

IT Sligo's IP Policy Document – Explanatory Note

IT Sligo is in the process of updating our Intellectual Property (IP) Policy in order to bring it in line with best practice in the higher education sector.

Our new IP policy document should be approved by our Governing Body in mid-2019 and our new document will replace the current version on our website.

In the interim our 2008 IP Policy is published here with new and approved sections as set out in an Appendix. This Appendix deals with **Conflict of Interest** and **Dispute Resolution**. These new sections should be read alongside our current 2008 Policy.

IT Sligo publishes these documents in the interests of good governance and transparency.

THE INSTITUTE OF TECHNOLOGY, SLIGO



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1. INTRODUCTION

Intellectual Property (“IP”) is an area of very substantial importance in the academic environment of Institute of Technology Sligo. The purpose of defining an IP policy is to encourage the generation of IP by Staff¹, Students², and Other Relevant Parties³ (together referred to as “Personnel”) This IT Sligo IP Policy (“IP Policy”) is intended to provide support and guidance regarding commercial exploitation, ownership and income from IP and the use of IT Sligo facilities and resources to ensure that the development of IP is mutually beneficial for Personnel and IT Sligo.

The Institute recognises and encourages the principle that IP developed at IT Sligo (“IT Sligo IP”) should be used for the greatest public benefit. Commercialisation is often the most efficient means of promoting the widest possible dissemination and use of IT Sligo IP. In such circumstances, it is appropriate and desirable for both IT Sligo and the originator of the IP to benefit from the commercial exploitation of IP produced at IT Sligo.

In particular, this document sets out the principles and rules that govern the creation, ownership and commercialisation of IP developed by Personnel participating in programmes carried out using IT Sligo facilities, know-how, confidential information and/or IT Sligo IP (together, “IT Sligo Assets”).

IT Sligo has a strong interest in promoting the generation of IP in the context of the Government’s drive to create a knowledge based economy, to increase the number of patents coming out of third level institutions and to transfer that technology into viable commercial entities.

For the avoidance of doubt, this IP Policy (and any subsequent amendments made to this IP Policy) is the agreed protocol or IP Policy referenced in:

- (a) the Staff contract of employment;
- (b) the Staff fixed purpose contract;
- (c) any document engaging an Other Relevant Party;
- (d) the Student Handbook; and
- (e) any Acceptance Form or Intellectual Property Assignment Agreement signed by Staff and/or Students and/or Other Relevant Parties.

This IP Policy also forms part of the regulations of IT Sligo which govern the conduct of Students and Staff.

¹ In this IP Policy, the term “Staff” refers at all times to IT Sligo part time and whole time staffing having casual, indefinite duration, permanent, pro rata or temporary contracts (including, without limitation IT Sligo post-doctoral researchers) and persons employed by IT Sligo on fixed purpose academic contracts.

² In this IP Policy, the term “Students” refers at all times to IT Sligo’s registered undergraduate students and IT Sligo’s registered postgraduate students.

³ In this IP Policy, the term “Other Relevant Parties” refers to individuals other than Staff and Students who are engaged in research at IT Sligo and agree to be bound by the provisions of this IP Policy.

2. DEFINITION

IT Sligo defines IP as the tangible or intangible results of research and development (a full definition is contained at Annex I). Such IP may be created by academic, research and other Staff, by Students and by Other Relevant Parties such as contractors and consultants.

IP allows creativity and innovation to be captured and owned in the same way that physical property can be owned. IP includes individually and collectively all technical innovations, inventions, improvements, and/or discoveries, information and software, whether or not patentable or otherwise susceptible to IP protection, including technology and materials in their tangible form and includes IP generated from IT Sligo Assets.

See the full definition of Intellectual Property in Annex I.

3. AIMS OF THE POLICY

The objective of this IP Policy is to provide a consistent framework within which IT Sligo IP is developed and managed for the benefit of IT Sligo, the originator and the public good.

The specific aims of the IP Policy are as follows:

- To create an environment that encourages the generation of new knowledge by IT Sligo departments and Personnel.
- To encourage the recognition and identification of IP within IT Sligo and promote an entrepreneurial culture among Personnel that fosters the development of potentially commercial IP arising from their research at IT Sligo.
- To provide an efficient process by which the commercial potential of IP can be assessed by IT Sligo and its advisors and to ensure that the process of IP evaluation, protection and commercialisation are carried out in a timely manner.
- To motivate the development and exploitation of IP by providing appropriate rewards to both originators and IT Sligo, and to provide administrative assistance to originators.
- To provide support and supervision for the creation of economic structures through which IT Sligo IP is developed and used commercially.
- To maximise the earnings potential from commercialisation and to utilise financial and other returns to advance and encourage research in IT Sligo.
- To encourage strategies of commercialisation and technology transfer that provide the greatest benefit to the Irish economy.
- To encourage public use and commercialisation of IT Sligo IP by facilitating its transfer from IT Sligo to industry and business.
- To continue to recognise the traditional IT Sligo practices with respect to education, publication and scholarly works.
- To ensure that the financial return from the development of IT Sligo IP does not distort decisions and operations of IT Sligo in a manner contrary to the mission of IT Sligo.
- To give due regard to the non-financial benefits (e.g. non-cash consideration, benefit of strategic relationships between IT Sligo and third parties, access to IP and confidential information) that will accrue to IT Sligo and to the originators of IP in pursuing the goals of this IP Policy.

- To develop and continually improve a long-term strategy that enables the development of IP, related commercialisation and technology transfer, together with maintenance of high standards of education.
- To foster the general awareness of Personnel of this Policy through dissemination and information campaigns, and to provide specific training to research active Personnel.

4. INTELLECTUAL PROPERTY COMMITTEE

A Committee shall be set up in IT Sligo after the adoption of this IP Policy and shall consist of the following members (the "IP Committee"):

- President (ex officio).
- Head of School/Head of Department/or nominee (from the school to which the proposal is relevant).
- Secretary / Financial Controller (or nominee).
- Vice President, Research, Innovation & Engagement (Chair).
- Head of Innovation.
- Innovation Centre Manager.
- Head of Research.
- Expert in area of technology (appointed in consultation with inventor), as required.
- Other professional advisors as required.

The IP Committee members will be required to sign a confidentiality agreement regarding proposals submitted and regarding the IP produced at IT Sligo and presented to the IP Committee. This will ensure that new ideas are protected. IT Sligo reserves the right to alter the composition of the IP Committee.

The relevant IT Sligo Project Manager/IT Sligo Academic Supervisor may be required to put forward a proposal to the IP Committee regarding the IP on a project and may be requested to attend a Committee meeting, where appropriate.

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

The Vice President, Research, Innovation & Engagement's Office (through the Head of Innovation) is in charge of each of the activities set out in this IP Policy including (without limitation) putting the decisions of the IP Committee into effect.

The importance of appropriate outside professional assistance is acknowledged. The IP Committee and the Vice President, Research, Innovation & Engagement's Office will avail of these resources when appropriate.

5. ROLE OF THE IP COMMITTEE

- Processing of IP applications.
- Determining the commercial value of IP and/or inventions.
- 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 IT Sligo.

6. GENERAL PROVISIONS OF IT SLIGO IP POLICY

6.1 As a general rule (further details of which are set out in paragraph 6.3, and 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 IT Sligo or in relation to work carried out for IT Sligo is the property of and vests solely and absolutely in IT Sligo or such companies or organisations as IT Sligo may nominate for such purposes. Such material/works include, but are not limited to any:

- patents,
- design rights,
- trademark rights,
- brand rights,
- database rights,
- know how,
- trade secrets,
- confidential information rights in design,
- semiconductor topography rights,
- or other intellectual property rights or other property rights, (whether vested, contingent or future anywhere in the world).

This applies to any IP in materials which are developed by Personnel which they cause to come into existence:

- during the working or teaching hours of IT Sligo; or
- when using IT Sligo's equipment, supplies, facilities or IT Sligo Assets; or
- using IT Sligo's confidential information, trade secrets, know how or any IT Sligo IP; or
- in relation to any work performed for IT Sligo (including pursuant to any third party funded research programmes).

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

6.3 This IP Policy is applicable to IP that is owned by IT Sligo, including (without limitation) for 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 be 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 IT Sligo.
- The IP arises out of funded or non-funded research where such research has, in the opinion of IT Sligo, made use of the equipment, facilities, IT Sligo Assets and/or other resources of IT Sligo (except where ownership of such IP was provided for in a prior agreement between IT Sligo and third parties).

- If it is a condition of the appointment of a Student to perform research that IT Sligo should have ownership of the IP arising from the research performed by such Student.
- If it is a condition of the appointment of an Other Relevant Party to perform research that IT Sligo should have ownership of the IP arising from the research performed by such Other Relevant Party.

6.4 IP arising from research or other work sponsored by an external organisation (e.g. Enterprise Ireland) shall be subject to the IP provisions that are stipulated in the related agreement between IT Sligo and the external organisation (“External Agreement”). Where an External Agreement requires all new IP rights to be assigned to a private company, the entry level (or “background”) IT Sligo 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 IT Sligo IP. All External Agreements should be reviewed by a legal person representing IT Sligo.

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 IT Sligo.

6.5 The IP Policy also extends to Other Relevant Parties such as non-employees who participate in research projects at the Institute including visiting academics, industrial personnel etc. unless a specific waiver has been approved. Other Relevant Parties at IT Sligo who have a prior existing and conflicting intellectual property agreement or arrangement with another employer or third party must enter into an agreement with IT Sligo (and their employer or relevant third party) (see Annex III) to abide by the conditions of this IP Policy in the course of their activities in IT Sligo.

6.6 In order to enable the achievement of the aims and goals of this IP Policy, the Vice President, Research, Innovation & Engagement’s Office 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 Vice President, Research, Innovation & Engagement’s Office intends to provide specific training on this IP Policy and its day to day application and relevance to research active Personnel.

7. CONSULTANCY

Staff are permitted to engage in consultancy projects for third parties subject to compliance with applicable IT Sligo policies in force from time to time and subject to approval by the President of IT Sligo. Any such approved consultancies must be disclosed to the IP Committee.

8. INTELLECTUAL PROPERTY ASSIGNMENTS AND PATENT ASSIGNMENTS

For the avoidance of doubt, the provisions of this paragraph 8 apply to all the departments, centres, institutes, schools and Personnel conducting research or other intellectual activity using IT Sligo Assets and IT Sligo's supplies, facilities, confidential information, trade secrets or existing IT Sligo IP.

As a condition of:

- (a) employment or engagement by IT Sligo as Staff;
- (b) admission by IT Sligo as a Student; or
- (c) engagement by IT Sligo as a Other Relevant Party;

each Student, Staff member and Other Relevant Party (as the case may be) shall comply with this IP Policy and shall agree to assign to IT Sligo (or a person or company nominated by IT Sligo or an agency which provided the funding for the relevant research) any and all IP in and to inventions discovered and produced or otherwise developed while the person was Personnel as the case may be.

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

- (a) to sign an Intellectual Property Assignment Agreement (see Annex II); and
- (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 IT Sligo's rights, title and interest in IT Sligo 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 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.

9. 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 then 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 Vice President, Research, Innovation & Engagement's Office (who will seek external advice if necessary) and, in the case of a contract, such contract has been properly executed by IT Sligo.

10. ADMINISTRATION OF THE IP POLICY

At IT Sligo, the office responsible for supporting the development and commercialisation of IT Sligo IP is the Vice President, Research, Innovation & Engagement's Office (through the Head of Innovation). All IT Sligo IP created by Personnel must be disclosed in accordance with the procedures laid down in this IP Policy.

11. DISCLOSURE

It is a condition of:

- (a) employment or engagement by IT Sligo as Staff;
- (b) admission by IT Sligo as a Student; or
- (c) engagement by IT Sligo as an Other Relevant Party;

that the results of all research or projects should be fully, promptly and completely disclosed to IT Sligo.

In order to enable IT Sligo to ensure that it fulfils its obligations to organisations such as Science Foundation Ireland, Enterprise Ireland, companies and other third parties in both the public and private sectors, who are funding research at IT Sligo, all Personnel must disclose any IP arising from such research to IT Sligo through the Vice President, Research, Innovation & Engagement's Office as soon as possible after such IP is apparent. The IP should be kept confidential for a period of time until a timely evaluation of the case assessment (including, without limitation, patentability) has taken place. No publication should be made prior to disclosure. Confidentiality agreements and/or non-disclosure agreements should be used where appropriate.

Procedures to be followed in respect of IP protection applications

1. Submission of Invention Declaration Form (see Annex IV):
 - Regarding any discovery or invention made that might be useful, patentable or otherwise protectable, the IP Policy requires that Personnel complete an Invention Declaration Form.
 - This form should be promptly submitted to the Head of Innovation in the Vice President, Research, Innovation & Engagement's Office.

2. Commercial Evaluation of IP:
 - Any IP reported in an Invention Declaration Form shall be submitted to the IP Committee for assessment under the guidelines of the IP Policy and for recommendations to IT Sligo regarding the patentability and/or potential commercialisation.
 - The IP Committee may recommend that other suitably qualified advisors or external consultants be engaged to advise on the assessment of the IP.
 - The criteria to assess the commercial value of the IP should include (without limitation):
 - Assessment that the IP does not cater for a once-off need and that it has a potential long-term 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 – in other words ‘what is the current market willing to pay?’
 - 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 IP Committee may refer to other expertise (internal or external) where necessary, and further criteria may be applied.

 - A decision will be made by the IP Committee within a reasonable time (e.g. 60/90 days, but in any event no longer than one year from date of report) of receipt of the application, where practicable, and the originator of the IP will be notified in writing of the decision made.

- If the evaluation is rejected by the IP Committee, the IP Committee may decide in appropriate circumstances, to offer the opportunity to the originator of the IP to pursue exploitation independently if appropriate under agreed written terms. IT Sligo will have no rights if it subsequently proves successful, subject to any agreed terms.

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

- IT Sligo 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 IP 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 IP 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 External Agreements.
- The cost of the submission of the application shall be paid by IT Sligo. Any expenses incurred will be reimbursed to IT Sligo prior to the distribution of any royalty income (if any) from the IP.
- The originator of the IP and IT Sligo 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.
- IT Sligo may decide at any stage to withdraw from the process of exploiting an 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 IT Sligo to withdraw from the process and the withdrawal will apply from immediate effect.
- The IP may, at IT Sligo's entire discretion, be assigned or licensed to the originator in appropriate circumstances, 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 IT Sligo IP except when properly and lawfully executed by IT Sligo.

12. COMMERCIALISATION

The Vice President, Research, Innovation & Engagement's Office (through the Head of Innovation) 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.

In providing this advice and assistance, the Vice President, Research, Innovation & Engagement's Office 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.

13. LICENSING AND DIVISION OF INCOME

Technology Transfer Fund

IT Sligo will establish a research fund to be used to promote and enhance research and development activity and facilities within IT Sligo as determined by the Research and Development Committee ("R&D Committee") from time to time - the Technology Transfer Fund ("TT Fund"). The R&D Committee will give due cognisance to the research area/centre that secured the funding in deciding on its expenditure.

The TT Fund will be used to assess, protect and facilitate the commercialisation of IT Sligo IP through the pursuit of patent or other protection, the granting of licenses, the development of campus companies and/or otherwise to ensure maximum benefit to the Institute and the public good, as determined by the IP Committee in line with the IP Policy and approval of the R&D Committee.

Division of Income – General Principles

The following points apply in relation to licensing and division of income from commercialising IT Sligo IP resulting from IT Sligo research:

- IT Sligo welcomes the development by industry, for public use and benefit, of inventions and other IP resulting from IT Sligo research. IT Sligo will maintain a flexible and open approach to bringing IT Sligo IP into commercial use. Each case will be considered individually and will involve an assessment of all the potential risks and potential rewards.

- The definition of “income” includes revenue derived from the relevant patents or any other IT Sligo IP in question, which are commercialised by IT Sligo, and also includes (without limitation) up-front licence fees, down payments, minimum annual payments, royalties on sales and is net of any expenses incurred by the IT Sligo in commercialising or protecting the relevant patents or other IT Sligo IP.
- All direct expenses incurred by IT Sligo in:
 - the patenting or other registration or protections of IT Sligo IP; and
 - the commercialisation of an invention or any other IT Sligo IP;

including (without limitation) administrative, licensing, legal, and any other expenses and costs and any subsequent investigation, development and promotion, will be deducted from the initial royalty income or lump sum. No royalty income will be made available for distribution until such expenses have been recovered.

- If more than one inventor or department is involved, unless formally agreed amongst themselves, with due regard to the value and substance of their respective contributions, the Inventor’s share set out above shall be divided equally among them.
- The division of royalty income will be carried out within 2 months of the receipt of such income by IT Sligo.
- The originator of the IP’s share shall continue to be paid even though he/she may have left IT Sligo.
- For the avoidance of doubt, Personnel (whether originators of IP or otherwise) that are not Staff or Students but are Other Relevant Party shall not be entitled to royalty income arising from IT Sligo IP to which they have contributed unless this is stated in their contract of engagement or IT Sligo agrees otherwise in writing.

Division of Income From Patents

Subject to the General Principles set out above, income derived from inventions or other IP which are patented and commercialised by IT Sligo in accordance with the provisions of this IP Policy will (subject to any ministerial/government department consents which may be required from time to time) be distributed between the originator(s), the originator(s)’ Department(s) and the IT Sligo Research and TT Fund. While it is recognised that each project may have to be negotiated on its own merits, the following scale will apply (subject to final determination by the IP Committee):

Level of patent income	Inventor(s)	IT Sligo TT Fund	Inventor’s Department
First €20,000 of patent royalties	50%	25%	25%
Over €20,000 of patent royalties	35%	35%	30%

Division of Income From Intellectual Property Other Than Patents

Subject to the General Principles set out above, division of income derived from commercialising IT Sligo IP which is not patented may occur from time to time and must be approved by the Financial Controller of IT Sligo on a case by case basis. It is intended that the division of income will where possible be agreed in advance of commencing a research project. However, it is acknowledged that it is more difficult to calculate the level of income that is derived from IP that is not patented than from patents due to issues such as the following:

- Non-patented IP is often used in bundles where a number of kinds of IP are involved e.g. trade secrets, confidential information and know-how with each kind of IP belonging to a separate originator.
- Where non-patented IP is supplied in bundles, it can be difficult to attribute specific value to each of the parts of the bundle.
- Third party IP may form part of the bundle in question.
- IT Sligo non-patented IP may include or be based on third party IP and it may be difficult to separate out the value of each.

The ranges of income that might be approved by the IP Committee are set out below in the Guide Table, however the final division of income will be approved by that Committee (and in certain circumstances, may require the approval of the Minister of Education and Science). IT Sligo reserves the right to offer a lump sum payment in lieu of an ongoing royalty payment.

Level of income derived from non-patented IP	Inventor(s)	IT Sligo & TT Fund	Inventor's Department
First €20,000 of income	10 - 50%	25 - 45%	25 - 45%
Over €20,000 of income	10 - 35%	30 - 50%	30 - 50%

14. INTELLECTUAL PROPERTY CREATED OUTSIDE IT SLIGO EMPLOYMENT

The IT Sligo will have no interest in any inventions or other IP created by Personnel entirely on their own time without the use of any IT Sligo Assets. The onus shall be on Personnel asserting their rights under this paragraph 14 to prove to the satisfaction of the IT Sligo that the relevant invention or IP was in fact created by them on their own time without the use of any IT Sligo Assets. Personnel must not infringe the Intellectual Property Rights of any third parties.

15. PUBLICATION OF RESEARCH RESULTS

It is IT Sligo Policy to encourage staff and students to place the results of their research in the public domain either through publication in learned journals or presentation at conferences. This is a vital factor for academic recognition. It is mandatory that such disclosure is not in violation of the terms of any agreement that has been entered into by IT Sligo with a sponsor or other third party.

It must be recognised that premature publication or disclosure except on a confidential basis may make it impossible to obtain valid patent protection. Where possible the delay in publication to enable a patent application to be filed should be for a period of 90 days from the date when this IP is ready for publication. The placing of a thesis in the IT Sligo library without ensuring that accessibility is restricted constitutes publication.

16. ARBITRATION

Any dispute between IT Sligo and the originator of IP will be forwarded to an independent arbitrator to be agreed by the parties. Failing agreement, the arbitrator will be appointed by the President for the time being of the Law Society of Ireland. Expenses incurred in arbitration shall be deducted from royalty income before distribution.

17. CONFLICT OF INTEREST RELATING SPECIFICALLY TO EXTERNAL OR CONSULTANCY AGREEMENTS

IT Sligo encourages full disclosure of potential areas of conflict and open discussion at an early stage. IT Sligo will endeavour to help alert Staff and Other Relevant Party to recognise where conflicts may occur and to manage and resolve these conflicts.

18. ORGANISATIONS AND COMPANIES COLLABORATING WITH IT SLIGO ON RESEARCH PROJECTS

As a public organisation, IT Sligo 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 IT Sligo IP 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 IP Committee will decide on the IP ownership rights IT Sligo require and will agree the sale/assignment, 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.

19. MONITORING AND EVALUATION OF POLICY

This IP Policy will be monitored by the Vice President, Research, Innovation & Engagement's Office 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 IT Sligo from time to time. All amendments to this IP Policy shall be posted on the IT Sligo Intranet and such amendments shall be fully valid and effective from the date of posting.

ANNEX I

DEFINITION OF INTELLECTUAL PROPERTY

1 Intellectual Property

The IT Sligo defines intellectual property as the tangible or intangible results of research and development. 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 and software, whether or not patentable or otherwise susceptible to intellectual property protection, including technology and materials in their tangible form.

1.1 Patents

Patents are intended to protect new and improved products and processes that have some technical innovation and are capable of industrial application.

A Patent gives its owner the right, for a limited period, to stop others from making, using or selling the invention without the permission of the owner in a particular territory. Patent rights are territorial in that an Irish Patent does not give Patent rights outside Ireland. Most Patents are for improvements in a known technology rather than the devising of a completely new technology.

1.2 Trademarks

Trademarks are intended to protect a brand's identity so as to distinguish the goods or services of one trader from those of another trader. A Trademark may be a word, logo, slogan, colour, three-dimensional shape and even a sound or smell. The Trademark must be capable of being represented in words and/or pictures.

1.3 Industrial Design and Unregistered Design Right

The Industrial Designs Act 2001, which brings Irish law into compliance with EU Directive 98/71/EC, came into force on July 1, 2002. Designs cover the appearance of a product, either the whole or a part, resulting from such features as lines, contours, colours, shape, texture or materials of the product itself or its ornamentation. The term **product** embraces any industrial or handicraft item. The term **product** has a wide meaning that includes packaging, get-up and graphic symbols (e.g. Desktop icons) etc.

Registration is not available for features of a design which are dictated by the technical function of the product. The new law contains a *must fit* exclusion under which it is not possible to obtain registration for features which are dictated by the need for the product to fit another. However, modular products, i.e. made up of several components which can be fitted together in different ways, are protectable.

Design Registration gives the owner the right, for a limited period (up to 25 years, with renewals every 5 years), to stop others from making, using or selling a product to which the design has been applied, or in which it is incorporated.

From early 2003, it will be possible to obtain a *Registered Community Design* covering all member states of the EU. Registered Community Design Applications will be handled by the office (OHIM) which currently handles Community Trade Marks.

An *unregistered design right* is available at Community level and eligibility for protection is the same as for a Registered Design. The right comes into existence automatically by the mere fact of making the product incorporating the design available to the public within the European Community. Protection is limited to 3 years and to preventing the use of copies of original designs. It is important to note that a Registered Design gives exclusivity whereas an *unregistered design right* can only be enforced where copying can be proved.

1.4 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.

1.5 Domain Names

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

1.6 Tangible Research Property

This includes biological materials such as cell lines, plasmids, hybridomas, monoclonal antibodies and plant varieties; computer software, data bases, integrated circuit chips, prototype devices and equipment, circuit diagrams; and analytical procedures and laboratory methods, whether or not intellectual property protection is available through Patents and/or copyright or otherwise.

1.7 Other Forms of Intellectual Property

Other forms of intellectual property include, but are limited to, database right for certain types of database; 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 *IT Sligo Intellectual Property* that is owned by the IT Sligo for any of the reasons outlined below:

- It is developed by IT Sligo 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 IT Sligo Personnel to further the interest of IT Sligo.

- The intellectual property arises out of funded or non-funded research where such research has, in the opinion of IT Sligo, made use of the equipment, facilities, IT Sligo Assets and other resources of the IT Sligo unless such action was precluded by prior agreement between the IT Sligo and third parties.
- If it is a condition of a research contract with a third party that the IT Sligo should have ownership of the intellectual property arising from the contract.

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".

□ PATENTS ACT 1992 (1992 Act)

Right to 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."

ANNEX II

Institute of Technology Sligo ("IT SLIGO")

Intellectual Property Assignment Agreement for Staff, Students and Other Relevant Parties⁴

Research Project(s) Title: _____ (the "Project(s)")

Research Project(s) Number: _____

I understand that, consistent with applicable laws and regulations, IT Sligo is governed in the handling of intellectual property by its official IP Policy⁵ 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 IT Sligo 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 patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information rights in design, semiconductor topography rights 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 IT Sligo (and in particular in the course of my work on the Project) are the property of and vest solely and absolutely in IT Sligo ("IT Sligo IP").

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

1. I will disclose to IT Sligo all potentially patentable inventions and other IT Sligo IP conceived or first reduced to practice in whole or in part in the course of my IT Sligo responsibilities, my participation in the Project(s) at IT Sligo or with more than incidental use of IT Sligo resources. I further assign to IT Sligo all my right, title and interest in such patentable inventions and other IT Sligo IP created in connection with IT Sligo and/or the Project(s) 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 IT Sligo (if any) or with any other agreement I have entered into.
2. I will not use any information defined as confidential or proprietary by any non-IT Sligo employer (if any) in the course of my IT Sligo responsibilities and I will not do consulting or research work for any non-IT Sligo employer (unless such work is approved of in writing by IT Sligo).

⁴ As the terms Staff, Students and Other Relevant Parties are defined in the IT Sligo IP Policy.

⁵ This Intellectual Property Assignment Agreement forms Annex II of the IT Sligo IP Policy.

3. This Agreement is effective on date of my IT Sligo hire, enrolment or participation in projects administered by IT Sligo, 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 IT Sligo 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 IT Sligo or any party to whom IT Sligo assigns or licences this IP in respect of payment, royalty or other income arising therefrom.]⁶

Signed this ----- day of -----, 20●●

Signature

Printed or typed name

IT Sligo title

IT Sligo Department

[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 IT Sligo in this Agreement.]

⁶ 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.

ANNEX III

Institute of Technology Sligo ("IT Sligo")

Intellectual Property Assignment Agreement for Staff, Students and Other Relevant Parties⁷ 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, IT Sligo is governed in the handling of intellectual property by its official IP Policy⁸ 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 IT Sligo activities.

As a general rule (and subject to the exceptions set out in the IP Policy) any intellectual property rights in any patent, design right, trademark rights, brand rights, database rights, know how, trade secrets, confidential information rights in design, semiconductor topography rights or other intellectual property rights or other property rights, whether vested, contingent or future anywhere in the world), created by you in the course of your work with IT Sligo are the property of and vest solely and absolutely in IT Sligo ("IT Sligo IP").

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

1. I will disclose to IT Sligo all potentially patentable inventions and other IT Sligo Intellectual Property conceived or first reduced to practice in whole or in part in the course of my IT Sligo responsibilities, my participation in research projects at IT Sligo or with more than incidental use of IT Sligo resources. I further assign [jointly] to IT Sligo [and to my non-IT Sligo employer]⁹ all my right, title and interest in such patentable inventions and other IT Sligo Intellectual Property created in connection with IT Sligo 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 IT Sligo or with any other agreement I have entered into.
2. I will not use any information defined as confidential or proprietary by my non-IT Sligo employer in the course of my IT Sligo responsibilities and I will not do consulting or research work for my non-IT Sligo employer while at any facility owned or leased by IT Sligo.
3. I am free to place my inventions in the public domain as long as in so doing neither I nor IT Sligo violates the terms of any agreements that governed the work done or my agreements with my non-IT Sligo employer.
4. This Agreement is effective on date of my IT Sligo hire, enrolment or participation in projects administered by IT Sligo, and is binding on me, my estate, heirs and assigns.

⁷ As the terms Staff, Students and Other Relevant Parties are defined in the IT Sligo IP Policy.

⁸ This Intellectual Property Assignment Agreement forms Annex III of the IT Sligo IP Policy.

⁹ To be considered on a case by case basis

5. [I hereby agree and acknowledge that in respect of the Project and in respect of my assignment of IP to IT Sligo 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 IT Sligo or any party to whom IT Sligo assigns or licences this IP in respect of payment, royalty or other income arising therefrom.]¹⁰

Signed this ----- day of -----, 20••

Signature

Printed or Typed Name

IT Sligo Title

IT Sligo Department

Acknowledged and accepted:

Non-IT Sligo Employer: -----
(Insert name)

Signature

Title

Date

¹⁰ 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 IT Sligo in this Agreement.]

ANNEX IV

INVENTION DECLARATION FORM

1. Title of Invention

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2. Inventors

Name	Department	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).

--

5. Why is this invention more advantageous than present technology?
 What are its novel or unusual features?
 What problems does it solve?

--

6. Sponsorship

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	

7. Where was the research carried out?

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

**9. 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.**

10. **Have any third parties any rights to this invention?**
If yes, give names and addresses and a brief explanation of involvement.

11. **Are there any existing or planned disclosures regarding this invention?**
Please give details.

12. **Has any patent application been made? Yes/No**

If yes, give date: _____ Application No.: _____

Name of patent agent: _____

Please supply copy of specification.

13. 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

ANNEX V

Data Protection And Confidentiality Undertaking for Employees, Contractors or Students taking part in a project involving IT Sligo 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 Institute of Technology Sligo (IT Sligo) as a [research assistant] in the performance of services ("Services") under the [research agreement] ("Agreement") between IT Sligo 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 IT Sligo'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 IT Sligo and/or the Partner and that IT Sligo 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 to 2003, I hereby consent to the processing of all personal data that I provide to IT Sligo 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 IT Sligo; or

(b) I am expressly released from this undertaking by IT Sligo,

and is not conditional on my being or remaining an employee or student of IT Sligo.

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

Dated:

Signature of person giving the undertaking

Signature of Witness

Name of Witness:

ANNEX VI

NON-DISCLOSURE AGREEMENT

THIS AGREEMENT is made on • 200•.

PARTIES:

- (1) INSTITUTE OF TECHNOLOGY SLIGO of Ballinode, Sligo, County Sligo (“IT Sligo”); and
- (2) • of • (“Receiving Party” which expression shall be deemed to include those of its employees or advisors to whom any Confidential Information is to be disclosed).

BACKGROUND:

IT Sligo proposes to allow the Receiving Party access to certain information concerning its business to enable the Receiving Party to consider and evaluate a possible commercial relationship between IT Sligo and the Receiving Party (“Project”). The Receiving Party agrees to hold and maintain as confidential all such information provided by IT Sligo for such purposes, on the terms and conditions of this Agreement.

AGREED TERMS:

Now it is hereby agreed as follows consideration of IT Sligo disclosing the Confidential Information (as defined below) to the Receiving Party:

1. Definition

“Confidential Information” means any and all information in whatever form disclosed by IT Sligo to the Receiving Party whether orally or in writing or whether eye readable, machine readable or in any other form including, without limitation, the form, materials and design of any relevant software (including source and object code) or equipment or any part thereof, the methods of operation and the various applications thereof, processes, formulae, plans, business plans, strategies, data, know-how, ideas, designs, photographs, drawings, specifications, technical literature, information relating to employees, customers, subscribers, students, post-doctoral students, contractors registered with IT Sligo, suppliers or content providers and any other material made available by IT Sligo to the Receiving Party or gained by the visit by the Receiving Party to any establishment of IT Sligo whether before or after this Agreement is entered into, for the purpose of considering, advising in relation to or furthering the Project (and any information derived from such information) and provided that such information is by its nature clearly confidential (whether or not that information is marked or designated as confidential or proprietary).

2. Undertakings

The Receiving Party hereby undertakes with IT Sligo:

- (a) to maintain the Confidential Information in strict confidence;
- (b) save as provided in this Agreement, not divulge any of the Confidential Information to any third party or communicate, indicate or suggest to any third party the existence of the Project;
- (c) not to make use of the Confidential Information other than for the purpose of the Project;
- (d) not at any time contest or dispute the ownership of the Confidential Information;
- (e) to restrict access to the Confidential Information only to its own responsible employees or professional advisers who need to have such access for the purposes of the Project and to impose upon such persons obligations of confidentiality equivalent to those contained in this Agreement (and to be responsible for any breach of the terms of this Agreement by its own employees or professional advisers);
- (f) not at any time to reverse engineer, decompile or disassemble any software disclosed to it in the course of the Project and not to remove, overprint or deface any notice of copyright, trademark, logo, legend or other notices of ownership from any originals or copies of Confidential Information;
- (g) to take or to permit to be taken only such copies of any document or other material (in whatsoever medium) embodying any of the Confidential Information as are reasonably necessary for the purposes of the Project;
- (h) if the Receiving Party receives any communication requesting disclosure of any of the Confidential Information or indicating an intention to obtain or the fact that there has been obtained any order which would oblige the Receiving Party in law to disclose any of the Confidential Information, the Receiving Party will (immediately and by the fastest means possible, confirmed in writing) communicate to IT Sligo the fact that the communication has been received and all details of the same with a view to the parties co-operating in taking all reasonable and proper steps to ensure so far as is possible that the Confidential Information and the Project are maintained in the strictest confidence; and
- (i) to confirm to IT Sligo in writing at any time on request that it has complied and continues to comply with the provisions hereof.

3. Acknowledgements and Confirmations

The Receiving Party hereby further acknowledges and confirms to IT Sligo as follows:

- (a) that the Confidential Information is proprietary information of IT Sligo, the disclosure of which could adversely affect the business of IT Sligo and result in economic harm;
- (b) that neither IT Sligo nor any of its advisers nor any of its agents, officers, students, post-doctoral students, contractors registered with IT Sligo, or employees accept responsibility or liability for or make any representation, statement or expression of opinion or warranty, express or implied, with respect to the accuracy or completeness of the Confidential Information or any oral communication in connection therewith unless and save to the extent that such representation, statement or expression of opinion or warranty is expressly incorporated into any legally binding contract executed between the parties;
- (c) that the provisions of this Agreement shall continue in effect notwithstanding any decision by the parties not to proceed with the Project or any return or destruction of the Confidential Information;
- (d) that damages alone would not be an adequate remedy for any breach of the provisions of this Agreement and, accordingly, without prejudice to any and all other rights or remedies that IT Sligo may have against the Receiving Party, IT Sligo shall be entitled without proof of special damage to the remedies of temporary or permanent injunction, specific performance and other equitable relief for any threatened or actual breach of the provisions of this Agreement;
- (e) that if IT Sligo furnishes or has furnished any confidential information of an affiliated company, the Receiving Party will have the same obligations to such affiliated company with respect to such information as it has to IT Sligo with respect to the Confidential Information as if all references in this Agreement to IT Sligo were references to such affiliated company; and
- (f) that the disclosure of the Confidential Information by IT Sligo shall not be deemed to confer any proprietary rights upon the Receiving Party nor shall such disclosure be construed as granting any license of rights of any intellectual property in the Receiving Party.

4. Exceptions

The undertakings contained in Clause 2 and the confirmations and acknowledgements contained in Clause 3 shall not apply to Confidential Information which:

- (a) is or becomes publicly available, other than as a result of a breach of this Agreement, or becomes lawfully available to the Receiving Party from a third party free from any confidentiality restriction;
- (b) was already in the possession of the Receiving Party (as shown by its pre-existing written records) before it was disclosed to the Receiving Party;
- (c) was independently developed without access to or use of the Confidential Information;
- (d) the Receiving Party is required to disclose:

- (i) by law;
 - (ii) by any rule or regulation of any stock exchange;
 - (iii) by any Court procedure; or
 - (iv) by any rule or regulation of any governmental or other competent authority,
- provided that, so far as is practicable to do so the Receiving Party shall consult with IT Sligo prior to such disclosure with a view to agreeing its timing and content.

5. Return of Confidential Information

The Receiving Party hereby undertakes with IT Sligo:

- (a) upon demand by IT Sligo or its professional advisers, to either return to such person as they may direct, or destroy, at the option of IT Sligo all the Confidential Information (including all printed and electronic copies thereof) in its possession or control; and
- (b) upon the return or destruction (as the case may be) of all the Confidential Information, to provide IT Sligo with a certificate from an authorised officer stating that it has complied with its obligations under this Clause.

6. Indemnity

The Receiving Party agrees to fully indemnify, keep indemnified and hold harmless IT Sligo against all losses, damages, claims, costs, expenses, liabilities, proceedings and demands which IT Sligo may suffer or incur or which may be made against IT Sligo as a result of any unauthorised disclosure or use of the Confidential Information by the Receiving Party, its employees and/or professional advisers.

7. Term

- (a) The Receiving Party agrees that its agreements, covenants and undertakings set out in this Agreement will continue in full force and effect and will apply to the Confidential Information for the period of [3] years from the date of this Agreement.
- (b) The provisions of this Agreement shall continue in force notwithstanding the fact that the Project is not proceeded with or has been terminated and regardless of the reasons for such termination.

8. General

- (a) The laws of Ireland (excluding Northern Ireland) shall govern this Agreement and any disputes, claims or proceedings arising out of or in any way relating to this Agreement.
- (b) The courts of Ireland (excluding Northern Ireland) shall have exclusive jurisdiction for the purpose of any proceedings arising out of or in any way relating to this Agreement.
- (c) This Agreement contains the entire agreement between the parties and supersedes all prior oral, or written representations, understandings, or agreements.

- (d) Both parties must agree any changes to this Agreement in writing.
- (e) Each Clause of this Agreement is severable if deemed void, illegal or unenforceable by a court or competent authority.

Signed for and on behalf of

IT Sligo by its authorised signatory:

Signed for and on behalf of •

by its authorised signatory:

ANNEX VII CONFLICT OF INTEREST & DISPUTE RESOLUTION

The Institute recognises that in the pursuit of commercially orientated research or the commercialisation of Intellectual Property, there will be situations in which Institute staff will find themselves in a position that may constitute a conflict of interest or a conflict of commitment. This is not unusual, conflicts of interest occur in all professional environments and are not uncommon with respect to IP commercialisation. Further information may be found on the Conflict of Interest Policy.

It is important, however, when conflict of interest situations (or their appearance) arise that they are acknowledged and handled appropriately including where appropriate including on the risk register of the Institute. Failure to do so can, in extreme situations, cause serious damage to individual and institutional reputations, incur the loss of support and potentially result in significant costs, legal and otherwise.

Members of the Intellectual Property Committee shall be required to declare any interest or potential conflict of interest position relative to any matter to be presented to the Committee. If a member has any such interest, or potential conflict, they will absent themselves from any committee discussion pertaining to such matters. Senior Staff members of the Institute are also required to inform the Chairperson of the Intellectual Property Committee of situations where they have an interest in, or potential conflict of interest related to any proposed commercialisation and to abide by the Chairperson's guidance with respect to their participation in such commercialisation endeavours. While specific mention is made here of potential conflict of interest issues related to the workings of the Commercialisation Committee Intellectual Property Committee, it is important to realise that in exercising their responsibilities under this Policy, all staff of the Institute must exercise due caution to avoid even the appearance of acting while in a conflict of interest situation.

Should a staff member or a student feel they may have a conflict of interest, or be affected by one, the proper action to take is to disclose their concern, in writing if possible? Such disclosure should be made through the process identified in the Conflict of Interest Policy. Each matter will be treated in confidence and may, in order to properly address the concerns, draw on advice and expertise from both inside and outside the Institute, including the Chairperson of the Intellectual Property Committee or the Technology Transfer Office.

In particular, with respect to commercial conflicts, it is vital that decision makers (Senior Staff) within the Institute who have a potential conflict such as shares held in a company (directly or indirectly) identify these conflicts prior to decisions being taken and remove themselves from the decision making process. In a case where there is a potential conflict of interest directly involving the President, the case will be considered and decided upon by the Chair of Governing Body or a nominee, drawing on external expertise as is deemed appropriate.

In many cases, simply disclosing the potential for conflict may be sufficient action. However, in certain cases, at the discretion of the Chairperson of the Intellectual Property Committee, and subject to consultation with senior Institute management, it may be deemed appropriate to modify responsibilities in order to mitigate any conflict. The reasons for, and extent of, any such guidance shall be documented in writing and provided to those involved.

In certain cases, staff of the Institute may be subject to the terms of the Ethics in Public Office Act of 1995 and 2001, or the Standards in Public Office Act of 2001. Nothing in this Policy undoes or modifies in any way obligations that Institute Personnel may have to comply with the provisions of the foregoing acts. For further guidance please review the Conflict of Interest Policy alongside the THEA Code of Governance which contains various references to conflict of interest in Section 5 which is approved by IT Sligo's Governing Body, which is reproduced below:

5. Codes of Conduct, Ethics in Public Office, Additional Disclosure of Interests by Governing Body Members and Protected Disclosures Guiding Principles

To ensure continued integrity and transparency, and to avoid public concern or loss of confidence, the Governing Body should ensure that appropriate policies are in place so that members and staff take decisions objectively and steps are taken to avoid or deal with any potential conflicts of interest, whether actual or perceived.

These policies should ensure that any potential or actual conflicts of interest arising in the case of decision-making by Governing Body members and the Institute's employees are addressed.

The Ethics in Public Office Acts 1995 to 2001 set out statutory obligations which apply to Governing Body members and employees separately from the provisions of this Code. Code Provisions

5.1 Codes of Conduct:

All Institutes should have published Codes of Conduct for their Governing Body and employees. The codes should be developed via a participative approach and should be approved by the Governing Body taking into account the implications of all the relevant provisions of the Institutes of Technology Acts 1992 to 2006 as well as the Ethics in Public Office Act 1995 and Standards in Public Office Act 2001. A suggested framework for such a code is contained in Appendix D. The Code of Conduct, a copy of which should be made available to all members of Governing Body and Employees for their retention, should embrace such matters as duty to the Institute, principles for addressing conflict of interest, limits on outside activities, acceptance of gifts and honesty in dealings. The up to date codes of conduct should also be available upon request with a copy of each such code being accessible through the Institute's website and brought to the attention of all Governing Body members, management and employees.

5.2 Scope of Application:

The Code of Conduct should contain a description of nature, intent and scope of application of the Code and a statement of the guiding principles and obligations

5.3 Compliance Requirements:

The Code of Conduct should refer to the need for the Governing Body 16 Adapted from “International Framework: Good Governance in the Public Sector” (IFAC/CIPFA, July 2014) pages 13-14 Code of Governance 27 Appendix C: Outline of Obligations under Ethics in Public Office Acts Appendix D: Framework for a Code of Conduct and staff to comply with relevant legislative and regulatory requirements. The Code of Conduct for Subsidiaries should also refer to the need for the Governing Body and staff to comply with relevant legislative and regulatory requirements. It should identify the relevant provisions regarding conduct/conflicts of interest in the governing legislation of the Institute.

5.4 Ethics in Public Office:

The Code of Conduct should refer to the need for each member of the Governing Body holding a Designated Governing Body membership and each person occupying a Designated Position of employment with the Institute to ensure his/her compliance with relevant provisions of the Ethics in Public Office Acts 1995 and 2001. Each Governing Body member, whether he/she holds a designated directorship under the Ethics in Public Office Acts 1995 and 2001 or not, is required to follow the obligations set out in Appendix C regarding disclosure of interests. As a matter of best practice, this Code requires each Governing Body member to submit, under the Ethics in Public Office Acts, an Annual Return including a nil return of interests where applicable. This ensures that there is evidence that each member has considered their obligations.

5.5 Conflicts of Interest:

The Code of Conduct should set out procedures for addressing conflicts of interest. In particular the Code of Conduct should recommend that the acceptance of further employment where the potential of conflict of interest arises should be restricted during a reasonable period of time after the exercise of a function in the Institute has ceased. This should be brought to the attention of Governing Body members on their appointment to the Governing Body.

5.6 Non-disclosure of Information:

The Code of Conduct should make clear that obligations of the Governing Body and employees regarding the non-disclosure of privileged or confidential information do not cease when their membership or employment in the Institute has ended. This should be brought to the attention of employees and of Governing Body members on their appointment to the Governing Body. Former Governing Body members should treat commercial information received while acting in that capacity as confidential.

5.7 Document Retention:

Governing Body members should not retain documentation obtained during their terms as members and should return such documentation to the Secretary of the Governing Body or otherwise indicate to the Secretary of the Governing Body that all such documentation in their possession has been disposed of in an appropriate manner. In the event that former Governing Body members require access to Governing Body papers from the time of their term on the Governing Body, this can be facilitated by the Secretary of the Governing Body.

Dispute Resolution

Creators may appeal decisions made by the TTO concerning Intellectual Property in which they have an interest to the Vice President of Research, Innovation & Engagement. Such Creators may further appeal decisions of the Vice President of Research, Innovation & Engagement to the President of the Institute. Similarly, decisions of the Intellectual Property Committee may be appealed to the President of the Institute. The Institute is committed to resolving conflicts internally and amicably prior to outside processes being engaged.

Any dispute or difference arising out of, or in connection with, the Institute President's decision shall then be referred to mediation by a professional and independent mediator appointed by the Institute. If the mediation is abandoned by the mediator, or is otherwise concluded without the dispute or difference being resolved, then such dispute or difference shall be referred to and finally resolved by arbitration.

In the case of a dispute or difference failing to be resolved by mediation, an arbitrator agreed by both parties, or in default of agreement, appointed by the President for the time being of the Law Society of Ireland or in the event of his or her being unwilling or unable to do so by the next senior officer of the Society who is willing and able to make the appointment provided always that these provisions shall apply also to the appointment (whether by agreement or otherwise) of any replacement arbitrator where the original arbitrator (or any replacement) has been removed by Order of the High Court, or refuses to act, or is incapable of acting or dies.

The conflict of interest provisions laid out in [Section 10](#) also apply to roles played by Institute Personnel with respect to the dispute resolution process. Using the dispute resolution procedure will not affect the participant's statutory rights.