by research, having due regard to the following:

- Academic merit of the project
- The qualifications of the applicant
- The suitability of the supervisory arrangements
- The adequacy of resources
- Sufficient and adequate space
- Time commitment of the student (if part-time)

The **Registrar's Office** will maintain records for each registered postgraduate postgraduate research student and make those available to the Research Committee as required. A report from the relevant Vice Dean for Postgraduate Studies and Research will be prepared for the Research Committee which will include:

- List of projects, supervisors and postgraduate students including progress reports from supervisors
- List of presentations delivered by postgraduates and training events provided

- List of publications

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## 11.1.6 Research Management Structure in National College of Ireland

### 11.1.6.1 Academic Council

The Academic Council is responsible for assisting the Governing Body in the planning, co-ordination, development and overseeing of the educational work of the College and to protect, maintain and develop the academic standards of the programmes and activities of the College.

### 11.1.6.2 Research Committee

The Research Committee is a sub-committee of Academic Council and is responsible for the policies and governance of students enrolled for higher degrees by research. It is responsible for reporting on matters of admission, progress, termination and completion to Academic Council.

The committee is appointed by Academic Council and has general responsibility for the development and monitoring of the College's **policy**, regulations and procedures for research and advising the Academic Council on matters related to research.

It has particular responsibility for the following:

- Developing and administering the College's **regulations for postgraduate study by research** and the development of a research ethos within the College.
- Liaising with appropriate external institutions in matters relating to collaborative postgraduate research and development.
- Keeping the procedures for monitoring the standard of postgraduate awards under review.
- Approving courses developed by academic centres in research techniques and management and to foster a culture of commitment to research & development within National College of Ireland.
- Promoting participation in research and postgraduate development as part of staff professional development, particularly with regard to the acquisition of higher degrees through research and shall advise on measures to facilitate access to research & development by staff members
- Assisting in the establishment and maintenance of internal standards of research which are consistent with national and international standards and shall review research activities for compliance with College research strategies.
- Facilitating working relationships with other national and international higher education, professional institutes, relevant state bodies, Government departments, and private sector bodies and companies to provide support for Research and Development.
- Encouraging, promoting and reviewing intra and inter-school/departmental initiatives in research and postgraduate studies.



- Developing and monitoring College policy in relation to the intellectual property, patents, copyright and trademarks, technology transfer, campus companies, consultancy and commercial exploitation of research generally.
- Establishing sub-committees and working parties. In the case of sub-committees and working parties whose members may be from outside the College, Academic Council should be notified.
- Recommending to Academic Council new students on the basis of application before committee. This should include consideration of funding, resources and supervision.

The Chairperson, or their designated nominee, shall be responsible for reporting the decisions/views of the sub-committee to the Academic Council and for transmitting the relevant decisions and views of the Academic Council to the sub-committee.

The committee shall meet at least twice per semester and at such other times as may be required.

### Membership

- Vice President Research and Graduate Studies (Chair)
- Registrar
- Representative of Research Office
- Director of the Centre for Research & Innovation in Learning & Teaching
- Heads of Schools
- Finance Officer
- 3 Faculty members, 1 of whom shall sit on Academic Council and 2 others as selected from each School
- Librarian
- Director of Learner Life
- Director of Quality Assurance and Statistical Services
- 1 full time learner representative
- 1 part-time learner representative

#### 11.1.6.3 Ethics Sub-Committee

The Ethics Sub-Committee is attached to the Research Committee. Its responsibilities include:

- developing a Code of Practice for dealing with allegations of research misconduct
- developing, implementing and evaluating operational structures for research ethics approval within the College
- developing and promoting guidelines of good practice in research ethics within the College
- acting as the final body of appeal and final decision on any disputed matter concerning research ethics and governance.
- promoting awareness of all aspects of governance and ethics among the College community
- Considering proposals for faculty, staff and student research on human subjects

Members of the Ethics Sub-Committee include:

- Deans of Schools
- Vice Dean for Postgraduate Programmes & Research (Chair)
- Vice Dean for Academic Programmes & Research
- Head of Cloud Competency Centre
- Director Centre for Research & Innovation in Learning & Teaching
- External Representatives
- Faculty members of Research Committee

The Ethics Sub-Committee will meet at least once per semester. A calendar of meetings will be published to which researchers should plan submission of proposals. It is recognised that due to the nature of some research, it may be required to consider applications outside of this calendar. **In these cases, the researcher should request a meeting with two weeks' notice.**

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#### 11.1.7 Intellectual Property Advisory Committee

The Intellectual Property Advisory Committee (IPAC) is involved in:

- The identification of intellectual property (IP) and evaluation of commercial potential.
- Appointing experts to review the IP.
- Determining IP agreements with industry regarding collaborative research projects.
- Facilitating a fair and equitable return to those involved in commercialisation of their research/work.
- Nominating negotiators with third parties and ensuring a reasonable financial return to the personnel involved (where appropriate) and to NCI.
- Protection of intellectual property including processing of patent, registered design and trade mark applications with the assistance of patent attorneys and other professionals where appropriate.
- The formulation and implementation of strategies for commercialisation in a timely manner and in partnership with the inventor(s).
- Negotiating assignments and licences, options for licences or other commercial arrangements with third parties to assist in producing a financial return to the creators of the intellectual property and NCI. In this regard, consideration will be given to the need for NCI to retain access to know-how and research material for on-going research purposes.
- Assisting in the marketing and business support of NCI Intellectual Property for commercialisation.

The IPAC shall be a sub-committee of the Research Committee consisting of the following members:

- Director of Research/Chair of the Research Committee
- School of Business representative
- School of Computing representative
- Commercial Manager

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### 11.1.8 Supervisory Committee

**The learner's Supervisory Committee comprises a Primary Supervisor and up to two Secondary Supervisors.** The Head of School appoints the Primary Supervisor with the other members of the committee selected in consultation with the Primary Supervisor and learner. The Primary Supervisor is the chairman of the committee and the Secondary Supervisor(s) provide additional advice to the learner in their area of research. A Primary Supervisor may supervise **up to four research learners, depending on the individual's teaching load.**

The Primary Supervisor will normally be a faculty member of the School in which the award is being made, must hold a doctorate. Normally, the Primary Supervisor will have previously completed a PhD to completion. In the case of the Primary Supervisor not having supervised a PhD to completion, an Secondary Supervisor must have supervised a PhD to completion.

The Secondary Supervisor(s) may be either NCI faculty members or from another academic institution, industry or appropriate area. All Secondary Supervisors must provide evidence of relevant research experience and the Head of School will decide on whether they have the appropriate background. The supervisory committee is responsible for the quality and rigour of the supervisory process and supporting the intellectual and professional development of the learner

All supervisors will be required to attend a two day intensive programme as delivered by the College. Those who have supervised doctorate to completion or have already completed such a programme may be exempted. Inexperienced faculty will be teamed-up with an experienced mentor with supervisory experience of PhD completions.

Supervisory committees in the School of Computing will be required to have an appropriate mix of technology and education expertise represented on the Committee.

#### 11.1.8.1 Research Office

The Research Office at NCI, which is led by the Vice President for Academic Affairs & Research, **provides support to faculty and postgraduate researchers. The office's core activities are** focussed on providing services to researchers, supporting research commercialisation and technology transfer, and graduate learners.

- Maintains a catalogue of research granting agencies and their requirements for proposals
- Co-ordinates and prepares major institutional research proposals to national and European funding agencies
- Provides administrative support on research grant applications and maintain a record of funded project applications and awards
- Liaises with the Finance Office and HR to develop procedures for handling research application and post-contract management of research projects
- Liaises with industry and agencies at both national and international level in association with ICELT and Schools

- Maintains high standards of ethical conduct and financial accountability in research
- Graduate Studies
- Maintains a record of registered research learners including project titles, supervisors, progress reports, supervisor comments, presentations, publications, funding, publications, prizes and awards
- Participates in internal committees as required, including the Research Committee (Academic Council)
- Informs Academic Council and HETAC annually, by 31st October, that candidates are still actively engaged in their research programmes and maintaining adequate contact with their supervisor(s)
- Promotes collaboration between the College and other research organisations
- Represents the College's interest in research policy forums
- Informs faculty and postgraduate learners of research seminars, research training modules, and workshops
- Assists with programmes and events to raise the research profile of NCI and assist in the recruitment of postgraduate learners of an exceptional standard, both in Ireland and internationally
- Commercialisation & Technology Transfer
- Provides information on intellectual property and patent applications
- Advises on technology licensing and partnership agreement between the College and industry or other third level institutions (following guidance)
- Promotes the effective commercialisation of research by protecting and exploiting IP generated in the College (Technology Transfer)
- Assists the incubation centre (ICELT) and Schools to encourage and facilitate interaction between industry and researchers in the College and encourage companies to engage in R&D projects relevant to the College expertise.

### 11.3. POSTGRADUATE RESEARCH PROGRAMMES

Postgraduate research programmes are offered in collaboration with Maynooth University. All programmes are subject to the policies and procedures of Maynooth University as published at <https://www.maynoothuniversity.ie/university-policies/academic-policies-procedures>

These include:

- [Route of Progression Research Masters](#)
- [PhD regulations \(Sept 2016\)](#)
- [PhD by publication \(Sept 2016\)](#)
- [Roles and responsibilities](#)
- [Guidelines for development of Dual Joint Research Programmes - February 2015](#)
- [Degree of Doctor](#)
- [European Doctorate - February 2015](#)
- [MA Regulations - February 2015](#)

- [MSc Regulations - February 2015](#)
- [Code of practice, Viva voce examinations \(December 2017\)](#)

The following research degrees are awarded to National College of Ireland postgraduate research graduates by Maynooth University:

- MLitt
- PhD

Failure to progress during the programme or failure to pass the PhD Viva may result in the **granting of an exit award at Master's level or the granting of no award.**

The PhD programme(s) will be governed by Maynooth University regulations. The taught modules of the Approved Programmes will be taught at agreed locations by suitably qualified NCI and Maynooth University staff members who will be subject to NCI and Maynooth **University's quality assurance procedures.**

The language of instruction and assessment will be English.

Printed and electronic information issued by Maynooth University or NCI concerning the programme of study and the award Maynooth Universityst receive the prior approval of the Maynooth University Graduate School. Any marketing information will require the prior approval of Maynooth University Graduate School.

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#### 11.1.9 Admission and Registration

Postgraduate research students who registered prior to September 2015 are subject to legacy quality assurance procedures available [here](#). This policy and associated procedures are effective from January 2019.

Admission to research programmes will be achieved via normal Maynooth University PhD admissions processes. These are managed at the department level and require the confirmation of a supervisor at both Maynooth University and NCI.

NCI and Maynooth University will recognise those who meet the entrance requirements of the relevant Maynooth University department as suitably qualified to register for the Approved Programmes. Applicants will apply to the relevant Maynooth University department through the PAC application system. The decision to admit a student will be made by the Maynooth University Departmental Research Committee.

Participants on research programmes of study shall be registered as students of NCI and Maynooth University. Registered students will have access to Maynooth University and NCI information systems and will be subject to all Maynooth University and NCI Student Regulations, including those that govern their use of library, IT and electronic materials.

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### 11.1.10 Supervisory Process

Supervision of postgraduate research students is set out in the Maynooth University manual and is designed to ensure that postgraduate research students receive adequate direction to learn advanced research methods and to facilitate the successful completion of their degree. Supervisors may only supervise a maximum of four research students at any one time.

The Primary Supervisor will be primarily responsible for regular supervision. The supervisory committee will comprise up to two Secondary Supervisors and shall be agreed by Academic Council. The replacement or substitution of a supervisor on any grounds requires the prior approval of Academic Council, or its nominee, usually the Vice President for Research and Graduate Studies.

There are a number of issues that may arise in the programme of a research study that require expert guidance from the supervisor. The Primary Supervisor and student should at all times maintain a good working relationship. The relationship requires that the Primary Supervisor:

- Establish and maintain a relationship of trust in which the responsibilities and expectations of both the Primary Supervisor and the student are clearly outlined and discussed at the outset of the research
- Implement best practice in the supervisory practice, including the use of the supervisory committee
- Provide monitoring, assessment and written feedback on a regular basis to the student
- Ensure that progress reports are completed with the student and returned at the end of each semester to the Research Office
- Make an annual report on the progress of each student to the Research Office, detailing satisfaction with progress to date, the research plan for the forthcoming year, as agreed by the research student and the supervisor
- Identify with the student their training needs and supporting the provision of educational and training programmes
- Help students with networking and providing advice on professional academic development, including encouraging students to attend academic conferences and training workshops
- Brief students on academic rules and regulations
- **Ensure that the student is aware of NCI's policies** on ethics and intellectual property and is aware of any commercialisation opportunities that may arise out of the research
- Advice in the preparation of the dissertation and preparation for the viva voce examination process
- Advise on issues related to the publication of research results, including authorship, scholarly journals and other associated issues

#### 11.1.10.1 Supervision of Students

Supervisors will be appointed in accordance with Maynooth University policy and procedures. All students will be co-supervised by staff at NCI and Maynooth University whose qualifications conform to Maynooth University regulations for doctoral supervision. Current Maynooth University regulations, as of 1 September 2018, and subject to periodic updating, state that:

Generally, supervisors are permanent academic members of staff. However, full-time temporary academic staff (with at least a three-year contact), qualified to PhD level and suitably experienced, may undertake supervision of PhD with the approval of the Head of Department.

Qualified NCI faculty will be appointed as co-supervisor for students recruited to the PhD programme under this agreement.

The supervision of students and progression assessment of PhD students will be undertaken in accordance with Maynooth University policy and procedures. This includes but is not limited to: initial attendance at Maynooth University Research Student Induction, submission of the Initial Meeting Record to Graduate Studies, and the Annual Progression Reporting process.

### Primary Supervisor's Duties in Respect of Students

The Primary Supervisor should be familiar with, and seek to ensure that the student is familiar with the administrative structures and processes of the University relevant to research **applications as outlined in "Route of Progression through the Structured PhD Programme"**. In particular, they should:

- Ensure that the student is aware and agrees to Maynooth University regulations and policies as outlined in:
  - University safety policy
  - Ethical review and research integrity policy: authorship and publication guidelines
  - Other relevant policies
- Whenever possible prior to enrolment, discuss with the student the nature of the research and the standards appropriate for the degree and negotiate an agreed research topic. A topic Maynooth University must be chosen which enables research embodying new knowledge at a level appropriate to the degree to be completed in the specified time. The experience of the supervisor is an essential element in choosing the topic and it is the **supervisor's responsibility to seek to ensure that the topic is appropriate.**
- Give guidance about the nature of research and the standard expected, about the planning of the research programme and presentation of a research proposal, about literature research and appropriate courses to attend.
- Assist the student with planning. The supervisor should ensure that accurate information regarding his/her own research and professional/administrative leave, any retirement plans and contract duration throughout period of **the student's project** is given to the student
- Maintain contact through regular supervisory meetings with the student; request regular written work or results of research to date. Return such reports in reasonable time with comments as necessary.
- Seek to ensure progress of the student is evaluated annually as outlined in the departmental handbook.
- Seek to ensure that the work reported in the dissertation is the student's own.

- **If the supervisor feels obliged to recommend a student's studies be discontinued** because of unsatisfactory progress, he/she Maynooth Universityst make this recommendation to the Head of Department/Departmental Supervisory Committee who will inform the student accordingly.
- Encourage the publication of the results of the research where appropriate, provided that any relevant published work is coherently incorporated into the thesis.
- Assist and advise on career path and professional opportunities.
- Facilitate the student meeting other researchers and encourage attendance at research seminars, meetings or conferences as appropriate.
- Seek to ensure that the student is aware of all relevant funding opportunities open to them and actively encourage the student to apply.

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#### 11.1.11 Managerial Responsibility for Postgraduate Research Students

In addition to the responsibilities of the Primary Supervisor outlined above, the following offices and individuals have particular responsibilities at different stages of a postgraduate **student's Research Degree programme.**

##### 11.1.11.1 Responsibilities of the College to Postgraduate Researchers

It is the responsibility of NCI to provide:

- An appropriate intellectual and social environment for researchers
- An opportunity to develop critical and analytical thinking
- Training in research methods, supervision methods and emerging technologies as they relate to research and research dissemination
- Adequate facilities, including library resources, computing resources and necessary software, postgraduate room, postgraduate research seminar series and use of NCI internet and intranet.
- Academic supervision and support
- Efficient administration
- Fair treatment
- Understandable regulations
- Effective grievance, complaints and appeal procedures as laid out in the current Learner Handbook
- Nationally and internationally accepted qualifications

##### 11.1.11.2 Responsibilities of the Deans of School

In terms of research degrees, the Dean of School is responsible for:

- Promoting an equal opportunity research culture



- Planning for the provision of and approval to use the school resources for research development
- Ensuring supervision guidelines are followed
- Ensuring continuity of supervision is provided for in the event of staff changes
- Ensuring that general College policies are adhered to by researchers and postgraduate postgraduate research students
- Determining the workload of a staff member and the extent of their involvement in research supervision
- Arranging appropriate staff development for all academic staff in the school to promote best practice in research supervision
- Setting up arrangements for the supervision of postgraduate students
- Ensuring that proposed research topics are within the **supervisor's field of competence**
- Recommending the appointment of the research advisor, primary supervisor and the supervisory committee to the Research Committee
- Being fully conversant with the College's **Postgraduate Research Policy and Procedures** manual

#### 11.1.11.3 Responsibilities of Postgraduate Research Student

For the duration of their enrolment on a Research Degree programme, the postgraduate student is responsible for:

- Completing all courses, readings, examinations and submissions as required in the postgraduate research student handbook
- Agreeing a plan of action with their supervisor. The plan should provide for:
  - A technical report on an annual basis
  - A progress report each semester. Progress report forms are sent by the Research Office direct to the postgraduate research student one month prior to the due date
  - Deliver a seminar on an annual basis
- Ensuring the progress of their work in accordance with this plan, alteration to the plan should be agreed with the supervisor
- Arranging for regular meetings with their supervisor
- Taking the initiative in raising problems or difficulties with the supervisor
- Taking note of and respond to criticism of submitted work made by the supervisor
- Submitting final thesis for examination

Students who feel that their work is not progressing satisfactorily for reasons beyond their control should, in the first instance, bring this to the attention of their supervisor. If they feel that this programme of action is not appropriate or open to them, they should consult the Head of School and Research Office

#### 11.1.11.4 Responsibilities of the Research Office and the Research Committee

For the duration of the **postgraduate student's Research Degree**, the Research Office and Research Committee are responsible for:

- Assigning primary supervisor and supervisory committee members for the postgraduate research students following recommendation by Primary Supervisor/school
- Ensuring that the conditions for acceptance have been met
- Preparing annual report on current postgraduate research students and liaise with the Graduate Studies Office at Maynooth University as required
- Being fully conversant with the College's **Postgraduate Research Policy and Procedures** manual
- Advertising and providing information about research opportunities to postgraduate applicants
- Ensuring that postgraduate research students and staff partaking in research are fully aware of the College's **research code of good practice**
- Administering selection, admission, registration and enrolment procedures for postgraduate students with the Director of Student Services as agreed with Maynooth University
- Keeping records of all administrative arrangements for postgraduate students

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#### 11.1.12 Academic Standards and Assessment

Maynooth University will be responsible for ensuring the quality of the assessment of **students' work and for the academic standard of awards made in its name through its** Departmental Research Progression Committees, examination boards and faculty approval of examiners processes.

The PhD programme will be examined and assessed in accordance with the examining procedures, academic standards, grade criteria, grading scheme and assessment methods approved by Maynooth University. The PhD thesis will be examined by internal and external examiners appointed by the relevant Maynooth University department head (with input from supervisors at Maynooth University and NCI) and approved by Maynooth University faculty.

**Maynooth University's appeals procedures** will govern students registered on research programmes of study.

Maynooth University staff will present results for students registered on Approved Programmes under this agreement to the relevant Maynooth University exam boards. Maynooth University will issue award certificates to students who successfully complete research programmes. The certificates will identify the award and the awarding institution as Maynooth University. The certificate will include the logo of National College of Ireland. Maynooth University will issue the Diploma Supplement. The Diploma Supplement provides additional information regarding the award which is not available on the official Maynooth University parchment.

Students who have successfully completed the programme will be invited to attend a graduation ceremony at Maynooth University. They may also be invited to attend NCI graduation ceremonies.

The research programme(s) will be governed by the quality assurance procedures set out in the NCI Quality Assurance Handbook and Maynooth University Quality Assurance Handbook and as updated from time to time.

NCI faculty appointed as co-supervisors to students recruited under this agreement will be considered as members of the relevant committees of the relevant Maynooth University departments and have the same duties, rights and obligations as co-supervisors appointed by Maynooth University.

In the event of a staff grievance or complaint, the grievance or complaints policy of their employing institution shall apply. In the event of a student grievance or complaint, the Maynooth University grievance or complaints policy shall apply.

The Vice President for Academic Affairs & Research at NCI will meet the Maynooth University Dean of Graduate Studies (or nominated representative to be advised in writing by both parties) at least once each year to discuss relevant issues. The agenda of these meetings may include items that may be required to assure the quality of the PhD programme and its delivery in accordance with this Agreement.

The Vice President for Academic Affairs & Research at NCI will provide a programme monitoring report, based on the existing Maynooth University processes, to the Maynooth University Dean of Graduate Studies and to the Academic Policy and Standards Committee of NCI. **Maynooth University may appoint a representative to NCI's Research Committee.**

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#### 11.1.14 Protection of Learners - Cessation of Programmes

**It is National College of Ireland's policy that should a programme commence, it will be offered to completion for the specific intake of students. In the case of postgraduate research students, students will transfer to Maynooth University.**

### 11.4. CODE OF CONDUCT FOR RESEARCHERS

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#### 11.1.15 Introduction

All researchers in NCI must be committed to the highest standards of professional conduct. Researchers have a duty to ensure that their work enhances the good name of the College and the profession to which they belong.

Researchers should participate only in work which conforms to accepted ethical standards and which they are competent to perform. All academic debates or disputes relating to research and publications should be carried out in a respectful manner so that there will be no harm to the reputation of individuals or of the College

The College has a responsibility to ensure the health and safety of all those associated with research initiatives. Any breaches of regulations by students will be dealt with by the Disciplinary Process. Breaches by staff members will be dealt with by the Staff Disciplinary process.

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#### 11.1.16 Data

If data of a confidential nature is obtained during the research process, confidentiality Maynooth University must be observed and research workers Maynooth University must not use such information for their own personal advantage or that of a third party.

Data, including all forms of primary research materials, must be recorded or retained in a durable and appropriately referenced form and held for a period of at least five years to protect the researcher and the College in case of an allegation of falsification of data.

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#### 11.1.17 Publication and Authorship

Where there is more than one author of a publication, it will be presumed that they are jointly responsible for the content of the publication. The minimum requirement for joint authorship is participation in conceiving, executing or interpreting the research.

Authors must ensure that the work of research students, research assistants and technicians is acknowledged. Publication of multiple papers by the same author(s) based on the same materials or set of data is improper unless there is full cross-referencing.

Plagiarism and falsification of research results are regarded as serious disciplinary matters. If such acts occur the student(s) will be invited to attend a Disciplinary Committee as laid out under the Code of Discipline.

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#### 11.1.18 Conflict of Interest

Researchers should disclose any affiliation with, or financial involvement in, any organisation or entity with a direct interest in the subject matter or the provision of materials for the research. This should be submitted in writing to the Research Office who in turn will forward the information to the Registrar.

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#### 11.1.19 Copyright and Intellectual Property Rights

The candidate owns the copyright of the dissertation, as it is the work of the candidate.

Rights associated with any other work in which copyright may subsist, ownership of the intellectual property arising in the programme of the preparation of same, including renewal rights of every nature and patent rights in respect of any relevant products or processes Maynooth University may be agreed between the candidate and the College through the Research Office at the commencement of the research programme, if necessary in the form of a legally binding agreement. This may be modified or extended during the progress of the research work.

The policy on intellectual property is documented in Appendix 1 (see Section 11.5 below).

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#### 11.1.20 Confidentiality

Researchers should be aware of the possible conflict between the researchers desire to publish and data obtained from within or outside the organisation. If considered appropriate a confidentiality agreement should be drawn up before commencement of research contact the Research Office.

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#### 11.1.21 Other Considerations for Researchers

Researchers must be aware and take into consideration particular legal, ethical and confidentiality issues which may arise in the process of undertaking research. Learners should take note of such College policies pertaining to good practice in research and should consult with the Research Office in instances where assistance is required.

All learners involved in postgraduate research are obliged to observe the college's policies and procedures in relation to:

- Plagiarism
- Best practice in the conduct of research
- Equality of opportunity
- Sexual harassment

- Data protection
- Health and safety
- Use of Information technology facilities

All other policies and procedures developed in the future by the College, which will be made available to faculty and research learners on the College web page and learner handbook.



As part of the National College of Ireland's Institutional Strategy, it has committed to 'developing an active research and enterprise culture which supports the growth and development of Ireland's knowledge economy'. The College is aware of national objectives for research and wishes to play a full part in helping to achieve these while recognising the important role that research has to play in informing the teaching and learning strategy of the institution.

Appendix 11 describes a summary of the IP principles as approved by the NCI executive board in conjunction with solicitors at Gallen Alliance.

As a small institution at the early stages of research development, NCI has a number of strengths both in terms of its flexibility due to its relatively small number of staff and its ability to create true multi-disciplinary teams to address issues of academic and national interest.

Research at National College of Ireland is regarded as a core activity which is embedded in the academic culture and which contributes to the overall mission of the College. The vision for research at the National College of Ireland is one which sees it as contributing to the **realisation of Ireland's full potential as a knowledge**-based economy. The delivery on this vision is through the development of a number of research active clusters. In doing so the Research Strategy is directly linked to and informs the Teaching and Learning and the Knowledge Transfer Strategies. The College is also committed to ensuring that learners from a diversity of backgrounds have access to education, at all levels including postgraduate research opportunities. The new Institutional Strategy reflects this commitment.

This document contains the updated policy and procedures relating to NCI's **intellectual** property. In accordance with accepted International Best Practice, it sets out the policy and rules that govern the creation, ownership and commercialisation of intellectual property developed by NCI staff, students and others participating in educational programmes carried out for NCI or undertaken using NCI facilities, know-how, confidential information or intellectual property. This policy does not apply to companies that use NCI facilities on a commercial basis for example a company that uses the usability lab using Enterprise Ireland innovation vouchers is exempt from this policy. The Policy is intended to actively support the commercialisation of Intellectual Property in a manner which ensures maximum benefit to society and the Irish economy, while providing significant financial reward and recognition for the creator of the intellectual property, NCI and where appropriate, the sponsor of the research.

NCI encourages the commercialisation of Intellectual Property through a support programme and a share of the resulting income to the creators of such intellectual property.

This document builds on the National College of Irelands Research and Knowledge Transfer Strategy and the Intellectual Policy as described in the National College of Irelands Research Strategy, 2007-2014. In addition this document strives to take account of the changes in legislation including the Copyright and Related Rights Act, 2000 and related policies such as



National Codes of Practice and the Funding Agency guidelines for management and commercialisation of intellectual property (Annex VI) as follows:

Irish Council for Science, Technology and Innovation (ICSTI) National Code of Practice for Managing Intellectual Property Arising from Publicly Funded Research, published in 2004.

Advisory Science Council National Code of Practice for Managing and Commercialising Intellectual Property Arising from Public-Private Collaborative Research, published in 2005.

Funding Agency Requirements and Guidelines for Managing Research-Generated Intellectual Property, February 2006.

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#### 11.1.23 Definitions

For the purposes of this document the following definitions apply

Intellectual Property Advisory Committee represents a sub-committee of the Research Committee.

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#### 11.1.24 Scope of Policy

The policy is applicable to NCI intellectual property that is owned by the college. The policy is applicable to NCI intellectual property that is created by NCI personnel. The policy is applicable to all schools, centres, and institutes affiliated to NCI.

Visiting lecturers, students and other personnel at NCI who have a prior existing and conflicting intellectual property arrangement with another employer or third party must enter into an agreement with the college (and their employer or relevant third party) (Appendix 3) to abide by the conditions of the policy in the course of their activities in NCI.

The college also welcomes the opportunity to consider for inclusion under this Intellectual Property Support Programme intellectual property which does not come under the definition of NCI intellectual property. In such cases the ownership of the intellectual property must be assigned to NCI.

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#### 11.1.25 Definition and Ownership

The Irish statutory provisions governing the ownership of intellectual property rights are described in Appendix 1.

As a general rule (and subject to the exceptions set out in the Policy) the rights to NCI Intellectual Property is the property of and vests solely and absolutely in NCI. NCI Intellectual Property includes any intellectual property in any materials and/or inventions created by academic, research and other NCI staff (full-time or part-time) in the course of their employment or by students in the course of their education by NCI or by consultants or others in the course of research, development, teaching, consultancy and other intellectual activity carried out for NCI. These personnel are collectively referred to as NCI personnel in this document. NCI Intellectual Property includes rights in any material, including any copyright (including rights in computer software and moral rights but subject to the exception set out below), patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information, rights in design, or other

intellectual property rights or other property rights, whether vested, contingent or future anywhere in the world. (A full definition of intellectual property is contained in Appendix 2). The Policy applies particularly but not exclusively to any intellectual property rights in materials and/or inventions which are created in whole or in part or caused to come into existence by NIC personnel:

- While undertaking normal or specifically assigned duties either when intellectual property could be reasonably expected to result from the carrying out of those duties and/or, at the time the intellectual property was developed, there was a special obligation on the creator of the intellectual **property to further NCI's interest;**
- **When using NCI's equipment, supplies, facilities or NCI's Assets.**
- **Using NCI's confidential information, trade secrets, know how or any of the intellectual property of NCI;** or
- In relation to any work performed for NCI (including pursuant to any third party funded research programmes).

Under the terms of the Copyright and Related Rights Act, 2000 NCI owns all copyright in works created by its employees in the course of their employment. In recognition of the unique position of NCI and in accordance with long-standing academic tradition, NCI does not and will not assert ownership of copyright in pedagogical works, scholarly publications, books or artistic works of its employees, regardless of the form of expression, unless there is a written agreement to the contrary.

This exception to NCI ownership of intellectual property does not extend to copyright in software or to database rights. NCI will not assign rights to the usage of teaching materials to any third party without the prior agreement of the author/creator. If there is an opportunity to exploit those materials/works with a party independent of NCI, then the commercial value of that exploitation will be shared between NCI and the author/creator in accordance with the policy on shared royalties.

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#### 11.1.26 Aims of Intellectual Property Policy and Procedures

The aim of the IP Policy and procedures are:

- To create an environment that supports and encourages staff, faculty and students to generate new knowledge and commercialise their research.
- To encourage the recognition and identification of IP within NCI and promote an entrepreneurial culture among its staff and students.
- To maximise the commercialisation of intellectual property arising from NCI research for the benefit of the economy and society.
- **To encourage public use and commercialisation of NCI's Intellectual Property by facilitating its transfer from NCI to industry and business.**

- To establish principles and procedures for the protection and commercialisation of NCI Intellectual Property and for sharing of royalty and other income.
- To provide genuine incentives/rewards and recognition for creators of intellectual property.
- To foster the general awareness of staff of this policy through dissemination and information campaigns, and to provide specific training to research active staff.
- To provide an incentive for NCI personnel and students to become involved in technology transfer.

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## 11.1.27 Support Programme

### 11.1.27.1 Director of Research

The Director of Research in NCI will be responsible for supporting the development and commercialisation of NCI Intellectual Property. All NCI Intellectual Property including inventions, software and other intellectual property that has commercial potential must be disclosed by NCI personnel on a timely basis to the College through the Director of Research. This function will be supported by the Intellectual Property Advisory Committee. The Director of Research is in charge of the administration of the activities set out in this IP Policy. The Director of Research shall:

- Be responsible for the day-to-day management of the IP Policy.
- Process IP applications.
- Have authority to externally communicate on matters of IP on behalf of NCI; and
- Manage internal communications regarding IP within NCI.
- Raise awareness of policy among researchers and staff
- Provide support to researchers on the NCI IP Policy and processes.

### 11.1.27.2 The Intellectual Property Advisory Committee

The intellectual property advisory committee shall be a sub-committee of the Research committee and shall consist of the following members:

- Director of Research/Chair of the Research Committee
- School of Business representative
- School of Computing representative
- Commercial Manager

The IPA Committee members will be required to sign a confidentiality agreement regarding proposals submitted and regarding the IP produced at NCI and passed to the Committee.

This will ensure that new ideas are protected. NCI reserves the right to alter the composition of this Committee.

The relevant NCI academic supervisor/project manager may be required to put forward a proposal to the IPA Committee regarding the IP on a project and may be requested to attend a Committee meeting, were appropriate.

Members of the IPA Committee will be required to declare their interest in a proposal if such exists and to absent themselves from any discussion pertaining thereto.

The commercial manager will be responsible for liaising with the technology transfer office to fulfil the duties of the technology transfer office in relation to each of the activities set out in this IP Policy including (without limitation) putting the decisions of the IPA Committee into effect.

#### 11.1.27.3 Role of the IPA Committee

Members of the IPA Committee will be involved in:

- Identification of intellectual property and evaluation of commercial potential.
- Appoint experts to review the IP.
- Determining IP agreements with industry regarding collaborative research projects.
- Facilitating a fair and equitable return to those involved in commercialisation of their research/work.
- Nominating negotiators with third parties and ensuring a reasonable financial return to the personnel involved (where appropriate) and to NCI.
- Protection of intellectual property including processing of patent, registered design and trade mark applications with the assistance of patent attorneys and other professionals where appropriate.
- The formulation and implementation of strategies for commercialisation in a timely manner and in partnership with the inventor(s).
- Negotiating assignments and licences, options for licences or other commercial arrangements with third parties to assist in producing a financial return to the creators of the intellectual property and NCI. In this regard, consideration will be given to the need for NCI to retain access to know-how and research material for on-going research purposes.
- Assist in the marketing and business support of NCI Intellectual Property for commercialisation.

#### 11.1.27.4 Role of the Commercial Manager and the Technology Transfer Office

The technology transfer office shall be outsourced and as such the commercial manager will be responsible for managing the relationship with the technology transfer office.

The Commercial Manager and the Technology Transfer Office is in charge of putting the decisions of the IPA Committee into effect. The Commercial Manager and the Technology Transfer Office shall:

- Provide information to researchers on potential funding avenues and appropriate business development programmes.
- Provide information on incubation facilities, advice and support for establishment and development of campus companies.

Subject always to the IPA Committee to which the Commercial Manager and the Technology Transfer Office will report as reasonably required by the IPA Committee and to which it will remain accountable.

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#### 11.1.28 General Provisions of NCI IP Policy

As a general rule subject to the exceptions set out in this IP Policy, any IP rights in or to any material/works created by Personnel in the course of their employment or education by NCI or in relation to work carried out for NCI is the property of and vests solely and absolutely in NCI or such companies or organisations as NCI may nominate for such purposes. Such material/works include, but are not limited to any:

- Copyright (including rights in computer software and moral rights);
- Patents;
- Design rights;
- Trademark rights;
- Brand rights;
- Database rights;
- Know how;
- Trade secrets;
- Confidential information rights in design;
- Or other intellectual property rights or other property rights, (whether vested, contingent or future anywhere in the world).

This applies to any IP developed by personnel which they cause to come into existence:

- During their time in NCI or if related to the College **personnel's job responsibilities**, even if he or she is not specifically requested to create it;
- When using **NCI's equipment, supplies, facilities or NCI Assets**;
- **During an individual's use of their personal time or own facilities if the basic nature of the work created is related to the individual's job**;

- Using NCI's confidential information, trade secrets, know how or any NCI IP; or
- In relation to any work performed for NCI (including pursuant to any third party funded research programmes).

At NCI's reasonable cost, Personnel also agree at any later time to execute any documentation or otherwise provide assistance to NCI to secure, protect, perfect or enforce **any of NCI's rights, title and interests in and to NCI IP.**

This IP Policy is applicable to IP that is owned by NCI, for (without limitation) any of the reasons outlined below:

- It is developed by personnel in the course of their normal or specifically assigned duties either when IP could reasonably be expected to result from the carrying out of those duties and/or, at the time the IP was developed, there was a special obligation on the relevant personnel to further the interest of NCI.
- Under the 2000 Act (as defined in Appendix 1 of this IP Policy), NCI is the first owner of any copyright in the work created by staff in the course of their employment unless precluded by a prior agreement between NCI and a third party (or as covered by section 11.1.28 of this IP Policy).
- The IP arises out of funded or non-funded research where such research has, in the opinion of NCI, made use of the equipment, facilities, NCI Assets and/or other resources of NCI (except where ownership of such IP was provided for in a prior agreement between NCI and third parties).
- If it is a condition of the appointment of a student to perform research, that NCI should have ownership of the IP arising from the research performed by such student.
- If it is a condition of the appointment of another Relevant Party to perform research that NCI should have ownership of the IP arising from the research performed by such Other Relevant Party.

IP arising from research or other work sponsored by an external organisation shall be subject to the IP provisions that are stipulated in the related agreement between NCI and the external organisation. Where such an agreement requires all new IP rights to be assigned to **a private company, the entry level (or "background") NCI IP should be defined so that it is not inadvertently assigned to the private company as part of the new IP (also described as "foreground IP" or "results") but is retained as NCI IP. All such research agreements should be reviewed by a legal person representing NCI.**

For the avoidance of doubt, where IP is generated from research that is 100% funded by monies provided directly by the State, or by any not-for-profit financial instrument which has been established by an organisation or individual, and awarded through a public service organisation charged with the granting and dissemination of research funds, this IP will be exclusively and absolutely owned by NCI and subject to the terms of the granting body.

The IP Policy also extends to Other Relevant Parties such as non-employees who participate in research projects at the college including visiting academics, industrial personnel etc. unless a specific waiver has been approved. Other Relevant Parties at NCI who have a prior existing and conflicting intellectual property agreement or arrangement with another employer or third party must enter into an agreement with NCI (and their employer or relevant third party) (see Appendix 10) to abide by the conditions of this IP Policy in the course of their activities in NCI. Other Relevant Parties should contact the IPA Committee to clarify any existing IP arrangements.

For the avoidance of doubt, NCI, in its sole discretion, may assign to inventor(s), by written instrument only, any IP owned by NCI, which NCI has determined not to be of commercial interest to it. Further, it is understood if NCI does not find a means of exploiting such IP within a three (3) year period after filing, then NCI has the right, but not the obligation, to assign ownership rights to the inventor(s). Requests for assignment to the inventor should be made to the Director of Research.

In order to enable the achievement of the aims and goals of this IP Policy, the IPA Committee will, through dissemination of information and the holding of general information sessions for personnel, foster the general awareness of personnel of this policy. In addition, the IPA Committee will provide specific training on this IP Policy and its day to day application and relevance to research active personnel.

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#### 11.1.29 Consultancy

Staff are permitted to engage in consultancy projects for third parties subject to compliance **with NCI's Consultancy Policy** and their contract of employment and subject to written approval by the President of NCI. Any such approved consultancies must be disclosed to the IPA Committee. This NCI Consultancy Policy is currently under development.

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#### 11.1.30 Intellectual Property Assignments and Patent Assignments

Intellectual property assignments and patent assignments apply to all the Colleges, Schools, Centres, Institutes, academic, research and other College staff (full time or part time), students, college consultants or any third party conducting research or other intellectual **activity using NCI's supplies, facilities**, NCI Assets, confidential information, trade secrets or existing intellectual property of NCI. This clause may continue after the individual ceases to be an NCI employee, student or consultant.

As a condition of employment as a college employee and as a condition of admission of every student, each staff member or student (as the case may be) shall comply with the Intellectual Property Policy and shall agree to assign to NCI (or a person or company designated by the College or an agency which provided the funding for the relevant research) any and all Intellectual Property created and produced or otherwise developed while the person was an employee or a student of the College.

When required by the specific circumstances of a project and on the request of the IPA Committee, a member of personnel will agree:

- a) To sign an Intellectual Property Assignment Agreement (see Appendix 8);
- b) To execute such documents of assignment or other documentation required to assign **or transfer IP and any moral rights to ensure, protect, perfect and enforce NCI's rights,** title and interest in NCI IP;
- c) To do anything that may reasonably be required to assist any assignee of any patent application or other IP to obtain, protect and maintain its rights, title and interest; and
- d) Shall use all reasonable endeavours to do or procure to be done all such further acts and things and to execute or procure the execution of all such other documents as may be reasonably required from time to time for the purpose of giving each party hereto the full benefit of the provisions of this IP Policy.

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#### 11.1.31 Research Financed by Third Parties

Any research which is partly or wholly financed by any third party agency shall be subject to the specific provisions of the grant or contract covering that research. In the event of any inconsistency between this IP Policy and the terms of any such grant or contract the provisions of the said grant or contract shall prevail provided that the IP clauses in such grant or contract have been reviewed by the Technology Transfer Officer (who may seek external advice if necessary) and, in the case of a contract, such contract has been properly executed by NCI.

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#### 11.1.32 Administration of the IP Policy

At NCI, the Director of Research will be responsible for supporting the development and commercialisation of NCI IP and this will be supported by the Technology Transfer Officer. The Technology Transfer Officer will ensure that appropriate IP education and training is carried out with respect to staff and students, in particular final year undergraduate students (and as required other relevant personnel) of NCI.

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#### 11.1.33 Disclosure and Evaluation

It is a condition of employment or engagement by NCI as staff; admission by NCI as a student; or engagement by NCI as an Other Relevant Party such as a collaborating research partner; that the results of all research or projects should be fully, promptly and completely disclosed to NCI.

All researchers, staff and students must disclose any IP arising from such research to NCI through the IPA Committee in the form of an Invention Disclosure Form (IDF) as soon as possible after such IP is apparent. The IPA Committee should assess it and get professional advice etc. in a timely manner.



No publication should be made prior to disclosure. However, it is possible to commercialise and publish providing there is no damaging disclosure and the disclosure schedule is agreed. In the context of a collaborative research, a partner who wishes to publish results must first obtain permission from the other partner(s).

Confidentiality agreements and/or non-disclosure agreements should be used where appropriate.

#### 11.1.33.1 Procedures to Protect IP

##### I. Staff member or student (with supervisor) contacts the IPA Committee

- They will inform IPA Committee of their intention to complete an Invention Disclosure Form (see Appendix 5). The IPA Committee may consult with commercialisation experts regarding the completion of the Invention Disclosure Form.

##### II. Submission of Invention Disclosure Form:

- This form should be promptly submitted (and in any event no later than within 30 days of the discovery or invention of the discovery or invention in question) to the IPA Committee.

##### III. Commercial Evaluation of IP:

- Any IP reported in an Invention Disclosure Form shall be submitted to the IPA Committee for assessment under the guidelines of the IP Policy and for recommendations to NCI regarding the patentability and/or potential commercialisation.
- The IPA Committee may recommend that other suitably qualified advisors or external consultants be engaged to advise on the assessment of the IP.
- As far as practicable, the relevant inventors or researchers should be involved in the evaluation (and where relevant protection) process by the IPA Committee.
- The criteria to assess the commercial value of the IP should include (without limitation):
  - A literature review to establish if the idea is innovative.
  - Assessment that the IP has a potential commercial benefit.
  - Technical and commercial feasibility.
  - Proof of concept (business plan, access to finance etc.).
  - Potential for sale or licensing of technology or consultancy.
  - Demonstrates a competitive advantage based on differentiated or innovative product or service.

- Development stage of the subject matter.
  - Commercial focus and profit motive.
  - Study of comparable existing subject matter, licences and commercialisation practices.
  - Proximity to market.
  - Market valuations
  - Barriers to entry into markets.
  - Estimated projected sales based on market research.
  - Third party assistance including for example input from industry and state agencies.
  - Estimated cost of patent process.
- Whilst the criteria listed above are not exhaustive, it provides guidance to persons submitting an application as well as to those determining the commercial value. As it is a complex decision, the IPA Committee may refer to other expertise (internal or external) where necessary and further criteria may be applied.
  - A decision will be made by the IPA Committee and the originator of the IP will be notified in writing of the decision made.
  - Should the Committee decide to pursue the project; the staff member will be required to complete an IP Assignment Form (see Appendix 8).
  - The IPA Committee may decide in appropriate circumstances, to offer the opportunity to the originator of the IP to pursue exploitation independently if this is deemed appropriate under agreed written terms. NCI will have no rights to commercial revenue resulting from IP, if it subsequently proves successful, subject to any agreed terms.

IV. Submission of a patent application or an application for other protection:

- NCI shall have the right, but not the obligation, either directly or through an outside agent, to seek patent or other protection of the IP and to undertake efforts to introduce the invention into public use.
- Where a decision is made by the IPA Committee to proceed with an application for protection of the IP, the process below shall be carried out in a timely manner.
- Where a decision is made by the IPA Committee to proceed with a patent application, the originator of the IP is required to cooperate in every reasonable way, to execute all necessary documents and to assist the IPA Committee in completing the patent application form. The application should remain confidential

until such time as the process is complete. Confidentiality agreements will be used where appropriate.

- Commercialisation activities should recognise specific terms and conditions in appropriate funding contracts including any Collaborative Research Agreements.
- The cost of the submission of the application shall be paid by NCI. The originator may be required to assist NCI and/or its advisors with the preparation of a claim for appropriate support for IP protection. Any expenses incurred will be reimbursed to NCI prior to the distribution of any royalty or other income (if any) from the IP.
- The originator of the IP and NCI shall take all reasonable precautions to protect the integrity and confidentiality of the IP in question. The originator of the IP should be aware that publication prior to the filing of patent applications may prevent the granting of certain patents.
- NCI may decide at any stage to withdraw from the process of exploiting a particular piece of IP. This may arise where:
  - Concern exists regarding the technical or commercial feasibility of a particular piece of IP,
  - Costs of exploiting the IP are excessive, or
  - External sponsorship of the process is no longer available.
- The originator of the IP will be notified in writing of the intention of NCI to withdraw from the process and the withdrawal will apply from immediate effect.
- Where a decision is not made about the commercialisation of the IP within the determination period or where it is determined that NCI does not wish to commercialise the IP, **the IP may, at NCI's entire discretion, be assigned or licensed** to the originator, offering the opportunity to the originator of the IP to pursue exploitation independently.
- No patent application, assignment, licensing or other agreement may be entered into or will be considered valid with respect to NCI IP except when properly and lawfully executed by NCI.

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#### 11.1.34 Commercialisation

The IPA Committee will assist, provide advice, or procure the provision of outside professional advice in relation to the various options for commercialisation and technology transfer that may be appropriate in order to best meet the aims of this IP Policy, including:

- Licensing the IP to a third party for a fixed sum or a royalty related to future sales.
- Assigning the IP to a third party for a fixed sum or a royalty related to future sales.
- Developing the commercial potential of the IP through a campus company.

- Developing the commercial potential of the IP through a joint venture with a third party.
- Any other arrangement that may be considered appropriate.

A separate NCI Campus Company Policy outlines NCI's **position on spin-off** companies and the division of income from such enterprises. This NCI Campus Company Policy is under development.

In providing this advice and assistance, the IPA Committee will give due consideration to the retention of the right to use and access know-how and research materials for the purpose of continuing and further research as well as options which may provide most benefit to the Irish economy.

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#### 11.1.35 Distribution of Commercialisation Income

The College shall share a proportion of net royalty and other net income generated by the college from the commercialisation of NCI Intellectual Property with the approved creators or authors of the said intellectual property. This sharing of income is subject to the terms of the policy being met by the creator of the NCI Intellectual Property, including the execution of all appropriate documentation to assign to the College all NCI Intellectual Property that may arise from a particular project or research. The aim is to achieve an equitable distribution of the income that arises from the commercialisation of NCI Intellectual Property between the college, the creator of the intellectual property and, where appropriate, a third party sponsor. The procedure for distribution of the actual net income outlined in this clause does not relate in any way to income earned by the college from equity in campus companies.

All direct expenses incurred by the college in the protection and commercialisation of NCI Intellectual Property that arises from a particular project or research (including legal and other costs involved in seeking patent protection for an invention and any subsequent investigation, development and promotion) will be recouped first by the college from the initial royalty or other income or lump sum before calculating the amount of income which can be shared with the relevant creators of the intellectual property in question.

Subject to the foregoing, the following guidelines (which may be amended from time to time by NCI) will be used in determining the distribution of net income received by NCI from the commercialisation of a particular piece of NCI Intellectual property:-

- 75% of net income actually received by NCI will be paid (subject to deduction as outlined above of applicable taxes and reimbursement of college costs associated with **the protection and exploitation of NCI Intellectual Property ("Net Income")**) to the creators of the intellectual property that are classified as NCI personnel by the policy in such proportions as agreed between the relevant NCI personnel.

If more than one party is involved in the creation of the particular piece of NCI Intellectual Property, the division of payments between the parties will be based on their relative intellectual contributions as outlined in the Invention Disclosure Form. The division of payments will be agreed by the parties concerned and notified to NCI before a patent application is filed by the college. The college shall not distribute the Net Income unless the relevant parties have agreed the proportions between themselves. If the parties cannot agree the proportions then the college will determine the matter and the decision of the college shall be final (see Appendix 4).

It is essential that good research records are prepared during the course of each project. In the event of a dispute, the research records will be of prime importance in making an apportionment between the parties concerned.

The division of royalty and other income will generally be carried out within a reasonable timeframe upon receipt of such income. The college shall make commercially reasonable efforts to ensure where possible that creators of the intellectual property benefit from any income tax concessions on income from patents which may be available. For the avoidance of doubt none of the creators of the intellectual property shall be entitled to any share in royalty or other income from commercialisation of research unless NCI has received actual income or royalty payments from such commercialisation.

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#### 11.1.36 Non-Financial Rewards

It is recognised that the development of NCI Intellectual Property is dependent on the existence of satisfactory and equitable agreements on the division of income to provide meaningful rewards to creators of NCI Intellectual Property. However, the college may at its discretion provide non-financial rewards for such activities including academic recognition, improvement in the colleges, schools, centres and institutes facilities and funds for research.

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#### 11.1.37 Organisations and Companies Collaborating with NCI on Research Projects

As an educational institute, NCI has an obligation to ensure the maximum public benefit from the exploitation of IP created from both publicly funded research and collaborative co-funded research. This is usually best maximised when IP is commercially exploited.

The NCI IPA Committee will conduct a commercial evaluation on the IP created/to be created in a research project and will seek information from the collaborating organisation on how it intends to commercialise the IP, and also determine the IP ownership rights they require from the project. The evaluation to determine the commercial value and IP ownership rights will include an examination of the criteria listed in paragraph 11 of this policy. All such information requested and provided will be treated in strict confidence.

Upon above assessment, the IPA Committee will decide on the IP ownership rights NCI requires and will agree the sale/assignment/option, licensing (exclusive or non-exclusive), or joint venture agreements or otherwise with the collaborating company to ensure maximum commercial benefits. A legal agreement will be executed between the parties, setting out the rights, entitlements and obligations of each party prior to the commencement of work on the project.

When making decisions regarding management and commercialisation of intellectual property arising from research which is wholly or partly funded by third parties, the College will take account of the following guidelines:

- Irish Council for Science, Technology and Innovation (ICSTI) National Code of Practice for Managing Intellectual Property Arising from Publicly Funded Research, published in 2004.
- Advisory Science Council National Code of Practice for Managing and Commercialising Intellectual Property Arising from Public-Private Collaborative Research, published in 2005.
- Funding Agency Requirements and Guidelines for Managing Research-Generated Intellectual Property, February 2006.

#### 11.1.37.1 Publication of Research Results

**It is college policy to encourage staff and students to place the results of their research in the public domain either through publication in Academic journals or presentation at conferences. This is a vital factor for academic recognition. In accordance with long-standing academic tradition, NCI does not and will not assert ownership of copyright in scholarly publications, books or artistic works of its employees unless there is an agreement to the contrary or patent pending. This exception to NCI ownership of intellectual property does not extend to copyright in software or to database rights. NCI will not assign rights to the usage of teaching materials to any third party without the prior agreement of the author/creator.**

However, it must be recognised that premature publication or disclosure except on a confidential basis may make it impossible to obtain valid patent protection. The library will provide advice and assistance in relation to confidentiality agreements. The placing of a thesis in the college library without ensuring that accessibility is restricted constitutes publication. A typical arrangement for publication of a patentable invention is described in Appendix 7.

It is important to ensure that the intellectual property remains confidential and is not published for a limited period to enable adequate arrangements to be put in place for its protection where this is feasible. Publication that is in violation of the terms of any agreement between the college with the sponsor of the research or other third party must be avoided.

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#### 11.1.38 Conflict of Interest and Ethical Issues

It is the policy of the college that its management, staff, and others acting on its behalf have an obligation to avoid ethical, legal, financial, or other conflicts of interest and to ensure that their activities and interests do not conflict with their obligations to the college or its welfare. NCI requires full disclosure of potential areas of conflict and open discussion at the earliest possible opportunity. NCI will endeavour to alert staff and Other Relevant Parties to recognise where conflicts may occur and to manage and resolve these conflicts in line with its Conflicts Policy, which is currently under development. Any questions in relation to research ethics should be referred to the Technical Transfer Officer.

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#### 11.1.39 Dispute Resolution/Arbitration

Any dispute in relation to the policy or its effects will be dealt with as provided for in Appendix 4. Expenses incurred by the college in resolving disputes shall be deducted from royalty income before distribution unless an arbitrator is appointed. The costs of the arbitrator shall be borne by the Parties as outlined in Appendix 4.

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#### 11.1.40 Monitoring and Evaluation of Policy

This IP Policy will be monitored by the IPA Committee on an on-going basis. The IP Policy and related research, commercialisation and technology transfer will be monitored and evaluated on an annual basis and may be amended by NCI from time to time. All amendments to this IP Policy shall be posted on the NCI staff portal and such amendments shall be fully valid and effective from the date of posting.

## **Appendix 1. Irish Statutory Provisions Governing Ownership of IP Rights**

### *11.1.40.1 Copyright and Related Rights ACT, 2000 (“2000 Act”)*

First ownership of copyright

Section 23 (1) of the 2000 Act provides that: **“The author of a work shall be the first owner of the copyright unless the work is made by an employee in the course of employment, in which case the employer is the first owner of any copyright in the work, subject to any agreement to the contrary”.**

Maker of database

Section 322 (2) of the 2000 Act provides that: **Where a database is made by an employee in the course of employment, his or her employer shall be regarded as the maker of the database, subject to any agreement to the contrary”.**

### *11.1.40.2 PATENTS ACT 1992 (“1992 Act”)*

Right to a patent

**Section 16(1) of the 1992 Act provides that: “The right to a patent shall belong to the inventor or his successor in title, but if the inventor is an employee the right to a patent shall be determined in accordance with the law of the state in which the employee is wholly or mainly employed or, if the identity of such state cannot be determined, in accordance with the law of the state in which the employer has his place of business to which the employee is attached.”**

NOTE ON OWNERSHIP OF PATENTS UNDER IRISH LAW

Irish Law comprises Statute Law (legislation) and Common Law (legal principles developed through judicial decisions over time). The ownership of inventions discovered by an Irish employee working for an Irish employer is not specifically set out in any statutory provision but is covered by the Common Law principle that an employer owns the product of his **employee’s work where that work was done in the course of the employment unless there is an agreement to the contrary.**



## **Appendix 2.      Definition of Intellectual Property**

### *11.1.40.3      Intellectual Property (IP)*

Intellectual property as the tangible or intangible results of research, development, teaching, or other intellectual activity which is manifested in the form of copyrights, patents, trademarks, industrial designs and confidential/proprietary information. Intellectual property allows creativity and innovation to be captured and owned in the same way as physical property can be owned. Intellectual property includes individually and collectively all technical innovations, inventions, improvements, and/or discoveries, information, writings and software, whether or not patentable or otherwise susceptible to intellectual property protection, including technology and materials in their tangible form. This is the general term for intangible property rights which are a result of intellectual effort.

#### Patent

A patent grants, for a limited period, the right to exclude others from making, using, selling or importing the subject matter described by the claims of the patent except with the consent of the patentee. A patent contains a narrative description of the subject matter covered by the patent called the specification. It also contains one or more claims that describe the subject matter covered by the patent in highly technical and specific terms. A patent, as a form of 'industrial property', can be bought and sold, licensed or used by the owner either in whole or in part.

There are three basic criteria required to patent an invention. The invention must be novel, have an inventive step (i.e. it should not be obvious to someone skilled in the state-of-the-art) and it should have an industrial application. All three criteria must be met.

#### Trade Mark

A trade mark is the means by which a business identifies its goods or services and distinguishes them from the goods and services supplied by other businesses. The Trade Marks Act, 1996 defines a trade mark as "any sign capable of being represented graphically which is capable of distinguishing the goods or services of one undertaking from those of other undertakings."

A trade mark may consist of words, (including personal names), designs, logos, letters, numerals or the shape of goods or of their packaging, or of other signs or indications that are capable of distinguishing the goods or services of one undertaking from those of others.

#### Design

A design means the appearance of the whole or a part of a product resulting from the features of, in particular, the lines, contours, colour, shape, texture or materials of the product itself or its ornamentation. A registered design is a form of 'industrial property', which can be assigned, transferred, licensed or used by the owner. Design protection is territorial; in effect a design registered in Ireland is only valid in Ireland. Some aspects of the "design" may also be protected by copyright.

#### Copyright

Copyright is the legal term, which describes the rights given to authors/creators of certain categories of work. Copyright protection extends to the following works:

- original literary, dramatic, musical or artistic works;
- sound recordings, films;
- broadcasts, cable programmes;
- the typographical arrangement of published editions;
- computer programmes;
- Original databases.

The owner of copyright is the author, meaning the person who creates the work. However, as copyright is a form of property, the right may be transferred to someone else, for example, to a publisher. Copyright is a property right and the owner of the work can control the use of the work, subject to certain exceptions. The owner has the exclusive right to prohibit or authorise others to undertake the following:

- copy the work;
- perform the work;
- make the work available to the public through broadcasting or recordings;
- Make an adaptation of the work.

Copyright takes effect as soon as the work is put on paper, film, or other fixed medium such as CD-ROM, DVD, Internet, etc. No protection is provided for ideas while the ideas are in a persons mind; copyright law protects the form of expression of ideas, not the ideas themselves.

#### Confidential Information and Know How

Protection for confidential information and know-how arises from the law of confidentiality. The confidential information may be know-how associated with a Patent or a Patent Application, or material in existence before, for example, a Patent Application is filed, or material already protected by another form of intellectual property, for example, copyright.

#### Domain Names

A domain name is a unique address on the Internet. There are various generic top level **domains (“TLDs”), such as .com and .biz, as well as, ccTLDs (Country code), such as “.ie”.**

#### Other Forms of Intellectual Property

Other forms of intellectual property include, but are not limited to, database right for certain types of database (under Copyright and Related Rights Act, 2000); **protection for semi-conductor topographies; plant breeders’ rights in certain plant varieties; and protection against unfair competition under “passing off” law.**

The IP Policy is applicable to ***NCI Intellectual Property*** that is owned by NCI for any of the reasons outlined below:

It is developed by NCI Personnel in the course of their normal or specifically assigned duties either when intellectual property could be reasonably expected to result from the carrying out of those duties and/or, at the time the intellectual property was developed, there was a special obligation on the relevant NCI Personnel to further the interest of NCI.

Under the 2000 Act (as defined below), NCI is the first owner of any copyright in the work created by NCI Personnel in the course of his/her employment unless precluded by a prior agreement between NCI and a third party (or is covered by section 11.1.29 of this IP Policy ).

The intellectual property arises out of funded or non-funded research where such research has, in the opinion of NCI, made use of the equipment, facilities, NCI Assets and other resources of NCI unless such action was precluded by prior agreement between NCI and third parties.

If it is a condition of a research contract with a third party that NCI should have ownership of the intellectual property arising from the contract.

### **Appendix 3. Intellectual Property Agreement**

Intellectual Property Agreement for personnel at NCI who have a prior existing and/or conflicting Intellectual Property Agreement or arrangement with another employer or a third party.

I understand that, consistent with applicable laws and regulations, National College of Ireland (NCI) is governed in the handling of intellectual property by its official policy titled Intellectual Property Policy and Procedures, (a copy of which I have read), and I agree to abide by the terms and conditions of this policy in the course of my NCI activities.

As a general rule (and subject to the exceptions set out in this policy) any intellectual property rights in any material, (including any copyright (including rights in computer software and moral rights), patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information rights in design, or other intellectual property rights or other property rights, whether vested, contingent or future anywhere in the world), created by me in the course of my work or study with NCI is the property of and **vests solely and absolutely in NCI (“NCI Intellectual Property”)**.

Pursuant to this policy, and in consideration of my participation in projects administered by NCI, access to or use of facilities provided by NCI and/or other consideration, I hereby agree as follows:

- I will disclose to NCI all potentially patentable inventions and other NCI Intellectual Property conceived or first reduced to practice in whole or in part in the course of my NCI responsibilities, my participation in research projects at NCI or with use of college resources. I further assign [jointly] to NCI [and to my non-NCI employer] all my right, title and interest in such patentable inventions and other NCI Intellectual Property created in connection with NCI and to execute and deliver all documents and do any and all such things necessary and proper on my part to effect such assignment. Such assignment is not inconsistent with the terms of my continuing employment outside of NCI or with any other agreement I have entered into.
- I will not use any information defined as confidential or proprietary by my non-NCI employer in the course of my NCI responsibilities and I will not do consulting or research work for my non-NCI employer while at any facility owned or leased by NCI.
- I am free to place my inventions in the public domain as long as in so doing neither I nor NCI violates the terms of any agreements that governed the work done or my agreements with my non-NCI employer.
- I will not enter into any agreement creating copyright or patent obligations in conflict with this agreement.

This agreement is effective on date of my NCI hire, enrolment or participation in projects administered by NCI, and is binding on me, my estate, heirs and assigns.

SIGNED SEALED and DELIVERED

by [NAME]

\_\_\_\_\_  
signature

in the presence of: -

\_\_\_\_\_  
Witness name

\_\_\_\_\_  
Witness description

\_\_\_\_\_  
Witness address

Acknowledged and accepted:

Non-NCI Employer: \_\_\_\_\_  
(Insert name)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

## **Appendix 4.        Dispute Resolution**

### *11.1.40.4        1. Informal Dispute Resolution*

Prior to the initiation of formal dispute resolution procedures, the parties shall first attempt to resolve any dispute, controversy or claim arising under or in connection with this Policy informally, as follows:

- I. First, the parties to the dispute shall meet as often, for a duration and as promptly as the parties deem necessary to discuss the dispute and negotiate in good faith in an effort to resolve the dispute;
- II. If the parties are unable to resolve the dispute within 30 days after the referral of the dispute to them, the dispute will be referred to the President of NCI. The President shall nominate a person who shall use reasonable efforts to resolve such dispute.

### *11.1.40.5        2. Alternative Dispute Resolution*

If a dispute cannot be resolved as provided above, then prior to resorting to litigation, the following shall apply:

- I. Either of the parties may refer such matter for determination to such person as may be appointed by agreement between the parties or, in default of agreement, nominated on the application of either party by the President for the time being of the Law Society of Ireland.
- II. Any person to whom a reference is made under Clause 2.I shall act as an arbitrator (**“the Arbitrator”**) and shall be entitled to appoint such technical expert or experts as he considers necessary to assist him in determining the matter referred to him. The decision of the Arbitrator (which shall be given by him in writing stating his reasons therefore) shall be final and binding on the parties. The arbitration shall be conducted in accordance with the Arbitration Acts 1954-1998.
- III. The parties shall provide any Arbitrator with such information as he may reasonably require for the purposes of his determination. The Arbitrator shall be entitled to order discovery of documents where he considers expedient to do so in the interests of justice and to reduce costs.
- IV. The costs of any Arbitrator (including the costs of any technical expert appointed by him) shall be borne in such proportions as the Arbitrator may determine to be fair and reasonable in all the circumstances or, if no such determination is made by the Arbitrator, by the parties in equal proportions.

### *11.1.40.6        3. Exceptions to Dispute Resolution Procedure.*

The provisions of Clauses 1 and 2 will not be construed to prevent NCI from:

- I. Seeking a temporary restraining order or injunctive or other equitable relief with respect to a breach (or attempted breach) of the policy; or
- II. Instituting litigation or other formal proceedings to the extent necessary (i) to avoid the expiration of any applicable limitations period or (ii) to preserve a superior position with respect to other creditors.

## Appendix 5. NCI Invention Disclosure Form

|                                |
|--------------------------------|
| NCI INVENTION DECLARATION FORM |
|--------------------------------|

1. Title of Invention

|  |
|--|
|  |
|--|

2. Inventors

| Name | School/Research Institute | Affiliation with Institute (i.e. department, student, staff, visitor) | Address, contact phone no., e-mail | % Contribution to the Invention |
|------|---------------------------|---|------------------------------------|---------------------------------|
|      |                           |   |                                    |                                 |
|      |                           |   |                                    |                                 |
|      |                           |   |                                    |                                 |
|      |                           |   |                                    |                                 |

3. Contribution to the Invention

Each contributor/potential inventor should write a paragraph relating to his/her contribution and include a signature and date at the end of the paragraph.

|  |
|--|
|  |
|--|

4. Description of Invention

(Please highlight the novelty/patentable aspect. Attach extra sheets if necessary including diagrams where appropriate). What is novel, the 'inventive step'? For more information on patents, please look at <http://www.patentoffice.ie/en/patents.aspx>



5. Why is this invention more advantageous than present technology?  
What is its novel or unusual features? What problems does it solve? What are the problems associated with these technologies, products or processes? Explain how this invention overcomes these problems (*i.e.* what are its advantages).

6. What is the current stage of development / testing of the invention?

7. List the names of companies which you think would be interested in using, developing or marketing this invention

8. Funding Partner(s)

|                                |  |
|--------------------------------|--|
| Government Agency & Department |  |
| % Support                      |  |
| Contract/Grant No.             |  |
| Contact Name                   |  |
| Phone No.                      |  |
| Address                        |  |

|                           |  |
|---------------------------|--|
| Industry or other Sponsor |  |
| % Support                 |  |
| Contract/Grant No.        |  |
| Contact Name              |  |
| Phone No.                 |  |
| Address                   |  |

9. Where was the research carried out?

|  |
|--|
|  |
|--|

10. What is the potential commercial application of this invention?

|  |
|--|
|  |
|--|

11. Was there transfer of any materials/information to or from other institutions regarding this invention?

If so please give details and provide signed agreements where relevant.

|  |
|--|
|  |
|--|

12. Have any third parties any rights to this invention?

If yes, give names and addresses and a brief explanation of involvement.

13. Are there any existing or planned disclosures regarding this invention?

Please give details.

14. Has any patent application been made? Yes/No

If yes, give date: \_\_\_\_\_ Application No.: \_\_\_\_\_

Name of patent agent: \_\_\_\_\_

Please supply copy of specification.

15. Is a model or prototype available? Has the invention been demonstrated practically?

I/we acknowledge that I/we have read, understood and agree with this form and the **Institute's** Intellectual Property and Procedures and that all the information provided in this disclosure is complete and correct.

I/we shall take all reasonable precautions to protect the integrity and confidentiality of the IP in question.

Inventor: \_\_\_\_\_  
Signature      Date

Inventor: \_\_\_\_\_  
Signature      Date

Inventor: \_\_\_\_\_  
Signature      Date

Inventor: \_\_\_\_\_  
Signature      Date

## Appendix 6. Non-Disclosure Agreement

This AGREEMENT dated this type here 2010 (the “Effective Date”)

BETWEEN

National College of Ireland, located at Mayor Street, Dublin 1, Ireland, of one part and

Type here [*insert company/university name and address*] of the other part.

AGREEMENT

Preparatory to, at, or arising from a meeting on type here, the parties are prepared to disclose to each other certain technical and commercial information relating to their research activities, for the purpose of exploring a possible type here (the “Purpose”) [*insert the most appropriate purpose, e.g. research collaboration, technology, evaluation, licensing of technology etc.*].

“Confidential Information” shall mean any of the following, whether (i) disclosed by or on behalf of the Disclosing Party to the Receiving Party orally or in writing or (ii) learned by the Receiving Party through observation or examination of any documents, licences, contracts, books, records, data, software, source codes or products of the Disclosing Party or (iii) **learned by the Receiving Party through observation or examination of the Disclosing Party’s** offices, processes or procedures or (iv) otherwise learned by the Receiving Party in any manner except as set forth in paragraph 5 hereof:

any information relating to the products or services of the Disclosing Party in which the Disclosing Party claims a proprietary and/or confidential interest;

all confidential matters of the Disclosing Party including, without limitation, technical know-how, design rights, trade secrets, technical data, analyses, compilations, concepts, technical processes, formulae, specifications, inventions, research projects, customer lists, pricing policies, operational methods, financial information, actuarial information, marketing information, market opportunities and other business affairs of the Disclosing Party;

**any information of a confidential nature concerning the Disclosing Party’s customers, suppliers, employees or consultants;** and

Any information the Disclosing Party has received from others which the Disclosing Party is obliged to treat as proprietary and/or confidential.

CONFIDENTIALITY

Since the information to be disclosed is considered to be confidential by each party, the disclosure to the other party shall be made on the basis that the Receiving Party shall maintain the Confidential Information received in confidence, and shall not, without prior

written consent of the Disclosing Party, disclose the Confidential Information or use the Confidential Information other than for the specific Purpose noted above.

The Receiving Party acknowledges that irreparable injury and damage may result from disclosure of any Confidential Information to third parties or utilisation of Confidential Information for purposes other than connected with the Purpose. The Receiving Party agrees to treat the Confidential Information in the strictest confidence and to undertake the following additional obligations with respect thereto: -

The Receiving Party shall not, **at any time hereafter, without the Disclosing Party's prior written consent:** (i) disclose any Confidential Information to any third party or (ii) disclose **the existence of any of the Disclosing Party's products or services or any information** relating thereto to any third party or (iii) use any Confidential Information except pursuant to and in connection with the Purpose.

The Receiving Party shall not make or use any copies, synopses or summaries of oral or written material, photographs or any other documentation or information made available or supplied by the Disclosing Party to the Receiving Party except such as are strictly necessary **for the Receiving Party's internal communications in connection with the Purpose or as are** strictly necessary to accomplish the purposes of the Purpose.

Neither the Receiving Party nor any of its employees or agents shall disclose to any third **party or make any public announcement with respect to the Disclosing Party's products or** Confidential Information without the prior written consent of the Disclosing Party.

#### EMPLOYEES

The employees of the Receiving Party shall be informed of the obligations under this Agreement with respect to the Confidential Information and shall have agreed to hold the Confidential Information confidential and not to disclose it or use it other than for the specific Purpose of this Agreement.

#### NOTICE

In the event of the Receiving Party, under any applicable law, being required (by oral questions, interrogatories, requests for information or document subpoenas, civil investigative demand, governmental investigations or similar processes) to disclose any Confidential Information, the Receiving Party will provide the Disclosing Party with prompt notice of such request or demand so that the Disclosing Party may seek an appropriate **protective order and/or consider granting a waiver of the Receiving Party's compliance with** the provisions of this Agreement.

#### EXCEPTIONS

The obligations of the Receiving Party set out in this Agreement shall not apply to any part of the Confidential Information:

which at the time of disclosure by the Disclosing Party is already in the possession of the Receiving Party; or

which at the time of disclosure by the Disclosing Party is, or thereafter becomes through no fault of the Receiving Party, public knowledge; or

which after disclosure by the Disclosing Party is lawfully received by the Receiving Party from a third party who has the right to disclose such information to the Receiving Party; or which becomes part of the public domain through no fault or action on the part of the Receiving Party; or

Which is required to be disclosed by law or court order.

#### SCOPE

This Agreement shall not be construed to grant the Receiving Party any licence or other rights, except as expressly set forth above. This Agreement constitutes the full and complete agreement in this matter between the parties. Any amendment to this Agreement must be made in writing and such amendments are valid only upon the mutual consent of both parties.

#### DURATION

The obligations of this Agreement shall be in effect for a period of five (5) years from the effective date of this Agreement.

#### ASSIGNMENT

This Agreement is specific to the parties hereto and the rights and obligations hereunder may not be assigned in whole or in part by either party without the prior written consent of the other party.

#### GOVERNING LAW AND JURISDICTION

This Agreement shall be construed and governed according to the laws of Ireland and shall be subject to the exclusive jurisdiction of the Courts of Ireland.

IN WITNESS WHEREOF the parties hereto signed this Agreement or caused this Agreement to be duly executed by their duly authorized representatives.

\_\_\_\_\_  
Signed by      Date

Director of Research,

For and Behalf of National College of Ireland,

\_\_\_\_\_  
Signed by type here

\_\_\_\_\_  
Date

An authorised signatory of type here

## **Appendix 7. Typical arrangement for publication of a patentable invention.**

Every effort shall be made to ensure that intellectual property protection causes a minimum delay to the publication of related research. Where possible the delay in publication to enable a patent application to be filed should be for an agreed limited period, typically less than 60 days. In the case of research funded by third parties a typical arrangement is as follows:

- **The third party would be informed at least 30 days before submission of a publication**
- **The third party would be given 30 days to decide whether publication should be delayed**
- **Upon the request of the third party the submission for publication may be delayed for up to a further 30 days to enable the parties to secure adequate protection of the IPR that would be affected by publication.**

In the event that the protection of IPR is not feasible and where publication may jeopardize commercialisation, the submission for publication may be delayed for up to an additional period to enable an approach to commercialisation to be agreed.



## Appendix 8. IP Assignment Form

National College of Ireland (“NCI”)

### Intellectual Property Assignment Agreement for Staff, Students and Other Relevant Parties<sup>1</sup>

Research Project(s) Title: \_\_\_\_\_ (the “Project(s)”)

Research Project(s) Number: \_\_\_\_\_

I understand that, consistent with applicable laws and regulations, NCI is governed in the handling of intellectual property by its official IP Policy entitled *Intellectual Property Policy and Procedures*, (a copy of which I have received), and I agree to abide by the terms and conditions of this IP Policy in the course of my NCI activities and in the work that I carry out on the Project.

As a general rule (and subject to the exceptions set out in this IP Policy) any intellectual property rights in any material, (including any copyright (including rights in computer software and moral rights), patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information rights in design or other intellectual property rights or other property rights, whether vested, contingent or future anywhere in the world), created by me in the course of my work with NCI (and in particular in the course of my work on the Project) are the property of and vest solely and absolutely in NCI (“NCI IP”).

Pursuant to the IP Policy, and in consideration of my participation in projects (and the Project(s)) administered by NCI, access to or use of facilities provided by NCI and/or other consideration, I hereby agree as follows:

I will disclose to NCI all potentially patentable inventions and other NCI IP conceived or first reduced to practice in whole or in part in the course of my NCI responsibilities, my participation in the Project(s) at NCI or with more than incidental use of NCI resources. I further assign to NCI all my right, title and interest in such patentable inventions and other NCI IP created in connection with NCI and/or the Project(s) and to execute and deliver all

\_\_\_\_\_

<sup>1</sup> As the terms Staff, Students and Other Relevant Parties are defined in the NCI IP Policy.

documents and do any and all such things necessary and proper on my part to effect such assignment. Such assignment is not inconsistent with the terms of my continuing employment outside of NCI (if any) or with any other agreement I have entered into.

I will not use any information defined as confidential or proprietary by any non-NCI employer (if any) in the course of my NCI responsibilities and I will not do consulting or research work for any non-NCI employer (unless such work is approved of in writing in advance by NCI).

I will not enter into any agreement creating copyright or patent obligations in conflict with this Agreement. I hereby waive any moral rights to which I may be entitled under any legislation now existing or in future enacted in any part of the world and for the avoidance of doubt this waiver shall extend to the licensees and successors in title to the copyright in the NCI IP and the Project(s).

This Agreement is effective on date of my NCI hire, enrolment or participation in projects administered by NCI, and is binding on me, my estate, heirs and assigns.

[I hereby agree and acknowledge that in respect of the Project and in respect of my assignment of IP to NCI in this Agreement, my full and final entitlement to payment, royalty or other income arising therefrom is set out in the Schedule to this Agreement and I further agree and acknowledge that I shall have no other entitlement or claim against NCI or any party to whom NCI assigns or licences this IP in respect of payment, royalty or other income arising therefrom.<sup>2]</sup>

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 20●●

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed or typed name

\_\_\_\_\_  
NCI title

\_\_\_\_\_  
NCI School/Research Institute

[Schedule]

[Insert details of payment, royalty or other income

\_\_\_\_\_

<sup>2</sup> In the event that this document is to be signed by an Other Relevant Party (as that term is defined in the Introduction of the IP Policy), it may be appropriate to include this provision and the Schedule. To be considered on a case by case basis.

OR

I agree and acknowledge that I have no right to any payment, royalty or other income in respect of the Project and in respect of my assignment of IP to NCI in this Agreement.]

## **Appendix 9. Data Protection and Confidentiality Undertaking**

(DATA PROTECTION AND CONFIDENTIALITY UNDERTAKING FOR EMPLOYEES, CONTRACTORS OR STUDENTS TAKING PART IN A PROJECT INVOLVING NCI AND AN OUTSIDE PARTNER:)

### DATA PROTECTION AND CONFIDENTIALITY UNDERTAKING

Name: \_\_\_\_\_

Employee/Student ID Number (if applicable): \_\_\_\_\_

Function: \_\_\_\_\_

Project Title: \_\_\_\_\_

Project Number: \_\_\_\_\_

In consideration of my appointment by the National College of Ireland (NCI) as a [research assistant] in the performance of services (“Services”) under the [research agreement] (“Agreement”) between NCI and [NAME OF PARTNER] (“Partner”) and the related opportunity to gain experience in the Services, I hereby acknowledge that I will acquire certain **confidential information (“Confidential Information”)** relating to NCI’s intellectual property, products and strategies and the intellectual property, products and strategies of the Partner.

I hereby undertake to use the Confidential Information only as may be necessary to perform the Services under the Agreement and not to disclose it to any person other than those who have agreed to the same confidentiality undertaking.

I shall use all precautions necessary to protect the Confidential Information from unauthorized disclosure.

I hereby acknowledge that the Confidential Information is a trade secret of NCI and/or the Partner and that NCI and/or the Partner may claim damages from the undersigned for loss of business in the event of any unauthorized disclosure.

For the purposes of the Data Protection Acts 1988 and 2003, I hereby consent to the processing of all personal data that I provide to NCI in connection with the performance of the Services and the Agreement.

This undertaking will continue indefinitely until

(a) the Confidential Information is published or otherwise made public by NCI; or

(b) I am expressly released, in writing, from this undertaking by NCI,

**And is not conditional on my being or remaining an employee, student of NCI or Other Relevant Party**

I hereby acknowledge that this undertaking will also benefit the successors and assigns of NCI together with its related bodies corporate.

\_\_\_\_\_  
Dated:

\_\_\_\_\_  
Signature of person giving the undertaking

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Name of Witness:

## **Appendix 10. Intellectual Property Assignment Agreement**

(Intellectual Property Assignment Agreement for Staff, Students and Other Relevant Parties<sup>3</sup> who have a prior existing and/or conflicting Intellectual Property Agreement or arrangement with another employer or a third party)

I understand that, consistent with applicable laws and regulations, NCI is governed in the handling of intellectual property by its official IP Policy<sup>4</sup> entitled *Intellectual Property Policy and Procedures*, (a copy of which I have received), and I agree to abide by the terms and conditions of this IP Policy in the course of my NCI activities.

As a general rule (and subject to the exceptions set out in the IP Policy) any intellectual property rights in any material, (including any copyright (including rights in computer software and moral rights), patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information rights in design, or other intellectual property rights or other property rights, whether vested, contingent or future anywhere in the world), created by me in the course of my work with NCI are the property of and vest solely and absolutely in NCI (“NCI IP”).

I will inform the NCI IPA Committee of any pre-existing IP arrangements with other organisations.

Pursuant to the IP Policy, and in consideration of my participation in projects administered by NCI, access to or use of facilities provided by NCI and/or other consideration, I hereby agree as follows:

1. I will disclose to NCI all potentially patentable inventions and other NCI Intellectual Property conceived or first reduced to practice in whole or in part in the course of my NCI responsibilities, my participation in research projects at NCI or with more than incidental use of NCI resources. I further assign [jointly] to NCI [and to my non-NCI employer]<sup>5</sup> all my right, title and interest in such patentable inventions and other NCI Intellectual Property created in connection with NCI and to execute and deliver all documents and do any and all such things necessary and proper on my part to effect such assignment. Such assignment is not inconsistent with the terms of my continuing employment outside of NCI or with any other agreement I have entered into. [I will not use any information defined as confidential or proprietary by my non-NCI employer in the course of my NCI responsibilities and I will not do consulting or research work for my non-NCI employer while at any facility owned or leased by NCI.]

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<sup>3</sup> As the terms Staff, Students and Other Relevant Parties are defined in the NCI IP Policy.

<sup>4</sup> This Intellectual Property Assignment Agreement forms Appendix 10 of the NCI IP Policy.

<sup>5</sup> To be considered on a case by case basis

2. I will not enter into any agreement creating copyright or patent obligations in conflict with this Agreement.
3. This Agreement is effective on date of my NCI hire, enrolment or participation in projects administered by NCI, and is binding on me, my estate, heirs and assigns.
4. [I hereby agree and acknowledge that in respect of the Project and in respect of my assignment of IP to NCI in this Agreement, my full and final entitlement to payment, royalty or other income arising therefrom is set out in the Schedule to this Agreement and I further agree and acknowledge that I shall have no other entitlement or claim against NCI any party to whom NCI signs or licences this IP in respect of payment, royalty or other income arising therefrom.<sup>6</sup>]

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 20●●

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed or typed name

\_\_\_\_\_  
NCI title  
Acknowledged and accepted:

\_\_\_\_\_  
NCI School/Research Institute

\_\_\_\_\_  
Non-NCI Employer (Insert name)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

<sup>6</sup> In the event that this document is to be signed by an Other Relevant Party (as that term is defined in the Introduction of the IP Policy), it may be appropriate to include this provision and the Schedule. To be considered on a case by case basis.

[Schedule]

[Insert details of payment, royalty or other income

OR

I agree and acknowledge that I have no right to any payment, royalty or other income in respect of the Project and in respect of my assignment of IP to NCI in this Agreement.]



## **Appendix 11. NCI IP Principles**

Gallen Alliance solicitors recommended that NCI Board be in agreement with some 'Principles in IP policy' before recirculating policy document to Research committee. They have suggested NCI Board agree following Principles.

Principle- IP Management Strategy: It is intended that the written NCI IPP explains how IP management supports and relates to the overall mission of NCI, and how the IPP will benefit the NCI (see Introduction and Aims of Policy). The IPP should include a confirmation that the NCI Board is in full agreement with these introductory Principles (for example, the IPP Principles, as approved by the NCI Board, might be placed at the commencement of the detailed Policy and used as a shortened version for NCI to include, for example, on its Internet and Intranet websites).

Principle- Technology Transfer Office and IP Advisory Committee: It is intended that a Technology Transfer Office and an Intellectual Property Advisory Committee will be established and the roles and responsibilities are outlined in the IPP (*see Section 6 Support Programme of Policy*).

Principle - Disclosure and Evaluation of new IP: It is intended that a formal invention disclosure process will be set up. (*see Section 12 Disclosure and Evaluation*) In certain circumstances NCI may decide not to pursue commercialisation and it may instead decide to offer the opportunity to the inventor to pursue exploitation independently (under appropriate terms).

Principle - Protection of new IP: It is intended that if the decision is taken to proceed with formal IP protection (such as patenting or other forms of formal IP protection) then this will be carried out in a timely manner, with the NCI TTO obtaining professional advice and involving the inventors/researchers (*see Section Disclosure and Evaluation*)

Principle - Commercialisation: It is intended that Technology Transfer activities should be pursued in a timely manner through partnership between the TTO and the relevant inventors/researchers and with the industrial/commercial partner as appropriate. Various options for commercialisation will be considered<sup>7</sup> and the strategy devised to meet the aims of the IP Policy and to fit in with the terms and conditions of relevant sponsors of research as appropriate. (*See Commercialisation Section*)

Principle - Research Materials: During Technology Transfer involving research materials, due consideration should be given to the retention of know-how and research materials for on-going research purposes.

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<sup>7</sup> There is a requirement for a Campus Policy

Principle- Ownership: It is intended that the IP Policy will clearly state that the ownership of IP generated by staff and students will be vested in NCI (***Section on General Provisions of NCI Policy***). Having regard to the legal position regarding ownership, the IP policy will be supported by appropriate written agreements, which are acknowledged and agreed by all individuals involved in research. Institute ownership of arising IP is a requirement of all state funding agencies in Ireland where projects are 100% publicly funded. In accordance with long-standing academic tradition, NCI does not and will not assert ownership of copyright in scholarly publications, books or artistic works of its employees unless there is an agreement to the contrary or patent pending (Publication of Research Results Section). ***This exception to NCI ownership of intellectual property does not extend to copyright in software or to database rights. NCI will not assign rights to the usage of teaching materials to any third party without the prior agreement of the author/creator.***

Principle - Sharing of Commercialisation Income: It is intended that the IP policy will include an incentive policy that explains policy on sharing of commercialisation income<sup>8</sup> with inventors/creators of commercialised IP. See Section Distribution of Commercial Income.

Principle Conflicts of Interest: It is intended that procedures will be developed and implemented to address conflicts of interest<sup>9</sup>.

Principle Monitoring & Evaluation: It is intended that the TTO will have clear systems for monitoring and evaluation and keep routine records of IP management measurement indicators (***Section Monitoring and Evaluation of Policy***)

## IP and other parties

IP and other organisations: IP arising from research or other work sponsored by an external organisation shall be subject to the IP provisions that are stipulated in the related agreement between NCI and the external organisation.

Externally funded research: For the avoidance of doubt, where IP is generated from research that is 100% funded by monies provided directly by the State, or by any not-for-profit financial instrument which has been established by an organisation or individual, and

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<sup>8</sup> Please note that this means that NCI retains IP and will share a proportion of net royalty or other revenue generated by IP **not** that they will share in general revenue generated by company. E.g. If company made 100,000 and royalty payable was 10,000 (NCI and inventor would share income 10,000 not 100,000), the other 90,000 would remain within the company. Inventors may own the company.

<sup>9</sup> There is a need for a conflicts policy which is highly recommended by TTO officer network

awarded through a public service organisation charged with the granting and dissemination of research funds, this IP will be exclusively and absolutely owned by NCI and subject to the terms of the granting body.

Non-employees: The IP Policy also extends to Other Relevant Parties such as non-employees who participate in research projects at the college including visiting academics, industrial personnel etc. unless a specific waiver has been approved.

Consultancy: Staff are permitted to engage in consultancy projects for third parties subject to compliance **with NCI's Consultancy Policy** and their contract of employment and subject to written approval by the President of NCI. Any such approved consultancies must be disclosed to the IPA Committee. This NCI Consultancy Policy is currently under development.