



REQUEST FOR STCRC RESEARCH GRANT

GUIDELINES FOR APPLICATION

January 2008

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1.1 OVERVIEW

The vision of the Sustainable Tourism Cooperative Research Centre (STCRC) is to become the finest tourism research organisation in Australia and a leader in the world. To accomplish this, the STCRC will establish a research environment that promotes innovative, comprehensive, robust research pursuing excellence within a broad range of disciplines.

The STCRC's overarching goal is to advance Australia's Tourism Research excellence to be globally competitive and deliver benefits to the Australian community. However, three priority goals drive the STCRC Research Agenda, namely:

- Generate new ideas and extend existing knowledge with innovative and rigorous research programs.
- Support and promote a long-term, sustainable tourism sector by undertaking industry-relevant research projects capable of generating positive benefits and usable outcomes for various tourism and tourism-related organisations and communities.
- Align the STCRC Research Agenda with the Australian National Research Priorities¹.

1.2 STCRC RESEARCH GRANT PROGRAM

To this end, the STCRC funds research and researchers under the STCRC Research Grant Program. As part of its commitment to developing the abilities and skills of Australia's most promising researchers, the Program provides:

- Support for high-quality research leading to the generation of new ideas and the advancement of knowledge.
- Support for the training and skills development of the next generation of researchers.
- Incentives for Australia's most talented researchers to work in partnership with the Australian tourism sector.

¹ The four National Research priorities include: (1) An Environmentally Sustainable Australia; (2) Promoting and Maintaining Good Health; (3) Frontier Technologies for Building and Transforming Australian Industries; and (4) Safeguarding Australia DEST (2007). National Research Priorities. Canberra, Australian Government. 2007.

1.3 STCRC PRIORITIES: CORE RESEARCH PROGRAMS (CRP)

Multi-disciplinary research programs will be an increasing feature of the profile of the STCRC Research Agenda. With 17 educational partners, including 16 universities and one TAFE, the STCRC has access to a vast national network of academics covering all disciplines, including higher degree research students.

The STCRC prioritises three Core Research Programs (CRP), which form the basis of the STCRC Research Agenda for 2008-2010. Researchers can choose to concentrate on one of the three CRP. Within each CRP, emphasis is expected on understanding the fundamental problems and issues in the area of inquiry, designing, and utilising robust, replicable research methodologies, employing multi-method approaches and relating the field to the broader context of tourism, business and other disciplines.

The STCRC research priorities are thematic and underpinned by the goals described above. The thematic Core Research Programs, as detailed in Appendix A, are:

- 1) Sustainable Destinations
- 2) Sustainable Enterprises
- 3) Sustainable Resources.

The Core Research Programs, aligned with industry-wide goals and strategies, should be explored through individual, and yet integrated research projects driven by quality researchers with proven records of accomplishment in academic, industry-relevant research of the highest standard, supported by STCRC management and infrastructure.

The STCRC expects a high level of competence from all research scholars and expects they will be able to contribute to the field's progress. This implies a broad knowledge of the field and the extant literature. The STCRC assesses proficiency of a researcher to undertake work in each CRP in two ways. First, researchers previously published, presented works are considered, and secondly the quality of the Research Application submitted to the STCRC. These criteria are viewed by the STCRC as important indicators of the research team's collective competence and capacity for successful completion of the research program within the broader STCRC vision and goals. In addition, the STCRC emphasises ongoing evaluation of performance against strategic and operational milestones and targets and continuous improvement.

2.1 RESEARCH PRINCIPLES

The STCRC's Research Grant Program is a two-stage application process requiring Preliminary (or Expression of Interest) and Full Research Proposals. The content of the proposals are specified in Appendices C and D. Four core principles underscore the STCRC's assessment of research proposals. These include:

- **Outcome Benefits to Australia:** alignment with national and sector research needs and strategies. National relevance and importance for Australian Tourism.
- **Science Excellence:** theoretically and methodological sound.
- **Ability to Deliver the Research Objectives:** evidence of researcher track record, institutional project management support, collaborations and capability development initiatives.
- **Outcomes and pathways to implementation:** identification of credible pathways for research use.

2.2 SELECTION CRITERIA FOR APPLICATIONS

Funding for the STCRC Research Grant Program is a competitive process. Evaluation of final applications will be undertaken by the STCRC Research Assessment Panel² (RAP), which recommends research projects for approval. Once research projects are approved, they will be announced publicly and published on the STCRC website.

Research Proposals aligned with the above principles are evaluated against selection criteria including the following:

- Sound understanding and proven track-record of methodological expertise and broad knowledge of extant literature³.
- Feasibility, practicality of individual research steps.

² The RAP will comprise the members of the STCRC including CEO, the Director of Research, and the Research Program Manager. In addition, the following may also be a part of RAP- 3 Program Leaders, EC3 representatives, methodology experts, and experts from various disciplines.

³ The STCRC does not fund projects that are primarily "Literature Review" exercises. The STCRC expects all researchers to have a strong grasp of the extant literature prior to Application submission.

- Proven technical and project management capability of the applicant and project partners to successfully undertake and complete the project and achieve the intended outcomes.
- Demonstrated potential for broad adoption of outcomes or processes developed in the project.
- Comprehensiveness of the Application.

The STCRC will give preference to: (1) Applications for larger strategic research projects where the outcomes will have a significant impact on the Australian tourism industry, and (2) Smaller more tactical projects that will contribute to increasing the productivity and effectiveness of Australian tourism and/or business and management practices.

The STCRC Research Funds are committed to successful applicants once a Contract has been agreed to and signed by the applicant organisation and the STCRC.

2.3 ELIGIBILITY REQUIREMENTS AND CONDITIONS OF APPLICATION

Research proposals must meet the following eligibility requirements and conditions to be considered for an STCRC Research Grant:

- **Partner University:** applicants must be from a partner-university with the main project activities being undertaken within Australia.
- **Fund use:** research funds received from the STCRC can only be used for projects for which the funds have been approved.
- **Intellectual Property:** IP developed during the course of the project belongs to STCRC (see Appendix E for IP Policy).
- **Commencement:** projects must be able to commence once funding is approved.
- **Research Master:** the “Research Master” project management system is used for Preliminary Research Proposals (EOIs) and progressive Progress Reports (see Appendix B and C for further detail).
- **Progress Reporting:** Progress Reports and other informal reporting procedures are required at regular intervals and should be completed in Research Master.

- **Financial reporting:** Detailed financial reports must accompany Progress Reports (see Appendix D for details of financial reports required).
- **Deadlines:** milestones and agreed deadlines presented in the Application are to be met in a timely fashion⁴.

⁴ To remain eligible for funding, any delay extending beyond 2 weeks must be advised in writing to the Director of Research.

3.0 SUMMARY

In summary, all Applications submitted under the STCRC Research Grant Program must be underpinned by a sound understanding of the research issue, a strong methodology, be applicable and relevant to industry and produce practical applications.

The STCRC encourages collaboration between the Applicant/s and one or more complementary tourism and non-tourism partners.

For further information or to discuss prospective research proposals, please contact the STCRC Director of Research.

4.0 LIST OF APPENDICES

Appendix A: Core Research Program Areas.

Appendix B: Stage 1 – Expression of Interest.

Appendix C: Stage 2 - Full Research Proposal.

Appendix D: Budget Guidelines and Financial Reporting.

Appendix E: Intellectual Property Policy.

The following defines the three Core Program Areas that comprise the STCRC research priorities through 2010. This information may be accessed at the STCRC website www.crcetourism.com.au.

PROGRAM AREA 1: SUSTAINABLE DESTINATIONS

Overview

Sustainable Destinations recognises that sustainable tourism development is ultimately a holistic concept and that tourism impacts are manifest in specific destinations. Environmental, infrastructural, economic, and social aspects of tourism development must all be examined simultaneously as the neglect of any single facet may undermine the achievement of sustainability objectives. Moreover, a destination management focus helps organise research activities and provides a vehicle for delivering a coherent and useful package of outputs to core partners. A key output for users will be the development of a suite of predictive destination modelling tools as well as evaluative frameworks, designs, technologies, systems and benchmarks.

Mission

To provide global leadership in strategic R&D to improve the sustainability of tourism in order to maximise the economic, environmental and social benefits it delivers to Australia. This involves development of tools and techniques for estimating tourism's contribution to destinations. This includes analytical research to support wider policy decision-making and planning by national, state and local/regional governments through exploring the economic, social and environmental consequences of alternative government policies, plans or actions.

Key users – tourism commissions (local, state and National), tourism operators and tourism industry associations, government agencies, communities.

Scope

- Development of tools, evaluation methods and analytical frameworks for analysing the competitiveness of tourism destinations at the local, regional, state and national levels.
- Development of strategies to enhance the competitive advantages of tourism destinations.
- Development of tools for forecasting and planning for sustainable tourism development.
- Development of tools for measurement of tourism and its impacts that will have strong credibility with political and economic decision-makers, including Tourism Satellite Accounts and Computable General Equilibrium models.
- Evaluation of government policies affecting destination competitiveness.
- To build research capacity within the Australian tourism sector in all states and territories to develop innovative and sustainable responses to emerging opportunities

and threats associated with an increasingly volatile and competitive global environment.

Steering Committee

The Steering Committee's Role is to:

- Provide input into determination of research topics - through advising on priorities of their own organisations and direct involvement in the research topic development process.
- Provide input into development of research projects – through commenting on project briefs and draft proposals.
- Coordinate the designation of industry reference group members for each project in which the agency is to be directly involved.
- Provide feedback to the program leader regarding any common issues of interest and any concerns regarding CRC operation.
- Work with program leader and project leaders to coordinate appropriate dissemination and uptake of research outcomes.

PROGRAM AREA 2: SUSTAINABLE ENTERPRISES

Overview

The Sustainable Enterprises program is one of three sub programs of the STCRC and focuses on research into the business of tourism. The program recognises that a sustainable tourism industry is ultimately dependent on decisions and strategies developed at the enterprise level. In Australia, there are in excess of 100,000 individual operations, mostly SMTEs, that count tourism services as the major part of their operation. Enterprises that adhere to sustainable practices, innovate and harness the latest technologies will be more likely to prosper. In order to enhance enterprise sustainability, benchmarking, risk evaluation, planning and management tools will be developed. Engineering products that provide innovative solutions to enterprise and infrastructure development, as well as resource use and waste management, will complement these outputs. Finally, ICT will generate key technologies for use in e-marketing and e-commerce, product distribution and business information systems.

Mission

To deliver and promote the uptake and application of nationally strategic knowledge, knowledge-based products and ICT in order to facilitate best practice in planning, management, and operation of sustainable tourism enterprises.

Steering Committee

The Steering committee functions to identify key issues in tourism enterprise management and operation that may be addressed through comprehensive research. The committee may also identify desirable outputs and outcomes from proposed research themes. It is made up of representative industry groups and university researchers as follows:

Industry Members

Tourism and Transport Forum (TTF)
Australian Tourism Export Council (ATEC)
Australian Federation of Travel Agents (AFTA)

University Members

Jack Carlsen, Curtin University (Program leader)
Chris Guilding, Griffith University
Peter Murphy, La Trobe University
Michael McGrath, Victoria University
Marg Deery, Victoria University

Industry Reference Groups

Each research project within the SE program has an industry reference group with whom the researchers liaise directly. This ensures that specific projects remain on track and deliver outputs and outcomes that are useful to the end users. Industry reference groups are usually identified according to the particular character of each project and may typically include local, regional, and/or state tourism organisations; local, state or federal government agencies; industry groups representing tourism operators and other non-government tourism oriented organisations directly involved in enterprise development or management.

PROGRAM AREA 3: SUSTAINABLE RESOURCES

Mission

To deliver, and promote the uptake and application of, nationally strategic knowledge and knowledge-based products in order to facilitate enhanced economic, environmental, social and cultural sustainability of tourism in natural areas.

Scope

- Tourism based on natural areas, with a focus on protected areas, and including both natural and cultural heritage.
- The cultural heritage component potentially includes Indigenous tourism (defined as tourism based on Indigenous culture)- potentially covering all aspects, including enterprise development issues, but principally in terms of the component occurring in natural areas.
- Includes issues facing nature-based tourism operators with regard to their use of natural areas (especially protected areas).
- Environmental management of tourism in non-natural areas falls within the Sustainable Destinations Program.

Internationally, Australia is perceived as a clean, green destination. The natural environment is a key element of Australia's global tourism appeal and is an attribute that differentiates Australia from competing tourism destinations globally. Australia's Protected Areas contribute the key elements of this international image.

Many of Australia's most important and globally recognised tourism icons are located within Protected Areas (such as National Parks, Marine Parks, Historic Sites, Coastal Reserves, Recreation Parks, and Conservation Areas) or on public land such as State Forests. These attractions are of great importance to the Australian tourism industry.

For Australia's tourism industry to reach its full potential it is vital that Protected Areas are adequately funded and managed; that they provide high quality visitor experiences; and that they are promoted effectively, while ensuring the protection of their conservation values. It is time that Protected Areas became a national tourism priority.

Steering Committee

The Steering Committee's Role is to:

- Provide input into determination of research topics - through advising on priorities of their own organisations and direct involvement in the research topic development process (in practice, the steering committee has been the primary driver of the research agenda).
- Provide input into development of research projects through commenting on project briefs and draft proposals.
- Coordinate the designation of industry reference group members for each project in which the agency is to be directly involved.

- Provide feedback to the Program Leader regarding any common issues of interest and any concerns regarding CRC operation.
- Work with Program Leader and project leaders to coordinate appropriate dissemination and uptake of research outcomes.

Input is principally in the form of one face-to-face meeting per year, an additional teleconference if required, and occasional email correspondence.

Steering committee members are required to attend one national meeting per year at the cost of their agency, to provide email feedback on circulated documents (which may in some cases require obtaining an 'agency view' on an issue), and to help facilitate liaison between their organisation and researchers (including finding suitable representatives. for project reference groups, where the project is of particular interest to the agency).

The following information provides guidelines for completing an Application for the STCRC's Research Grant Program. The Program involves a two-stage Application process. This section details the requirements of the initial Expression of Interest (EOI).

Throughout the year, the STCRC will call for Expressions of Interest in research projects that fit within the broad goals of the STCRC. Research Briefs will be forwarded to university partners specifying available research projects. EOIs should be completed on the STCRC website, and should not be accompanied by additional supporting information.

The EOI should identify clearly and concisely the expected outcomes of proposed projects. EOIs should demonstrate why their proposal represents a sound investment for the STCRC's stakeholders. EOIs will be assessed against formal selection criteria with the direct emphasis on the STCRC Research Priorities. If a researcher is applying for support from two or more R&D organisations, the most appropriate 'lead' organisation should be determined and the research submission prepared in the way advised by that organisation. If the STCRC is being asked to finance more than 50% of the project, the STCRC should be considered the lead organisation.

The STCRC will not usually approve projects longer than three years and preference is given to projects that can be completed in a shorter period. Nonetheless, the STCRC recognises that some work takes more time and follow-up projects may ensue. The STCRC will also consider support for short-term scoping activities that seek to prepare the ground work for subsequent longer-term proposals.

The following sections must be completed in the EOI on the STCRC website.

1.0 EOI Core Information: project Type and Title, date of application, geographical location of research and expected completion date

2.0 Research Team: specify researchers involved in the project and their areas of responsibility.

3.0 Aims for the Project.

4.0 Methodology: outline and justify the research plan and methods. Identify the steps involved in achieving the outcomes proposed for the project. List the phases for the project and describe what each will achieve. Data Collection: advise how the data or knowledge required for this project will be obtained (refer to population, sampling, administration methods etc) Analysis: advise how the data is to be analysed or synthesised into new knowledge.

5.0 Utilisation and Application of Research: describe expected outcomes, service or knowledge created by this project and how the end product, process, service or knowledge may be taken up by industry.

6.0 Project Timeline: specify timeline for the project with justification as to when key outcomes will be achieved.

7.0 Indicative Budget: overview expected budget requirements. See Appendix D for details required in this section. Include where appropriate any third party funding, in-kind support, background IP etc.

At the completion of the EOI phase, the RAP will assess all Expressions of Interest against the selection criteria stated in 2.2. Where an EOI presents a sound investment for the STCRC and its stakeholders, applicants will be invited to move to Stage 2 of the Application Process and complete a Full Research Proposal (FRP).

The FRP must be completed within Research Master and may be accompanied by additional supporting information. All sections within Research Master, as listed below, must be completed in detail. Particular attention must be given to the Background and Literature Review (11b) section, which does not form a significant part in the EOI⁵.

The following sections must be completed in detail via Research Master:

1.0 Project Type and Title.

2.0 Project Description and Summary: include expected duration of project, research site, team dates in the field, and an abstract of proposed study.

3.0 Research Team: specify researchers involved in the project and their areas of responsibility.

4.0 Industry Reference Group: research proposals submitted to the STCRC will only go the Stage 2 level of Application process where tourism industry members have been involved in all aspects of the EOI. Industry relevance and usability are key criteria used for assessing project suitability.

5.0 Budget Summaries: see Appendix D for details required in this section.

6.0 Budget Breakdown: see Appendix D for details required in this section.

7.0 Third Parties: all organisations involved in the research must be listed.

8.0 Contributions from Other Sources: specify third party funding, in-kind support, background IP etc.

9.0 Project Administration Details: list two administration contacts that can manage project issues relating to contracts, reporting, invoicing, payments, IP forms etc

⁵ The STCRC does not provide funds for Literature Reviews. It is expected that any Research Grant Applicant will draw from the research area they wish to pursue and as such will possess a strong understanding of the extant literature.

10.0 Benefits to Industry: state research benefits for various tourism industry stakeholders. Pay particular attention to indicating the expected commercial benefits. Projects with potential commercial outcomes that include details of the expected commercialisation process will be considered more favourably.

11.0 Project Proposal:

a) Industry Collaboration: list industry users, which have been or will be directly consulted or involved in developing the research objectives and design, and will be engaged during the project. Letters of support will need to be sighted including the names and contacts of all industry representatives.

b) Background and Literature Review: all FRP must be accompanied by a detailed Literature Review.

c) Methodology: outline and justify the research plan and methods. Be specific and detailed, and clearly identify the steps involved in achieving the outcomes proposed for the Research Project. List the phases for the project and describe what each will achieve. Data Collection: detail how the data or knowledge required for this project will be obtained (refer to population, sampling, administration methods etc) Analysis: specify and detail how the data is to be analysed and synthesised into new knowledge.

12.0 Outcomes, Utilisation and Application of Research: detail the expected theoretical and practical implications of the study including but not limited to:

- Models and processes
- Product
- New technology
- Industry workshops/education seminars
- Books
- Book chapters
- Technical reports
- Peer-reviewed journal articles
- Conference paper
- Guides
- Patents.

a) Commercialisation potential: where research outcomes are expected to have commercial potential, outline what this potential may be, that is, what problem does it solve, why would people buy it, what is the nature and size of possible market demand, possible costs to develop the product/technology further, legal, financial, ownership, and operational considerations etc.

b) Measuring outcomes: detail the instruments and or criteria that will be used to measure the success or otherwise of the utilisation and application of the outputs from this project.

c) *Key Performance Indicators*: indicate how the proposed research project will contribute to the following (add more as required):

- Knowledge products to be used by industry partners.
- Extension products to be used by destination and resource managers.
- International income from sale of STCRC IP and Australian Tourism Research capacity.
- Knowledge products to be used by SMTEs.
- Sustainability and/or business quality based accreditation programs to be used by operators.
- Content to enhance the marketability of DECIPHER⁶.
- Income from sale and/or license of STCRC knowledge products and intellectual capacity.

13.0 Milestones and Deliverables: describe and detail the major stages/milestones of the proposed project showing the expected completion date for each milestone, and the achievement criteria for verifying that milestones have been reached. Milestones should be specified for each stage of the project. There will be multiple milestones for each phase of any project. As electronic Progress Reports are to be completed every 6-months on achievement of milestones, it may be prudent to establish half-yearly milestones.

14.0 Intellectual Property: see Appendix E.

15.0 Researcher CVs: attach a one-page CV for each researcher expected to be involved in the project. Include a summary paragraph and list of most relevant and recent projects, outputs and grants received.

⁶ Refer www.decipher.biz

APPENDIX D: BUDGET GUIDELINES AND FINANCIAL REPORTING

The STCRC requires all successful applicants to complete Budget Progress Reports at the same time as the Research Progress Report. Please account for any variance between budget and actual amounts and provide written explanation for variance.

At the end of all projects, the STCRC requires a full reconciliation and all unspent funds are to be returned to the STCRC.

Expense items should be supported with copies of original invoices.

Expense Budget	Name of Project Leader Project Code Project Title			Time period
	Personnel	Budget	Actual	Difference (\$)
			-	0.0%
			-	0.0%
			-	0.0%
Operating	Budget	Actual	Difference (\$)	Difference (%)
			\$ -	0.0%
			-	0.0%
			-	0.0%
			-	0.0%
			-	0.0%
			-	0.0%
			-	0.0%
Total Expenses	Budget	Actual	Difference (\$)	Difference (%)
	\$ -	\$ -	\$ -	0.0%



INTELLECTUAL PROPERTY POLICY

SUSTAINABLE TOURISM
COOPERATIVE RESEARCH CENTRE

January 2008

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1.0 INTELLECTUAL PROPERTY POLICY

1.1 INTRODUCTION

The Sustainable Tourism Cooperative Research Centre (STCRC) is dedicated to fostering a research culture where research excellence, innovation and commercialisation, are critical. Increasingly, the STCRC recognises the importance of commercialising Intellectual Property (IP) in the creation of return-on-investment and other benefits. The value is confirmed to by STCRC's role in attracting research funding, promoting linkages with industry, and in the financial rewards and social benefits resulting from its successful commercialisation.

The STCRC is able to use its research expertise, not only to extend knowledge, but also to help to build the knowledge-base of the tourism and other related industries. Hence, effective management of IP is an important step in the STCRC's research endeavours and in the translation of research into national wealth. In this regard, the STCRC is committed to utilising the IP generated from research projects for distribution through the wholly owned subsidiary EC3 and other interested parties.

This Policy regulates the protection, management and commercialisation of STCRC's IP and provides specific guidance to STCRC staff, research partners and industry partners on IP-related matters. This Policy ensures the STCRC's compliance with the National Principles of Intellectual Property Management for Publicly Funded Research Organisations

1.2 OBJECTIVES

Knowledge and research findings are important resources and the key elements, in the new business paradigm for economic development. As such, it has become necessary for the STCRC to develop flexible mechanisms by which it is able to identify, protect, manage and commercialise its IP. In achieving this, the STCRC and its research and industry partners will be in a stronger position to benefit from:

- attraction of industry and government research funding
- establishment of an international reputation for Tourism research excellence
- establishment of linkages with universities, industry and government
- generation of financial returns from commercialisation
- growth of knowledge-based industries through research and its commercialisation and
- generation of national wealth, through new products, services and employment.

The STCRC recognises that its university research partners are a valuable resource. Therefore, this Policy aims to provide incentives for research partners to create valuable IP.

2.0 TYPES OF INTELLECTUAL PROPERTY

Intellectual Property is a category of property rights recognised under the laws of Australia and can be defined as those rights arising from the output of the human intellect. Intellectual Property is the term used for creations of the mind that can be protected once they take a tangible form. Intellectual Property rights arise in relation to certain types of subject matter and those rights can be sold, purchased and licensed.

Types of Intellectual Property in Australia include, but are not limited to:

- Patents – patent for new or improved products or processes; regulated by the Patents Act (Cth) (1990);
- Copyright – for original material in literary, artistic, dramatic or musical works, and in other works that include films, broadcasts, multimedia and computer programs; regulated by the Copyright Act 1968 (Cth) (1968);
- Trademark – for words, symbols, pictures, sounds, smells or a combination of these, to distinguish the goods and services of one trader from those of another; regulated by the Trademarks Act 1995 (Cth) (1995). Unregistered trademarks are protected under Common Law.
- Design Rights – for the shape or appearance of manufactured goods; regulated by the Designs Act 2003 (Cth) (2003);
- Circuit Layout Rights – for the 3-dimensional configuration of electronic circuits in integrated circuit products or layout designs; regulated by the Circuit Layouts Act 1989 (Cth) (1989); and
- Confidential Information – consisting of trade secrets, know-how or other proprietary information and background knowledge that attracts an obligation of confidentiality. Protected by Common Law.

In the context of STCRC-supported research, “IP” means all types of intellectual property that relates to patents, copyright and confidential information. Of these, patents and economic modelling programs forecasting tourism return to States and regions have the greatest potential for generating commercial income.

3.0 OWNERSHIP OF INTELLECTUAL PROPERTY

3.1 RESEARCHERS RECEIVING GRANTS

Subject to any specific agreement to the contrary, the STCRC owns 100% of all IP created by researchers in the course of their work, in accordance with the *Copyright Act (1968)*. The STCRC will make reasonable provision for the financial reward of researchers who create IP that is successfully commercialised, as set out in Section 3.4 of this Policy. The STCRC does not seek to claim ownership over any IP created by researchers or staff outside the course of their employment.

The STCRC requires each Project Leader managing individual research projects to specify any and all IP that has been created in a project under their management in the final Technical Report.

Where any Computer Programs¹ created in the course of an STCRC Research Project, the STCRC will own the copyright and any other form of IP vesting in that work.

Extension products that may be developed including marketing collateral, documents, materials or digital objects created at the STCRC or for the STCRC, in the course of research at the STCRC, the STCRC will own the copyright and any other form of IP vesting in that material. As such, the STCRC has the right to use, reproduce, publish, communicate, perform, broadcast, adapt and disseminate that material for its education, research and academic purposes. However, the STCRC will consult with the creator concerned where this is practical. The ownership of any third-party material will be governed by any agreement between the STCRC and the third-party.

In Partnership Projects where the third-party Partner contributes funding to the research project, their share of any IP will be in proportion to the total value of the project.

Background IP brought to specific projects must be declared at the beginning of any research. Where the background IP forms part of a research project the parties must enter into a satisfactory written arrangement regarding ownership of the outcomes of the research.

3.2 STUDENTS

Where PhD students are undertaking research as part of a project between the STCRC and an external sponsor or on a commercially-oriented project, the STCRC may request an assignment of the student's IP, in most cases before allowing the student to participate in that particular project. This permits the STCRC to comply with the terms of any contract it may have with the sponsor, and to be able to commercialise all of the IP resulting from the project. The assignment of IP does not include assignment of the copyright in the student's dissertation or in publications authored by them and arising out of their studies.

¹ Means an expression in any language, code or notation of a set of instructions intended (either directly, or after conversion to another language, code or notation and/or reproduction in a different material form) to cause a device having digital information processing capabilities to perform a particular function.

Where PhD students have assigned their IP to the STCRC they are entitled to be treated in the same way as any other researcher for the purpose of sharing in commercial benefits from the commercialisation of the IP. In determining financial returns, the STCRC will take the following into account:

- the degree of intellectual input from STCRC staff and third-parties
- the nature and extent of any STCRC or third-party IP accessed or used by the student and
- the nature and extent of any use a student makes of STCRC facilities.

3.3 CONSULTANTS, CONTRACTORS OR OTHER VISITORS

Consultants, contractors, visitors means any person other than a staff member, researcher or student of the STCRC who takes part in any research project or who visits any part of the STCRC in which research or scholarship, or any related activity, is conducted at the time they create IP.

These individuals are required to disclose any IP with commercial potential that they create while at the STCRC. The commercialisation of that IP and sharing of any net commercial benefits will be negotiated on a case-by-case basis, including with the visitor's employer. The STCRC will recognise the publication rights of visitors subject to any overriding commercial imperative.

3.4 REWARD FOR CONTRIBUTORS

The STCRC wishes to encourage innovation by rewarding researchers, students and visitors who create valuable IP (“contributors”). It is the STCRC’s intention that researchers and creators of IP be rewarded. By-law 1 of the STCRC’s Constitution (Appendix A) provides the policy guidelines.

4.0 IDENTIFYING INTELLECTUAL PROPERTY

The protection, management and commercial exploitation of STCRC's IP depends on its early recognition and protection. Thus, it is essential that the STCRC carefully monitor research projects and their outcomes with a specific IP focus. Researchers, students and visitors should review their research activities regularly, keep detailed project and research records, and fully disclose in a timely fashion the creation of new IP with potential commercial value to the STCRC.

4.1 PROTECTING INTELLECTUAL PROPERTY

As detailed above, researchers, students and visitors are obligated to report the creation of IP with potential commercial value to the STCRC. That disclosure must include all particulars, data, results, findings and commercial interactions associated with the IP. Any new data, results, findings and commercial interactions associated with the IP disclosed in the original report must also be disclosed to the STCRC on a continuous basis.

Once IP has been identified, the STCRC will maintain a record of the IP, protect its use and commercially exploit the IP.

The STCRC will maintain an "IP Register", where all STCRC owned IP will be recorded. This Register will be in three parts:

- 1) Commercial: IP that has been licensed to EC3 or where other commercial arrangements have been made for use of IP.
- 2) Non-Commercial: will include IP that has no identified commercial use.
- 3) Background IP (owned by third parties): where background IP is provided by a Core Member or other third-party for use by the STCRC. Full details of use will be provided.

4.2 MISUSE POLICY

Researchers, students and visitors who have contributed to the creation of the IP must take all reasonable steps to protect that IP by avoiding public disclosure, for example through publication or academic conferences. Any unauthorised disclosure of IP must be reported.

The STCRC will take the following steps to ensure there is no misuse of the STCRC's IP. They include:

- Identification of IP related issues at commencement of research
- Careful monitoring of Progress Reports² throughout all research activities
- Use existing STCRC Network to monitor development and/or use of STCRC IP
- Inspecting peer-reviewed journals and conferences.

² As detailed in "Research Master"

4.3 CONFLICT OF INTEREST

A conflict of interest exists where the financial interest of, or the involvement that a staff member, researcher, student or visitor may have with another party, conflicts with the duties and obligations owed by them to the STCRC. Full and prompt disclosure of any potential conflicts of interest to the CEO of the STCRC is required to protect the STCRC and to allow for an objective evaluation of the benefits of prospective commercial involvement with a third party.

5.0 TRANSFERRING IP TO EC3

5.1 COMMERCIALISING INTELLECTUAL PROPERTY

While EC3 is wholly owned by STCRC, the intent of the STCRC is to transfer any and all commercially viable IP to EC3. The steps involved in this process include:

- 1) The STCRC and EC3, through JET³, will assess Research Project Applications at the Request for Proposal (or Expression of Interest) stage, to determine whether there is a likelihood of the IP in each project having commercial application.
- 2) In these instances the STCRC will work with researchers in processes associated with the protection and commercial exploitation of IP that they have helped create.
- 3) Once research has been completed, EC3 will examine the final report and identify which IP is suitable for transfer from the STCRC to EC3, on an exclusive license basis.
- 4) The STCRC will arrange for transfer to EC3 of IP identified by EC3, within 30-days.

5.2 RELATIONSHIP BETWEEN THE STCRC & EC3

Successful commercialisation of IP will involve a coordinated effort between the STCRC, EC3 and the researchers in the following ways:

- 1) Identification of IP at the earliest opportunity.
- 2) Full disclosure of all data collected, data analysed and findings by participating researchers.
- 3) To facilitate commercialisation, JET will meet regularly to develop and review development plans for all research projects that may produce commercially viable outcomes. A separate plan will be prepared for each project containing budget, timelines, roles and responsibilities and forecasted return-on-investment.
- 4) In general, where bridging work is required and where there is an expectation that there will be clients for such work, the STCRC and EC3 will undertake such work. When a project is ready for market, E3 will assume responsibility. The STCRC will be active in initial research and bridging work for market readiness only.

5.3 PROSPECTIVE THIRD-PARTY USE OF IP NOT SELECTED BY EC3

Where IP has not been selected by EC3, the STCRC and EC3 will jointly identify potential third-party prospects, establish contact, and endeavour to have one or more third-parties commercialise the IP. This would be by way of license agreements and/or other commercial arrangements.

³ The Joint Extension Team comprising STCRC and EC3 will identify and initiate research projects which will lead to Intellectual Property capable of providing new commercial opportunities and to strengthen existing commercial programs.

5.4 REGISTERED IP NOT COMMERCIALISED

In addition, where IP has not been selected by EC3 and where there is no third-party interest in commercialising the IP, the STCRC will after 120-days from the initial approach to the third-party, add the IP to the STCRC's Non-Commercial IP Register. The IP will be maintained on an on-going basis in the Non-Commercial IP Register, and be made available for use by outside parties on a request basis after final review by EC3.

17.0 Background Intellectual Property

17.1 From time to time a Core Member may make Background Intellectual Property available to the Company for the Activities.

17.2 Each Core Member represents and warrants to each other Core Member that:

- (a) it is the owner of, or is otherwise entitled to provide, the Background Intellectual Property which it makes available for the Activities;
- (b) except to the extent disclosed to the Company at the time of making available any Background Intellectual Property, that Background Intellectual Property is unencumbered; and
- (c) it will not assign, encumber or otherwise deal with, dispose of or Commercialise that Background Intellectual Property, during such time as the Directors determine it is necessary for the performance of the Activities, except with the prior approval of the Directors (which may not be unreasonably withheld).

17.3 A Core Member's Background Intellectual Property remains the property of that Core Member notwithstanding that it is made available for the Activities.

17.4 The Company must maintain a register recording the Background Intellectual Property made available by Core Members for the Program. It will be the responsibility of that Core Member to approve the register and any amendments to it.⁴

17.5 Subject to this by law, the Company and each Core Member has a non-exclusive royalty-free right to use any other Core Member's Background Intellectual Property for the purposes of the Activities other than Commercialisation, as approved by the Directors.

17.6 Notwithstanding clause 17.2(c), a Core Member is free to use its Background Intellectual Property to conduct research or training outside the scope of the Activities.

17.6A Subject to clause 17.2, a Core Member may use its Background Intellectual Property for Commercialisation outside the scope of the Activities.

17.7 Where a Core Member who intends to conduct research or training outside the Activities wishes to use Background Intellectual Property owned by another Core Member, the Core Member wishing to use the Intellectual Property must first obtain a non-exclusive licence from the Core Member owning that Background Intellectual Property.

17.8 The Core Members agree that they will take all reasonable steps to protect Background Intellectual Property and give each other prompt notice of any infringement of Background Intellectual Property, which comes to their attention. Each Core Member agrees to give a Core Member that owns such Background Intellectual Property all assistance which it reasonably requires in order to protect that Core Member's Background Intellectual Property, provided that the Core Member requiring such assistance indemnifies the Core Member providing the assistance for all reasonable costs and expenses of so doing.

⁴ Each Core Member no longer has a representative Director. Under article 17 of the Company's Constitution, a Core Member has the right to inspect the books and records of the Company.

17.9 Subject to clause 17.10, the Company is not required to recognise, and each Core Member agrees not to assert or claim any rights to ownership, of Background Intellectual Property used by the Company in connection with the Activities, unless that Background Intellectual Property has been entered in the register referred to in clause 17.4, at the time when the Background Intellectual Property was first made available to the Company.

17.10 The Directors may resolve as a Key Decision, to enter an item of Background Intellectual Property in the register referred to in clause 17.4 notwithstanding that the procedure in clause 17.9 has not been complied with.

18.0 Centre Intellectual Property

18.1 Each Core Member will co-operate with each other Core Member and promptly do all acts and things and execute all documents which may be necessary for the purpose of vesting ownership of the Centre Intellectual Property in the Company or acknowledging the Company's ownership of Centre Intellectual Property.

18.2 Each Core Member must respond promptly to a request from the Chief Executive to provide information in its possession regarding Centre Intellectual Property which has been developed or is in prospect.

18.3 Each Core Members must use its best efforts to ensure that its employees (including Seconded Personnel), agents, sub-contractors, postgraduate students under their supervision or other persons participating in the Activities:

- (a) identify Centre Intellectual Property generated or developed by them; and
- (b) promptly communicate details of it to the Chief Executive.

18.4 No Core Member may deal with, Commercialise, dispose of or encumber any Centre Intellectual Property.

18.5 Subject to this by law, each Core Member will have a non-exclusive royalty-free right to use Centre Intellectual Property for the purposes of the Activities other than Commercialisation.

18.6 A Core Member wishing to use Centre Intellectual Property in connection with research or training outside the Activities must first obtain a licence, covering such use, upon terms agreed by the Company. The Company may refuse to grant a licence over Centre Intellectual Property in its sole and absolute discretion.

18.7 Subject to clause 17 [Background Intellectual Property], where a Core Member outside the Activities develops further Intellectual Property based on or incorporating Centre Intellectual Property or Background Intellectual Property, that further Intellectual Property will if that Core Member has obtained licences authorising the use of the Centre Intellectual Property and the Background Intellectual Property under clauses 18.6 and 17.7 respectively (and then subject to those licences) remain the property of the developing Core Member. However, the developing Core Member must not Commercialise its further Intellectual Property without first obtaining a licence, covering such Commercialisation, on terms agreed between the owners of that Background Intellectual Property and/or Centre Intellectual Property.

18.8 If a Project Coordinator considers that a particular development arising from that Project may be patentable or the subject of other forms of Intellectual Property protection, the Project

Coordinator will promptly provide details of that development to the Chief Executive.

18.9 The Chief Executive will decide, in consultation with the Core Members, whether a development warrants pursuing patent protection, or other forms of Intellectual Property protection, and if it does, in which jurisdictions protection should be sought.

18.10 Unless otherwise agreed by the Directors, the Chief Executive (on behalf of the Company) is to apply for, maintain and prosecute any form of Intellectual Property protection decided upon pursuant to clause 18.9.

18.11 A Core Member must give to the Company prompt notice of any infringement of Centre Intellectual Property which comes to its attention and each Core Member agrees to give the Company all assistance which it may reasonably require in order to protect the Company's interest in Centre Intellectual Property.

18.12 The Centre Account may be drawn upon to meet all costs associated with applying for, maintaining and prosecuting patent or any other form of Intellectual Property protection associated with Centre Intellectual Property and the application, maintenance and prosecution of any actions which may be associated with any such Intellectual Property and such drawings will be expenses incurred in the performance of the Activities

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