



**PRINCIPLES AND GUIDELINES:  
INDUSTRIAL PARTICIPATION AND CITRIS  
DECEMBER 3, 2003**

Drawing upon more than a quarter century of experience on the Berkeley campus in collaborative university-industry research partnerships, and so having experimented with many different models of collaboration, under the CITRIS program we will employ a number of the most successful mechanisms we have developed over the years, as well as a new approach to collaborative industry/university management and direction of the research program in the institute.

*Research Management Principles:*

Our Corporate Sponsors have a history of working with university researchers in a manner that involves the direct funding of researchers and research projects of specific interest to the sponsor. Under CITRIS, this principal will be continued and used to coordinate collaborative research.

### **Membership Categories and Benefits**

From a structural perspective, industry will be involved with the CITRIS research program at four levels of direct participation in the Institute: **Founding Corporate Member (FCM), Platinum Corporate Members (PCM), Associate Corporate Member (ACM), and Collaborating Corporate Member (CCM)** status.

**Founding and Platinum Corporate Members (FCMs and PCMs):** Each Founding and Platinum Corporate Member has agreed to participate in the core group of CITRIS Corporate Sponsors and has agreed to commit a minimum of \$6M to the Institute and its affiliated programs over the next four years (\$1.5M/year, beginning in CY2001) under the CISI matching rules. A number of these companies will support the program on an entirely cash basis, while a few will provide products and services needed to support the research program as part of their contribution to the Institute.

While the corporate financial support is important for the direct funding of the research programs, we also believe that by making such a strong financial statement of support to the Institute, each of these FCMs or PCMs is expected to implement a plan to participate actively in the research program at all levels of the organization and so will play a very active role in driving the university-industry collaboration. From a structural perspective, we will provide the following mechanisms for FCMs and PCMs to participate in the Institute and its research programs:

- **MEMBERSHIP ON THE CITRIS INSTITUTE ADVISORY BOARD:** Each FCM will have a seat on the CITRIS Institute Advisory Board (IAB). New Platinum Corporate Members will hold equal status to the FCMs in the IAB upon approval of the existing Board. We expect the corporate participant in the IAB to be closely involved with the research agenda and one who will inform the Board member regarding the technical agenda and research progress of the Institute.
- **A NAMED OFFICE IN THE NEW INSTITUTE HEADQUARTERS, CITRIS II.** Each FCM and PCM will have the option of using an office, or equivalent shared research space, in the new CITRIS II building that is designed to accommodate up to three industrial research collaborators. Each visiting researcher will be subject to standard applicable UC Policies. For example, each will be expected to sign a CITRIS version of the University's Patent Acknowledgement before participating in research.

- **RIGHT TO PARTICIPATE IN ANY/ALL CITRIS RESEARCH PROGRAMS OR DIRECTLY AFFILIATED PROGRAMS.** A key goal of the CITRIS program is to encourage broad industry/government/academic collaboration across many research programs both in the Institute and on the participating campuses that might be directly affiliated with the Institute. FCMs and PCMs will have free and open access to participate in each of these programs and, with the support of the CITRIS Director, to direct their financial support to any of the CITRIS-affiliated research activities as they choose.
- **ENHANCED TECHNOLOGY TRANSFER AND ACCESS TO STUDENTS:** As well as the research program offsites described below under Associate Corporate Membership, CITRIS will organize one day each year on the Berkeley campus, tailored specifically and separately for each FCM and PCM, to present ongoing CITRIS research, outline priorities and opportunities for collaboration with the FCM and PCM, and introduce the FCM and PCM to the graduate students and faculty members involved in the research.
- **ACCESS TO ON-LINE COURSES:** As part of CITRIS, we are proposing to develop the educational technology needed to bootstrap the new UC Merced campus in undergraduate computer science, as well as producing on-line versions of selected graduate courses (the initial courses will be in the areas of MEMS, wireless communications, networking, and manufacturing). We will provide access to all such on-line instructional material for each FCM and PCM for its internal use.
- **OTHER BENEFITS:** FCMs and PCMs will also have access to all of the benefits listed below for Associate Corporate Members and to the public aspects of the Institute as well.

**Associate Corporate Members (ACMs):** As is clear from the many letters of support received during the formulation of CITRIS, there are many companies who would like to participate in the research programs of the Institute but are unable to make a large financial commitment to the Institute at this time. Many of these companies are emerging New Economy companies who we expect would benefit greatly from participation in the research program. In addition, the CITRIS research program will benefit greatly from their participation and injection of new ideas. As the research agenda of the Institute evolves, we will recruit these companies to join specific research programs. Membership in each program will require a \$150,000 annual fee and the following benefits will be provided to ACMs:

- **EARLY ACCESS TO RESEARCH RESULTS:** A special, private website will be established for all CITRIS corporate members, providing a single point of access for all membership programs and activities. Each research program defined within the Institute, along with affiliated programs, will have, if they so desire, a private, password-protected web site for use by participants in the program (FCMs will automatically have access to all such sites). These sites will use common, collaborative CITRIS-managed web technologies, and the sites will support collaborative work groups, shared multimedia presentations and materials, and shared software development projects. Please refer to [www.citris-uc.org](http://www.citris-uc.org) for the current status and examples of websites for existing CITRIS Corporate Sponsors.
- **RESEARCH PROGRAM ANNUAL RETREAT:** Over the years, we have found that one of the most effective tools for the review and management of ongoing, industry/government/university collaborative research programs is a 2-3 day annual research retreat. Each of the major research programs in the Institute is expected to hold such a retreat, at their discretion, and all project participants will be invited to attend (FCMs may participate in any/all retreats). These retreats are used to present the research results to date, to showcase students and their work, and to solicit feedback from all participants in the program.
- **PERIODIC REPORTS OF RESEARCH PROGRESS:** These reports will include a summary of new invention disclosures, if any, as well as the owner's intended disposition thereof.

**CITRIS Collaborating Corporate Members (CCMs)** are companies who support the research program of faculty at any level, including Affiliates, who are not able to contribute additional funds for the direct support of the CITRIS project seed research fund (e.g. small companies with very limited budgets). Their contribution to the CITRIS-affiliated research project will still be considered for CITRIS matching purposes, but they will not be expected to contribute additional funds to the CITRIS research seed pool.

**A Role in the Research Community:** CITRIS is a public research Institute and will work to encourage broad research community participation in its programs, as well as using many mechanisms for disseminating its results to maximize its impact on the field. As well as the activities listed above for corporate members, CITRIS will encourage participation in the research agenda by academics from throughout the world. In addition, new research results will be published on the Web for open access and CITRIS will organize, or collaborate with other groups to organize, open research workshops on topics of direct interest to the Institute. Openness is a fundamental tenant of the CITRIS Institute, and we believe it is critical to maximizing the broad impact of the Institute and its research, as well as for establishing a strong reputation of the institute as a leader in these important new areas for research.

**The Management of Intellectual Property Rights:** It is the stated intention of the CITRIS program that the fruits of its research be widely and promptly disseminated, with a goal of maximizing the impact of the research and its long-term benefit to California and to society. The explicit protection of intellectual property is expected to be rare. In the rare situation that protection of inventions is desirable, e.g., to induce further commercial development, or is required under specific funding obligations, such inventions are also expected to be widely and promptly disseminated and will be handled in a manner consistent with University of California Policy. All members of the Center research staff including industrial collaborators will be subject to such policy.

Ownership of CITRIS inventions will follow inventorship, except that UC may be required to own inventions made through use of UC tax-free bonded facilities in order to retain the tax-free status of the bonds. Note that not all CITRIS facilities will be funded by such bonds. The decision of whether to file patent applications will be made by authorized officials of the owner(s), taking into account the recommendation of the CITRIS Executive Committee and the Industrial Advisory Group. In the case of inventions jointly owned between the University and industry participant(s), in order to ensure its ability to meet its obligations to others and to retain the tax-free status of its bonds, the University will have the first opportunity to decide whether to file joint patent applications (in the name(s) of all inventing Participants) and which of the licensing models to follow, taking into account the recommendations of the Industrial Advisory Group and the Executive Committee.

Where possible, any and all research results produced under the CITRIS program will be made available to all participants on a non-exclusive basis. When intellectual property developed under CITRIS is protected, the management of rights will follow one of two paths:

**Open Access Model:** Licensing will generally follow the open access model. Under this option, a non-exclusive royalty/fee-free license will be available to all participants in the specific project in which the invention was made, including the payment of a pro-rata share of patent expenses. Such license will also be made available to non-participants on the same basis, including those unrelated to CITRIS.

**Royalty and/or Fee Bearing Model:** In the rare case where, taking into account the recommendation of the CITRIS Executive Committee and the Industrial Advisory Group, the owner(s) determines that it is

desirable to limit access so as to induce commercial development and maximize the impact of the research, licensing will be exclusive or co-exclusive, royalty and/or fee bearing, including provisions for diligent development. CITRIS recognizes that project participants, having been closely involved in the research leading to an invention, are most likely to be well-positioned to be able to maximize the impact of the research through commercial development.

Of course, all ownership and licensing must be subject to the University's ability to meet its obligations to third parties, including the Federal government; upon request, the University will identify the existence of any such obligations with respect to a particular invention. Furthermore, inventions made by non-University personnel through substantial use of University facilities, resources, or funds that are *outside* any CITRIS project will be owned by the University, in accordance with University Policy.

We are confident that these new models will provide the flexibility needed to maximize the impact of the research, while maximizing access to the research results for all CITRIS participants.