Sugar Research Australia Limited

Procedure for Completing IP Records

Prepared with the assistance of IP Active

(formerly known as TechMAC)

Sugar Research Australia Ltd.

IP Management System and the IP Record Portal

INTRODUCTION

SRA IP Policy and IP Register

Sugar Research Australia Limited (SRA) Intellectual Property (IP) Policy requires that Research Providers provide an IP Register for each Project. This requirement is enforced via obligations under the SRA Research Agreement.

The objective of the IP Register is to **list all IP** used (Background IP (BIP) and Third Party IP (TPIP)) and IP to be developed from a project (Project IP). The register must also include details of IP rights and if there are **any restrictions** that may apply for use of such IP (BIP or TPIP) items for the delivery of Project IP or other project outcomes to the Australian Sugar Industry.

The register must be updated on a regular basis.

Proposed Adoption and Commercialisation Plans

As well as completing an IP Register, all projects must report proposed adoption or commercialisation plans to be used in the delivery of project outcomes to industry. It is important to link such plans to specific Project IP records. By doing so, SRA can assess the impact of its R&D investment.

Central IP Management System - Inteum

To create efficiencies in recording, tracking and reporting of IP elements for its R&D investments, SRA has implemented the software package 'Inteum' as its central IP Management System. **The Inteum IP Register replaces SRA's previous 'Schedule C. Intellectual Property Register' with only the Inteum version now being used.**

Inteum allows IP elements and project outcomes (final products) to be tracked across related projects throughout the life of a technology. This includes linking commercial plans and agreements to specific projects and technologies.

For Research Providers and individual researchers the aim is to allow greater coordination and collaboration in recording and tracking IP developments from SRA projects.

IP Active as System Administrator

SRA has contracted IP Active (formerly known as TechMAC) to operate and customise Inteum for the needs of SRA. IP Active currently provides IP and technology commercialisation management services for SRA and will support SRA Funding Unit Managers in the management and operation of Inteum.

ACCESS TO IP RECORD PORTAL

Getting Started - IP Record Portal and IP Disclosure

To allow researchers and their collaborating partners (if listed as subscribers) to enter details of a project and related IP items, an online IP Record Portal has been developed. This Portal allows access to an online IP Disclosure form that includes all key requirements of the SRA IP Register as well as an outline of proposed adoption and commercialisation plans.

This document provides details for accessing the Portal and completing the IP Disclosure form.

We hope that you find the new approach to reporting IP a straightforward and satisfying experience.

Definitions

BIP - Background Intellectual Property used in the project, owned by a Collaborating Partner.

Chief Investigator - main researcher and contact person responsible for application.

Collaborating Partners - companies contributing to the SRA project in either a financial or non-financial manner (for example, in-kind).

Disclosure - a data record created via the Portal detailing an SRA project and its associated Intellectual Property (BIP, TPIP, Project IP).

FRP - Final Research Proposal.

Lead Organisation - the applicant's company, usually that of the Chief Investigator.

Project IP - Project Intellectual Property.

Project Owners - determined by negotiation between Collaborating Partners with contributions influencing %Ownership.

SRA RFU - Sugar Research Australia Research Funding Unit.

Subscribers - Individuals that the Applicant would like to be notified by email of events and actions that take place for this disclosure.

TPIP - Third Party Intellectual Property used in the project, owned by an 'outside' or third party; not a company listed as a Collaborating Partner.

Procedure for Use of the **IP RECORD PORTAL**

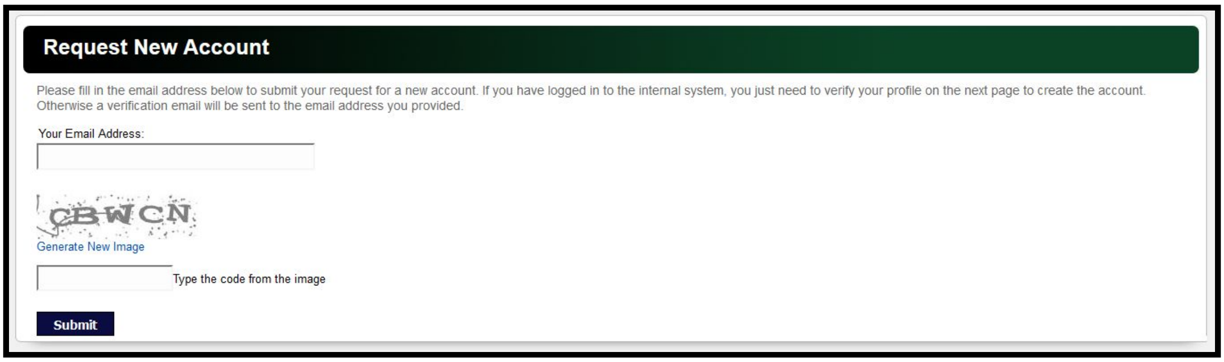
Section 1: Login to Portal

1. The **recommended browser** for Inteum is Internet Explorer. Inteum uses Silverlight and as Chrome does not work well with Silverlight, this causes problems if Chrome is used.

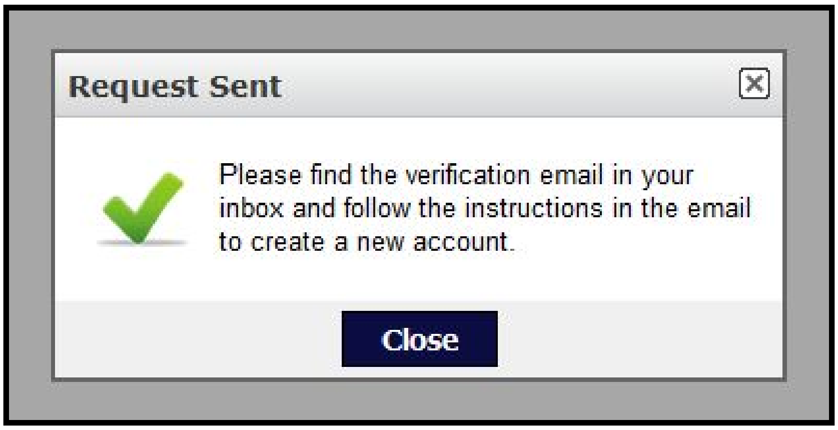
2. The Researcher obtains the following link to the Portal login page: https://sugarresearch.inteum.com/inventorportal/login.aspx

3. After clicking on the link, the following Login is displayed:

4. IF YOU ARE A NEW USER TO THE SYSTEM , click on 'Request Account' and the following request is displayed:



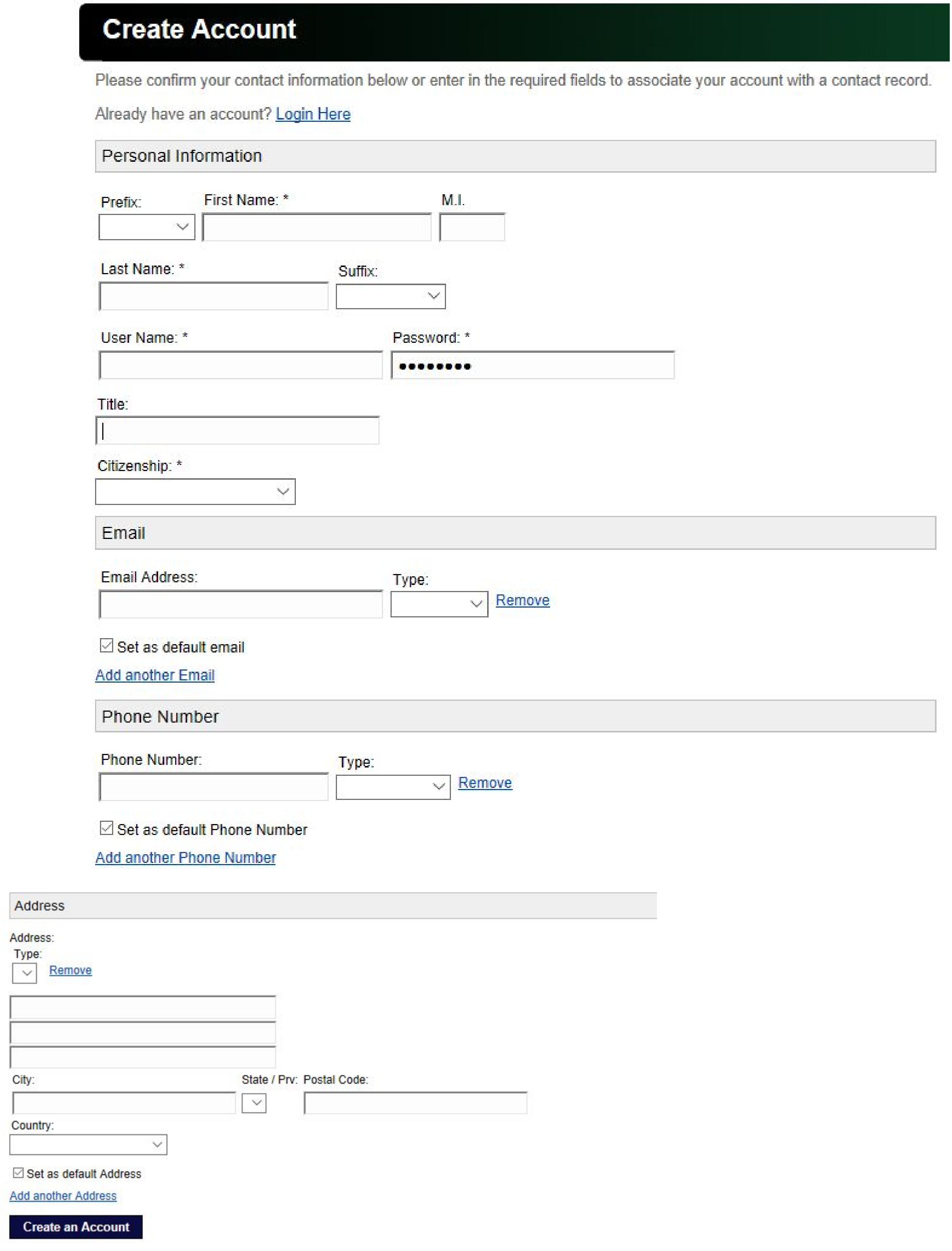
5. Provide your email address and type in the code provided. If the provided code is unclear, click on ‘Generate new image’. Click ‘Submit’. The following ‘Request Sent’ screen is then seen:



6. The following email from ip-portal@techmac.com.au titled ‘Inventor Portal Account Request’ will be received to the email address that the Researcher nominated:

> Please go to the following URL to create your new Inventor Portal account:
>
> https://west.inteum.com/techmac/inventorportal/CreateAccount.aspx?id=40ba37d3-4ca7-4fb6-90d1-013ebb583489

7. By clicking on the above link, the following ‘Create Account’ page will be seen:



Create Account

Please confirm your contact information below or enter in the required fields to associate your account with a contact record.

Already have an account? Login Here

Personal Information

Prefix: First Name: * M.I.

Last Name: * Suffix:

User Name: * Password: *

Title:

Citizenship: *

Email

Email Address: Type: Remove

Set as default email

Add another Email

Phone Number

Phone Number: Type: Remove

Set as default Phone Number

Add another Phone Number

Address

Address:

Type: Remove

City: State / Prv: Postal Code:

Country:

Set as default Address

Add another Address

Create an Account

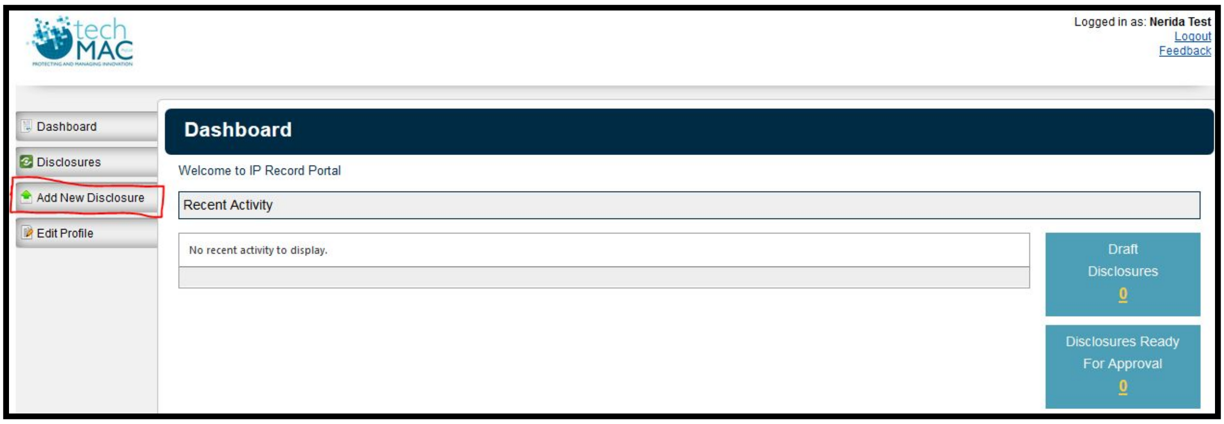
8. Complete required fields (marked by an asterisk*). **User name is eg 'JSmith' ie the first name initial with Surname.** Provide your own password. Click on 'Create an Account' at bottom of form. Confirm if you wish to create a new account or use one of the suggested accounts.

9. Once you click 'new account' you will receive a message that your account has been created and you now have access to login to the IP Record Portal. Click on ok and then the following Portal login page will again appear.

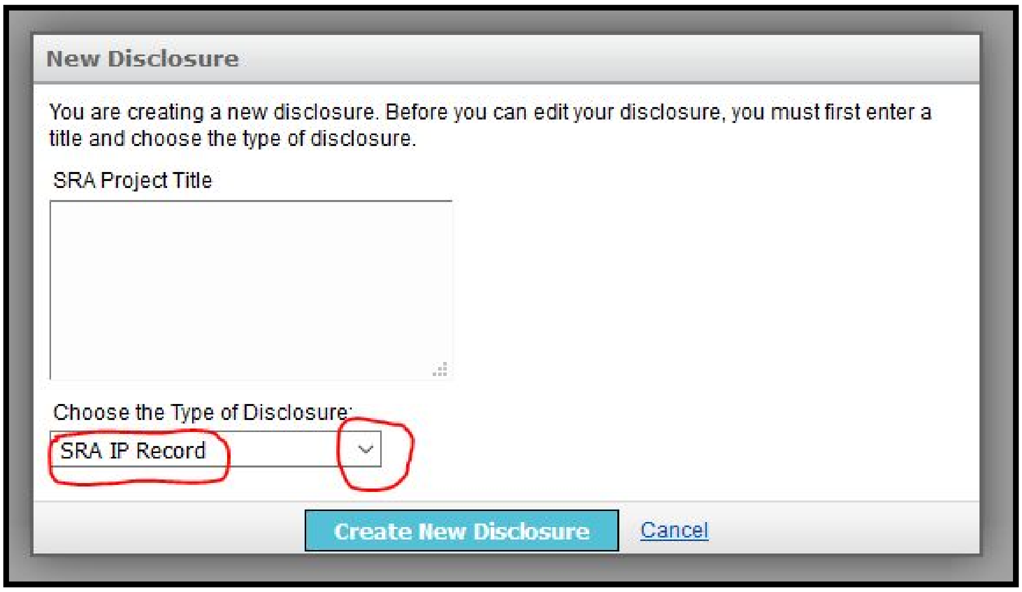
10. Type in your User Name and Password nominated when creating an account and click 'Login'.

Section 2: Creation of a Disclosure via the Portal

11. The following view of the IP Record Portal will be shown after logging in:

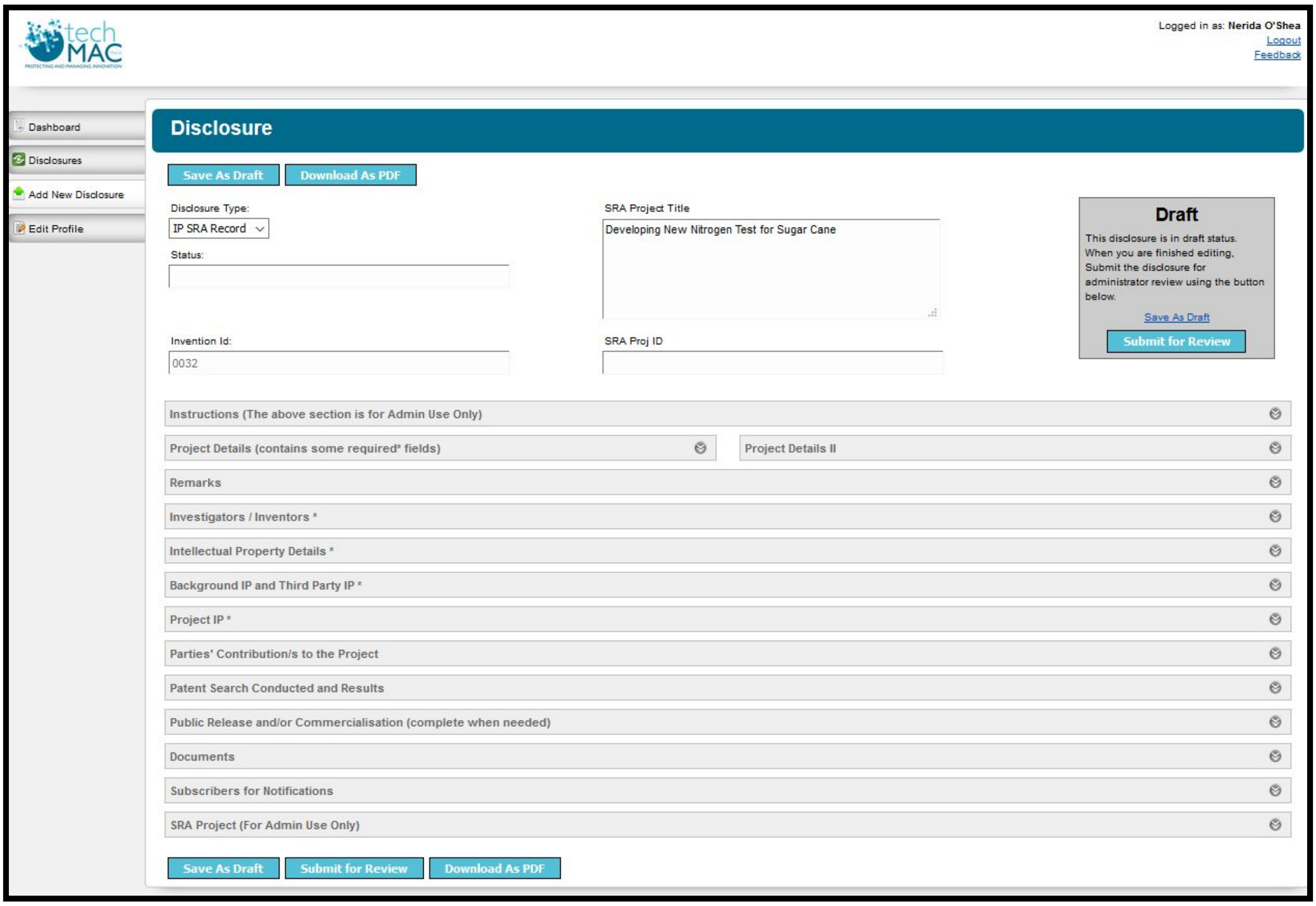


12. Clicking on 'Add New Disclosure' shows:



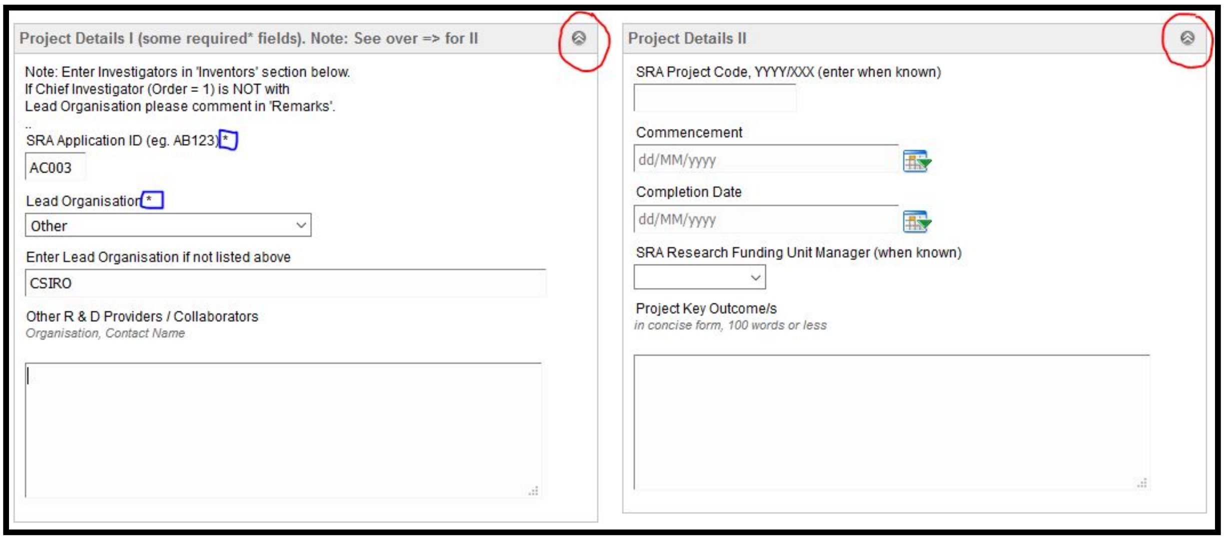
13. Type in your project title eg Developing New Nitrogen Test for Sugar Cane. Choose the Disclosure type as 'SRA IP Record' by clicking on the down arrow, then click 'Create New Disclosure'.

14. The following Disclosure template will be displayed:



Note the top section is for Administration use and will be filled after the Disclosure is approved by an SRA Manager.

15. Click on each heading box to open each section.
The two **PROJECT DETAILS** sections open as follows:



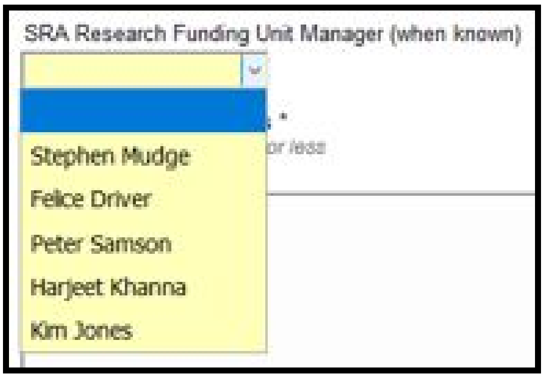
NOTE an asterisk * beside a field indicates that data MUST be entered as it is required information complying with SRA IP Policy.

Also as the IP Register is intended to be read independently, details are required without making reference to other application documents.

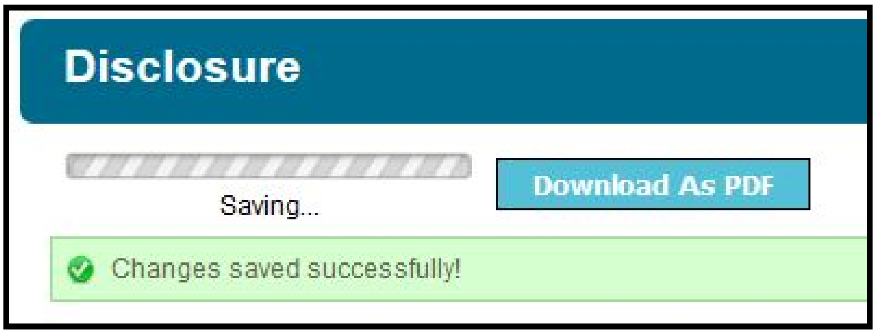
16. At the FRP (Final Research Proposal) application stage, it is necessary that all required (*) fields are completed. Remaining disclosure fields will be addressed at a later stage, during contracting of the project.

17. When needed, input date fields either directly or by clicking on the calendar icon. To change the year, click on the year shown and change with the left and right arrows provided.

18. The 'SRA Research Funding Unit Manager' field has drop-down choices seen when clicking on the arrow. When known, click on the relevant choice to select the appropriate SRA RFU Manager for your project.

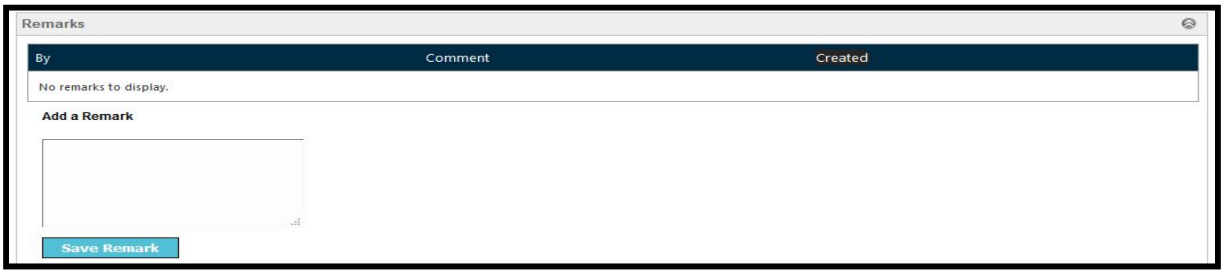


19. **!! NOTE: SAVE EACH SECTION BEFORE MOVING ON !!** Click on 'Save as Draft' either at the top or bottom of the Disclosure form and the grey and white striped bar will appear and scroll while saving is in progress. When complete, 'Changes saved successfully!' will appear for the remainder of the session, until the page is refreshed or closed.



20. ADDING REMARKS / COMMENTS AND QUESTIONS
The '**REMARKS**' section, found after the 'Project Details' section, is for recording comments from either the Researcher or the SRA Manager. These comments remain for the life of the Disclosure. The Remarks section is the only section available for use by the Researcher after the Disclosure is submitted. NOTE: If a Disclosure is returned to a Researcher, this Remarks section can be used by the SRA Manager to explain why the Disclosure has been returned

and where additional information is required. When a Disclosure is returned to a Researcher, its status is set back to draft, enabling edits on the Disclosure by the Researcher.



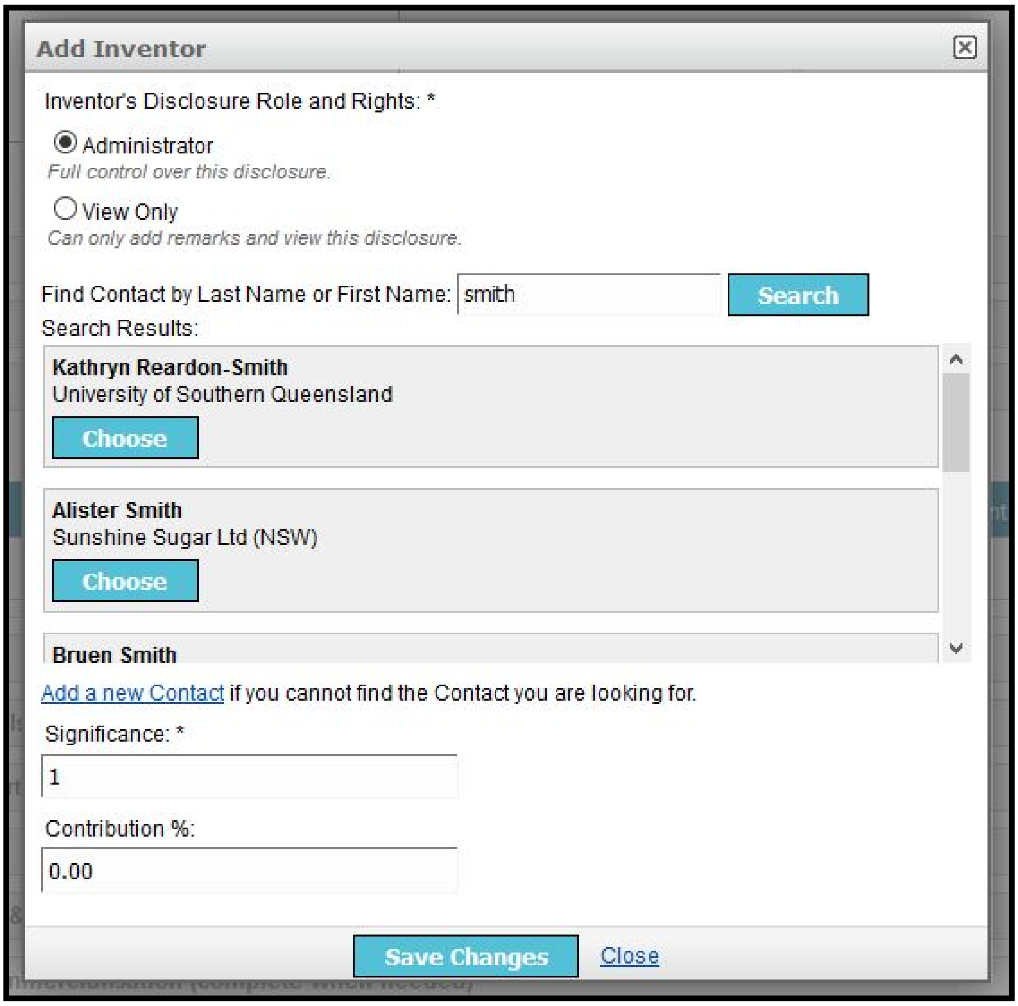
21. Add Investigator details by opening the ‘**INVESTIGATORS / INVENTORS**’ section.
    Note: at least one investigator needs to be entered.

22. Clicking on ‘Add Inventor’ shows the following:

Normally, the Chief Investigator would be given ‘Editor’ rights and Co-investigator/s ‘View Only’ rights. The ‘Significance’ for the Chief Investigator should be input as ‘1’ with Co-investigator/s input as ‘2’ then ‘3’ etc.

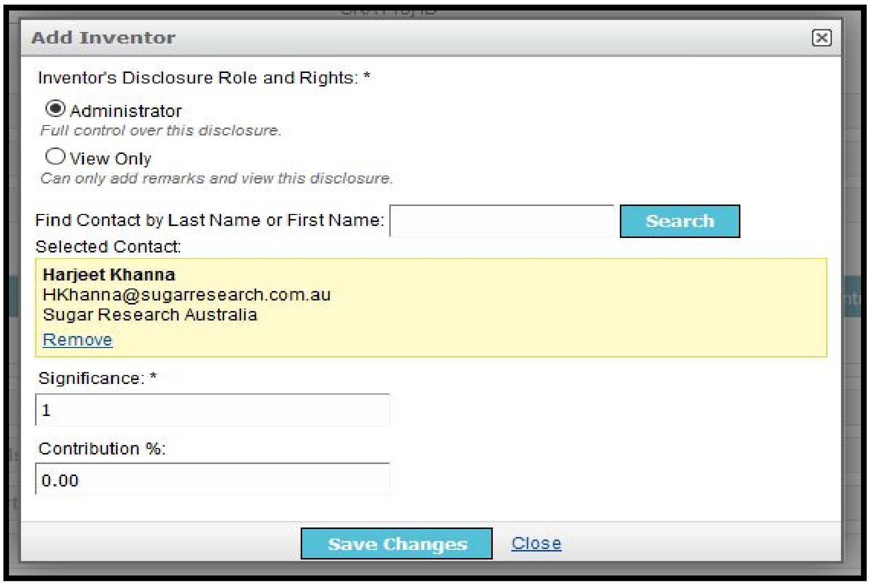
Attribute ‘Contribution %’ accordingly. For example if the project has only a Chief Investigator, then input ‘100’ %. Note the system will warn if the total % exceeds 100%.

23. If you have used the Portal previously or if your details are already in the SRA CRM database, you can search for your name or that of a co-investigator by using the search function. Just enter the Surname (example 'smith') and by clicking on 'Search', all names with smith or Smith will be shown as seen below:



Note the scroll bar at the right side can be used to access full search results.

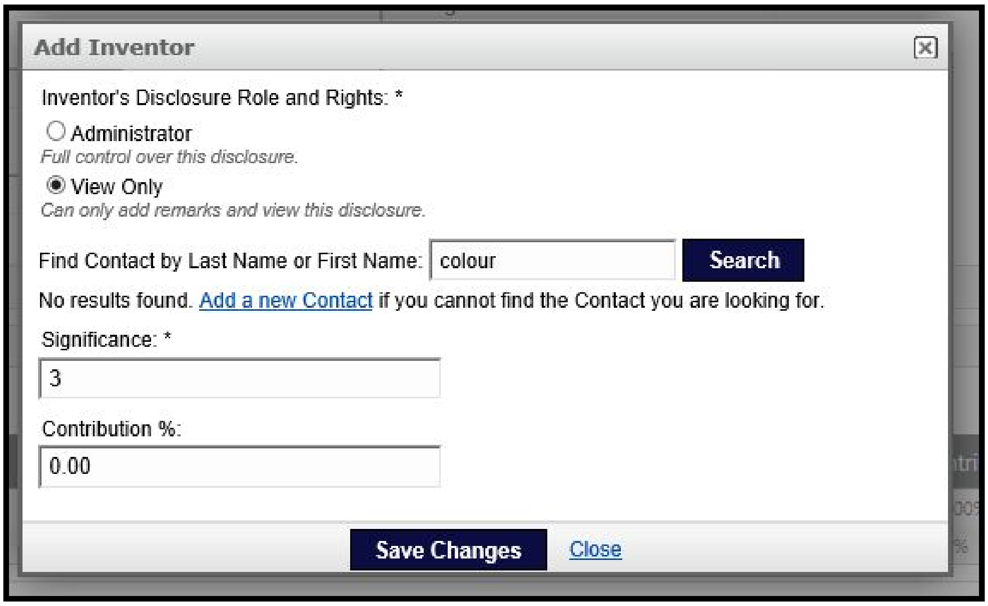
24. Click on 'Choose' and input an email address if needed. Nominate 'Contribution %' if known. The following shows an example:



25. Click on ‘Save Changes’ to show:

26. Repeat if needed, adding further investigators as required.

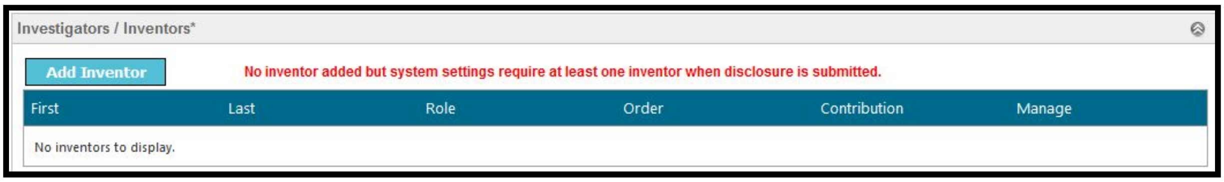
27. If no results are found in ‘Search’ for the Investigator / Inventor, then click on ‘Add a new contact’ and input details, noting an email is required.



<u>Note that if the new contact is from a new Company which is not yet recorded in the System’s database, choose ‘Other’ for the Company and make a note in the ‘Remarks’ section.</u>

!!NOTE: SAVE EACH SECTION BEFORE MOVING ON!! Click on ‘Save as Draft’ either at top or bottom of form and the grey and white striped bar will appear and scroll while saving is in progress. When complete, ‘Changes saved successfully!’ will appear for the remainder of the session, until the page is refreshed or closed.

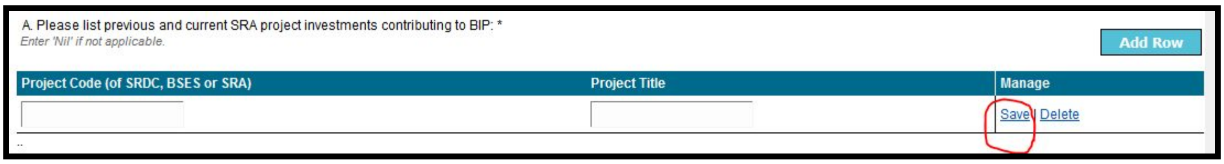
28. Note: If no ‘Investigator’ entry is made, the following error message is seen upon submission of the disclosure:



29. The ‘**<u>INTELLECTUAL PROPERTY DETAILS</u>**’ section uses a drop-down box with a choice of 3 selections – ‘Yes, No or Pending’ where ‘Yes’ must be chosen for the final approval of the application with a signed Declaration included in the final contracted Agreement with SRA.

30. Opening the ‘**<u>BACKGROUND IP and THIRD PARTY IP</u>**’ section shows the following excerpt of ‘**<u>PART A’</u>** of this section:

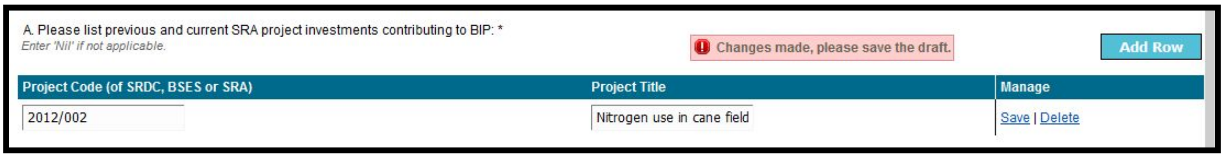
31. Clicking on the first ‘Add Row’ provides boxes for data entry:



Enter relevant details and **<u>click ‘Save’ at the end of each row BEFORE adding another row. If ‘Save’ is not done, the newly entered data will be lost (or not properly captured) when ‘Add Row’ or ‘Save As Draft’ is clicked</u>.**

<u>Note that Table entries have a 250 character limit with longer entries causing problems when saving.</u>

32. A message to save the draft will be shown as follows after ‘Save’ is clicked:



A. Please list previous and current SRA project investments contributing to BIP: *
Enter 'Nil' if not applicable.

Changes made, please save the draft.

Add Row

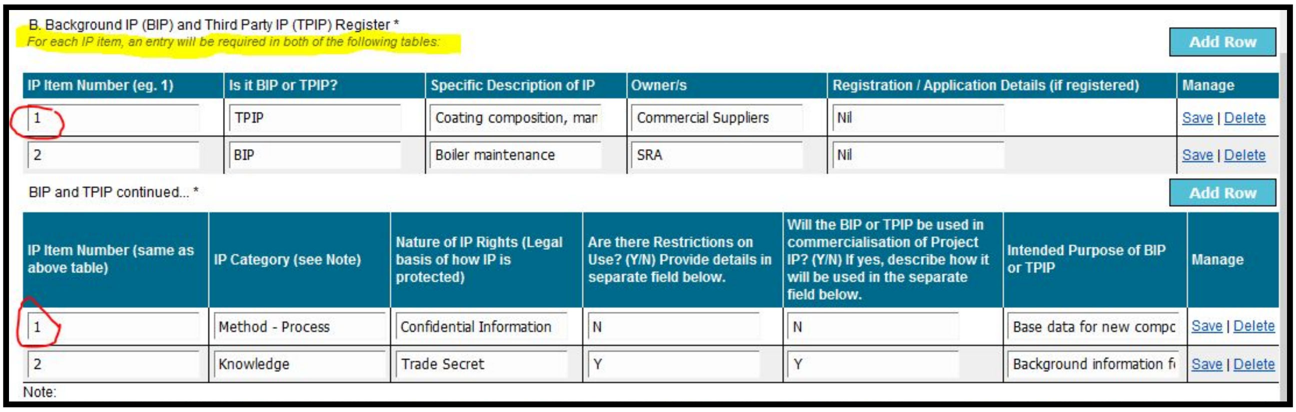
Project Code (of SRDC, BSES or SRA)	Project Title	Manage
2012/002	Nitrogen use in cane field	Save | Delete

Another Project's details can be added by again clicking 'Add Row', inputting details then click 'Save' as before. However, no indicator is now available to show when the save is complete as the "! Changes made" message is already showing. Waiting 5 seconds should be sufficient to continue to 'Add Row' if needed.

Alternatively, if 'Save as Draft' is clicked, the table will reset including the new row and with the "!" message gone. However, this can add time to the process, so the method of choice is up to the individual.

33. Continue by inputting data into **Part '<u>B. BIP AND TPIP REGISTER</u>**' of the 'BACKGROUND IP and THIRD PARTY IP' section by completing the 2 tables provided. Click on 'Add Row', enter data and 'Save' before adding a further row. See point 31. above for more information on completing a table.

34. The following shows a completed example of Part B of the BIP and TPIP section (after clicking 'Save as Draft'):



B. Background IP (BIP) and Third Party IP (TPIP) Register *
For each IP item, an entry will be required in both of the following tables:

Add Row

IP Item Number (eg. 1)	Is it BIP or TPIP?	Specific Description of IP	Owner/s	Registration / Application Details (if registered)	Manage
1	TPIP	Coating composition, mar	Commercial Suppliers	Nil	Save | Delete
2	BIP	Boiler maintenance	SRA	Nil	Save | Delete

BIP and TPIP continued... *

Add Row

IP Item Number (same as above table)	IP Category (see Note)	Nature of IP Rights (Legal basis of how IP is protected)	Are there Restrictions on Use? (Y/N) Provide details in separate field below.	Will the BIP or TPIP be used in commercialisation of Project IP? (Y/N) If yes, describe how it will be used in the separate field below.	Intended Purpose of BIP or TPIP	Manage
1	Method - Process	Confidential Information	N	N	Base data for new compc	Save | Delete
2	Knowledge	Trade Secret	Y	Y	Background information fi	Save | Delete

Note:

Note, for each IP item, an entry is required in both of the tables. The IP item is referenced by using the same number in both tables as seen in the red circled example above. This same IP Item Number should also be used in Parts C and D when applicable.

35. Continue onto **Parts** '**<u>C. DETAILS OF RESTRICTIONS ON USE</u>**' and '**<u>D. ADDITIONAL INFORMATION / COMMENTS ON BIP/TPIP/COMMERCIALISATION</u>**' of the 'BACKGROUND IP and THIRD PARTY IP' section. Note that 'Restrictions on Use' details are mandatory (*) with a 'Nil' entry acceptable if there are no restrictions. The following shows a completed example:

C. Details of Restrictions on Use. (Enter Nil if not applicable.) *
For each IP item in the tables above, provide details of restrictions / conditions of use that exist. This may include conditions, security conditions, any encumbrances, confidentiality requirements, including any restrictions on publication of Project results and use of BIP/TPIP which is part of the Project IP.

No.1 TPIP - no restrictions.
No.2 BIP - inform SRA when used.

D. Additional Information / Comments on BIP / TPIP / Commercialisation
Provide any additional information that you feel is important in understanding the use and value of the IP to be used in the project.

No.2 BIP will be used in commercialisation of the project as common base method to be used.

36. The next section of the Portal is '**PROJECT IP**' and is also mandatory. The 'PIP' section is completed with relevant information in a similar manner to the 'BIP and TPIP' section as explained above.

37. Although '**PARTIES' CONTRIBUTION/S TO THE PROJECT**' is not mandatory at the FRP application stage, it will be required at the later contracting stage of the project. The following shows a completed example of this section:

Parties' Contribution/s to the Project

R&D Provider / Collaborator (can include SRA Technology) — Add Row

Name of Collaborator	In-Kind or Cash	Description	Value $	Manage
CSIRO	Cash	cash	10000	Save | Delete
SRA (Technology)	In-kind	Project time	5000	Save | Delete

SRA RFU Contribution/s
Research Funding Unit — Add Row

In-Kind (Project Management) or Cash	Value $	Manage
Cash	10000	Save | Delete
In-kind	1000	Save | Delete

Proportion of Project IP Ownership — Add Row

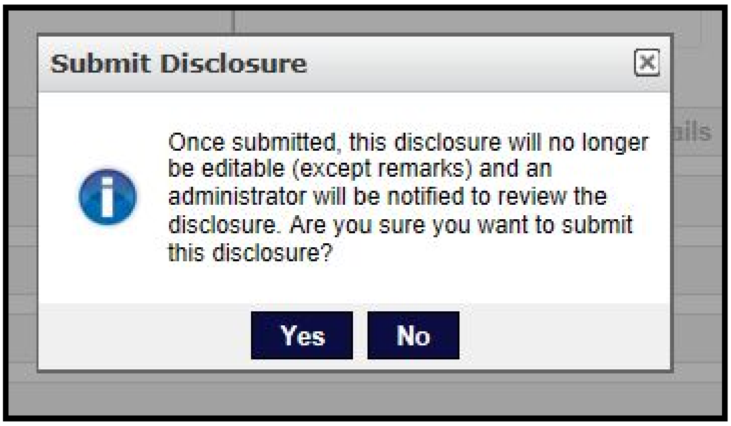
Party	Ownership %	Manage
CSIRO	50	Save | Delete
SRA	50	Save | Delete

Additional Info / Comments on Contributions / Ownership

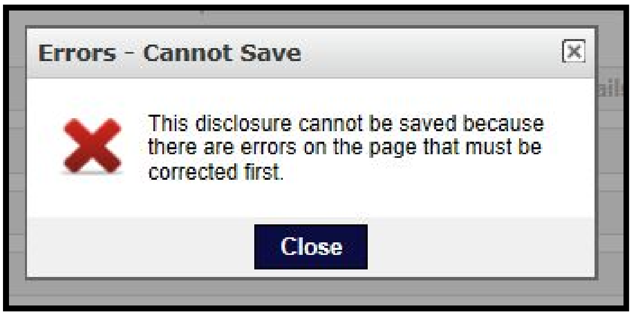
38. ‘**PATENT SEARCH CONDUCTED AND RESULTS**’ and ‘**PUBLIC RELEASE AND/OR COMMERCIALISATION**’ sections are not required to be completed at FRP stage. However, these sections will be addressed during contracting of the project.

39. The section ‘**SRA PROJECT**’ is auto-filled after the submission and approval of the Disclosure. When an ‘SRA Project ID’ is allocated, this data is captured in this section of the Portal disclosure.

40. When the Disclosure form is complete, click on the ‘Submit for Review’ button found both at the top and bottom of the form. The following message will be shown:

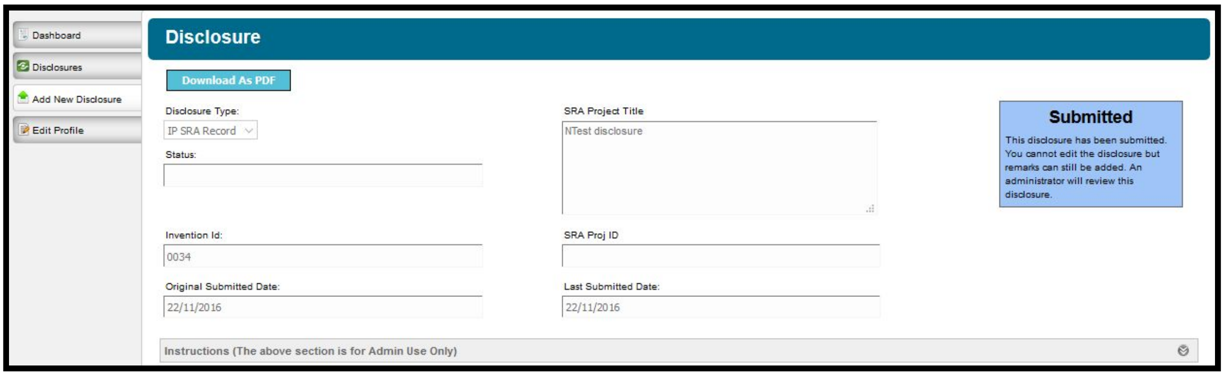


41. Click on Yes. If all required fields * have not been completed, the following message will be seen:

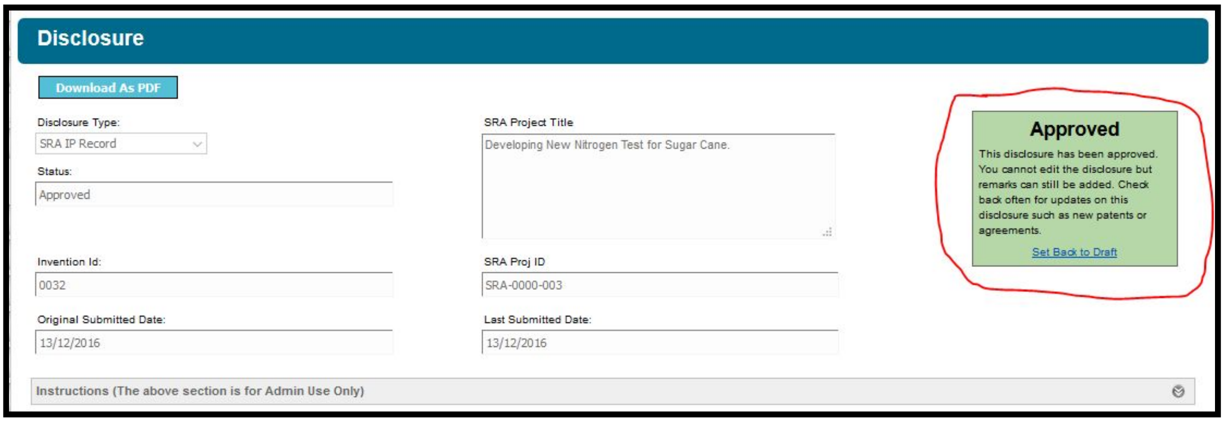


42. Open each section of the Portal Disclosure form to check for completeness. The following shows an incomplete entry:

43. After the form has been completed, again click on ‘Submit for Review’. After submission, the disclosure status will be ‘Submitted’ and shown as follows.



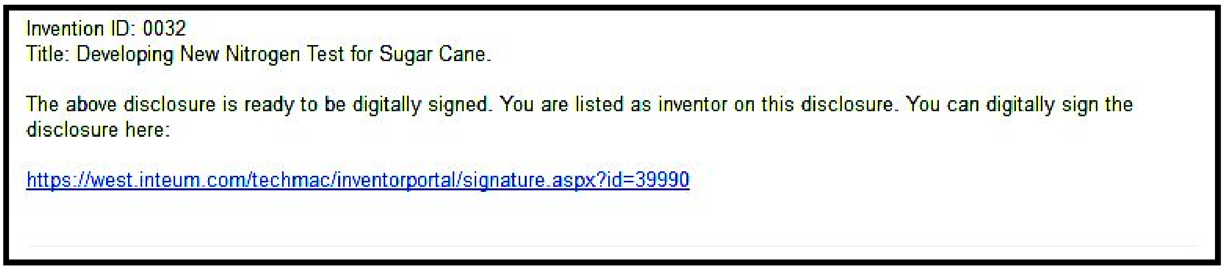
44. Upon submission, an SRA Manager will review the disclosure for completeness and either ‘Approve’ or ‘Return to Inventor’ with comments in ‘Remarks’ as to why the disclosure has been returned.



45. To obtain a hard copy of a disclosure **at any stage**, click on ‘Download as PDF’ or ‘Download as Word’, seen at the top and bottom of the disclosure template. When **submitting to SRA**, choose ‘**Download as Word**’ and use the Application ID and Project Title to name the resulting word file eg ‘AB001 project title’.

46. Once a disclosure has been approved, the IP Record Portal will request a digital signature from each investigator listed on the disclosure. To digitally sign a disclosure, the investigator

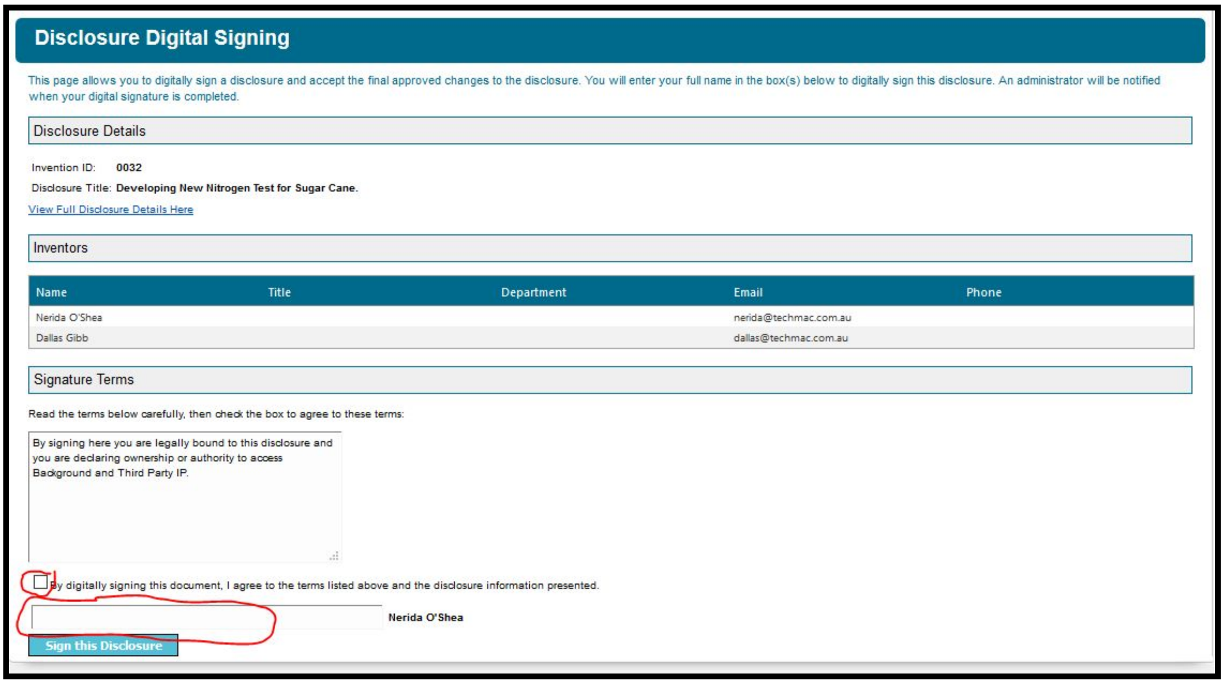
is sent an email with a secure link to the signature page.
The following is an example of the email titled ‘Disclosure ready for digital signature’ that will be received by the Researcher:


Invention ID: 0032
Title: Developing New Nitrogen Test for Sugar Cane.

The above disclosure is ready to be digitally signed. You are listed as inventor on this disclosure. You can digitally sign the disclosure here:

https://west.inteum.com/techmac/inventorportal/signature.aspx?id=39990

47. When the secure link is clicked, the inventor is first prompted to login to the Inventor Portal and is then taken to a page with the disclosure details. The inventor must read the terms presented, enter his or her full name (it must match the name listed next to the box) and then check the box to confirm the signature. Then click the ‘Sign this Disclosure’ button to perform the digital signature.


Disclosure Digital Signing

This page allows you to digitally sign a disclosure and accept the final approved changes to the disclosure. You will enter your full name in the box(s) below to digitally sign this disclosure. An administrator will be notified when your digital signature is completed.

Disclosure Details

Invention ID: 0032
Disclosure Title: **Developing New Nitrogen Test for Sugar Cane.**
View Full Disclosure Details Here

Inventors

Name	Title	Department	Email	Phone
Nerida O'Shea			nerida@techmac.com.au	
Dallas Gibb			dallas@techmac.com.au	

Signature Terms

Read the terms below carefully, then check the box to agree to these terms:

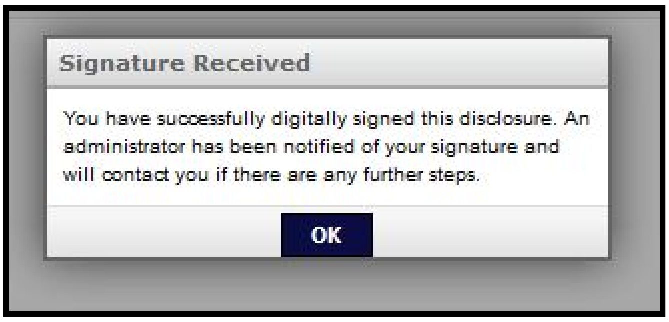
By signing here you are legally bound to this disclosure and you are declaring ownership or authority to access Background and Third Party IP.

By digitally signing this document, I agree to the terms listed above and the disclosure information presented.

Nerida O'Shea

Sign this Disclosure

48. Once agreeing to terms and entering their full name, the date and time of the signature is logged and associated with the disclosure. This provides a fast and more efficient process of signing approved disclosures rather than using paper signatures and fax.



49. **UPDATING IP RECORDS of a PROJECT during the term of a project.**

At any time, a Disclosure can be returned to "Draft" status by an Administrator by clicking a "Set Back to Draft" link on the approved or submitted Disclosure (link seen by a User with Administrator settings). This allows the Researcher to make edits and is particularly useful for updating the IP Records (IP Register) and any commercialisation plans developed for a project.

When there are changes to be made to the IP Records or commercialisation plans, or when clarification on the current Disclosure is required, the Approver (eg SRA RFU Manager) needs to direct the Researcher back to the IP Record Portal to make such changes. The Approver can explain the reason for the change by adding to the Remarks section of the Portal.