

**AUTONOMOUS ORGANIZATION OF EDUCATION
NAZARBAYEV UNIVERSITY**

**INTELLECTUAL PROPERTY
COMMITTEE BYLAWS**

Approved by the resolution of the Research Council of
the autonomous organization of education Nazarbayev University
Minutes # 53 of April 21, 2015

As of January 11, 2019

Astana
2015

Throughout the text words «Vice President for Innovation and Science» were replaced with words «Vice President for Innovation»; «OCTT» abbreviation were replaced with abbreviation «CO PI «NURIS» in accordance with the decision of the Research Council #133 dated January 11, 2019.

1. General Provisions

1. The present Bylaws of the Intellectual Property Committee (hereinafter - “Bylaws”) provide the terms of reference for the Intellectual Property Committee, procedures for its operation, membership and decision making.

Paragraph 2 was redrafted in accordance with the decision of the Research Council #133 dated January 11, 2019.

2. Intellectual Property Committee under the autonomous organization of education «Nazarbayev University» Research Council (hereinafter - Committee) is a consulting Body under the Research Council, providing coordination of activity on autonomous organization of education «Nazarbayev University» (hereinafter - University) technologies transfer and implementation of Nazarbayev University Intellectual Property Policy. Particular attention shall be paid by the Committee to the University’s technology transfer mission, budgetary issues, resolution of disputes, and the division of intellectual property income.

3. The Committee is established under the Research Council according to paragraph 9 of the Bylaws of the Research Council of the University and Chapter 2.0 paragraph 5 of the Research Council Policies and Procedures.

4. The Committee activities shall be in compliance with the Charter of the University, these bylaws, Intellectual Property Policy of the University, Policies and Procedures of the Research Council and other internal documents of the University.

2. Responsibilities

5. The primary role of the Committee is interpretation and administration of the Nazarbayev University Intellectual Property Policy.

Paragraph 6 was redrafted in accordance with the decision of the Research Council #133 dated January 11, 2019.

6. It is the responsibility of the Committee to:

1) monitor the implementation of Nazarbayev University Intellectual Property Policy;

2) verify that the Commercialization Office of PI «NURIS» (hereinafter – CO PI «NURIS») carries out its mission in accordance with the Nazarbayev University Intellectual Property Policy;

3) review requests from the Vice-Provost for Research or other designated University's official for the interpretation of the Nazarbayev University Intellectual Property Policy and make written recommendations regarding such requests;

4) review annually the financial results of the CO PI «NURIS» with particular attention to the expenditure of the CO PI «NURIS» share of intellectual property income/rights;

5) provide advice to the Vice-Provost for Research or other designated University's official regarding disputes between author(s) and CO PI «NURIS»;

6) every two years review and possibly recommend to the Vice-Provost for Research or other designated University's official adjustment of University's plan for the division of intellectual property income.

3. Governance Principles

9. The Committee is established by the decision of the Research Council.

Paragraph 10 was amended in accordance with the decision of the Research Council #113 dated January 19, 2019.

10. The Chair of the Committee is the Vice President for Innovation.

Section 3 was supplemented by new paragraph 10-1 in accordance with the decision of the Research Council #83 dated July 19, 2016.

Paragraph 10-1 was amended in accordance with the decision of the Research Council #133 dated January 11, 2019.

10-1. Deputy Chairman of the Committee shall be elected from among the members of the Committee at the scheduled meeting of the Committee.

Paragraph 11 was amended in accordance with the decision of the Research Council #133 dated January 11, 2019.

11. The Secretary of the Committee is appointed by the Research Council from the employees of the CO PI «NURIS», not a member of the Committee and has no right to vote.

4. Membership

Paragraph 12 was redrafted in accordance with the decision of the Research Council #133 dated January 11, 2019.

12. Members of the Committee carry out their activities by virtue of their position. Committee members, entitled to vote:

- 1) Vice President for Innovation, Chairman of the Committee;
- 2) Executive Vice President;
- 3) Vice President-General Counsel;
- 4) Provost;
- 5) Vice Provost for Research;

- 6) Advisor to the President;
- 7) General Director PI «NURIS»;
- 8) Advisor to the PI «NURIS»;
- 9) Director of PI «NURIS» Commercialization Office;
- 10) one representative from the PI «National Laboratory Astana»;
- 11) one representative from the School of Engineering;
- 12) one representative from the School of Science and Technology;
- 13) one representative from the Graduate School of Business, the Graduate School of Public Policy and School of Humanities and Social Sciences;
- 14) one representative from the Faculty Senate.

13. A delegated member may be replaced at any time by the person assigned by the Chair.

14. For certain issues, other University staff/faculty will be invited to join the Committee, as well as external experts, at the request of the Chair. Voting is confined to the members of the Committee.

15. In case of the absence of the Chair, an authorized person performs the functions of the Chairman.

16. The Chairman of the Committee shall:

- 1) organize the work of the Committee;
- 2) convene meetings of the Committee;
- 3) preside over meetings of the Committee.

5. Rights and Responsibilities of the Committee Members

17. The Committee members are required to fulfill their duties, assignments and responsibilities as assigned to them in order to carry forward the work of the Committee.

18. The Committee members are to serve as a liaison and to disseminate information between the Committee and their schools and other University structural units.

19. Members of the Committee have a right to suggest items for the Committee's consideration and have access to materials of the Committee.

6. Procedures

20. The Committee functions by holding meetings as needed. In exceptional circumstances, the Chair may call a Special Meeting with 2 (two) working days' notice.

21. Meetings will normally be open to all members of the University community. Closed sessions may only be attended by Members of the Committee.

22. Decisions of the Committee will be agreed on a consensus basis among the Committee members attending and shall be documented by the minutes, signed by the voting members.

23. Decisions of the Committee shall serve as a basis for the University management in making, implementing and monitoring decisions.

24. The issues not regulated by these Bylaws will be considered by the Committee on its own authority, in compliance with the Charter of the University, Intellectual Property Policy of the University, Research Council Policies and Procedures, the decisions of the executive bodies of the University, and the legislation of the Republic of Kazakhstan.

25. The quorum of the Committee is fifty percent of the votes of voting members that are present at the meeting.

26. The Chair may vote in case of a tie vote.

27. The Chair may appoint ad hoc committees and/or call for special interest groups, as appropriate.

28. In case of the Chair's absence, the Chair's functions are carried out by the Committee's Deputy Chair.

7. Records

29. The Secretary of the Committee will prepare and maintain written records of the Committee's activities, including minutes and agendas of all Committee meetings. This record will be kept by the Secretary of the Committee.

Appendix №1 to the minutes of the
Research Council meeting №83 dated July 19, 2016

Approved
by the decision of Research Council
of the autonomous organization
of education
"Nazarbayev University"
of July 19, 2016, No. 83



Amendments and additions to the Intellectual Property Committee Bylaws

The following amendments and additions shall be introduced to the Intellectual Property Committee Bylaws of the autonomous organization of education "Nazarbayev University" approved by the decision of the Research Council dated 21 April, 2015, No.53:

1. In the paragraph 10, words "Vice-Provost for Research" shall be replaced with words "Vice President for Innovation and Research".

2. New paragraph 10.1 shall be added to the Clause 3 "Governance Principles" as follows:

"10.1. The Deputy Chair of the Committee is the Vice President, General Counsel."

3. Paragraph 11 shall be read as follows:

"The Secretary of the Committee is appointed by the Research Council from the employees of the Research Services Office, not a member of the Committee and has no right to vote."

4. Paragraph 12 shall be read as follows:

"12. Members of the Committee serve in an *ex officio* capacity.

Voting members of the Committee are as following:

- 1) Vice President for Innovation and Research;
- 2) Vice-President, General Counsel;
- 3) Executive Vice-President;
- 4) Provost;
- 5) Vice Provost for Research;
- 6) Adviser to the President;
- 7) General Director PI "NURIS";
- 8) Senior Adviser on Commercialization PI "NURIS";

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- 9) Director of the Commercialization Office PI “NURIS”;
 - 10) one representative from the PI “National Laboratory Astana”;
 - 11) one representative from the School of Engineering;
 - 12) one representative from the School of Science and Technology;
 - 13) one representative chosen from the Graduate School of Business, Graduate School of Education, Graduate School of Public Policy and School of Humanities and Social Sciences;
 - 14) one representative from the Faculty Senate.”.

Appendix #4 to the minutes of the
Research Council meeting #94 dated January 31, 2017

**Approved
by the decision of Research Council
the autonomous organization
of education**

“Nazarbayev University”
of January 31, 2017 No. 94




Amendments and addition to the Intellectual Property Committee's Bylaws

The following amendments and addition shall be introduced to the Intellectual Property Committee Bylaws of the autonomous organization of education “Nazarbayev University” approved by the decision of the Research Council dated 21 April, 2015, No.53 (hereinafter – Bylaws):

1) in the paragraph 10-1 and subparagraph 2) of the paragraph 12 of the Bylaws words “, General Counsel” shall be removed;

2) new subparagraph 15) of the paragraph 12 of the Bylaws shall be added as follows:

“15) General Counsel.”

 NAZARBAYEV UNIVERSITY	Autonomous organization of education «Nazarbayev University»		
	Approving authority:	Research Council	
Amendments to Bylaw			
Amendments to:	Intellectual Property Committee Bylaws		
Date of approval:	11.01.2019	Date of entering into force:	
№ decision/Minutes:	№133		
Classification Code of Bylaws:			
Initiator:	Daniyar Zhumagulov, Commercialization Office, NURIS		
Related documents:	Nazarbayev University Intellectual Property Policy, Bylaws of Commercialization Office, PI «NURIS»		

The following amendments shall be introduced to the Intellectual Property Committee Bylaws of the autonomous organization of education «Nazarbayev University», approved by the decision #53 of the Research Council dated April 21, 2015:

1) Paragraph 2 shall be stated as follows:

«2. Intellectual Property Committee under the autonomous organization of education «Nazarbayev University» Research Council (hereinafter - Committee) is a consulting Body under the Research Council, providing coordination of activity on autonomous organization of education «Nazarbayev University» (hereinafter - University) technologies transfer and implementation of Nazarbayev University Intellectual Property Policy. Particular attention shall be paid by the Committee to the University's technology transfer mission, budgetary issues, resolution of disputes, and the division of intellectual property income.»;

2) Paragraph 6 shall be stated as follows:

«6. It is the responsibility of the Committee to:

1) monitor the implementation of Nazarbayev University Intellectual Property Policy;

2) verify that the Commercialization Office of PI «NURIS» (hereinafter – CO PI «NURIS») carries out its mission in accordance with the Nazarbayev University Intellectual Property Policy;

3) review requests from the Vice-Provost for Research or other designated University's official for the interpretation of the Nazarbayev University Intellectual Property Policy and make written recommendations regarding such requests;

4) review annually the financial results of the CO PI «NURIS» with particular attention to the expenditure of the CO PI «NURIS» share of intellectual property income/rights;

5) provide advice to the Vice-Provost for Research or other designated University's official regarding disputes between author(s) and CO PI «NURIS»;

6) every two years review and possibly recommend to the Vice-Provost for Research or other designated University's official adjustment of University's plan for the division of intellectual property income.»;

3) Paragraph 10-1 shall be stated as follows:

«10-1. Deputy Chairman of the Committee shall be elected from among the members of the Committee at the scheduled meeting of the Committee.»;

4) In the paragraph 11:

words «Research Services Office of the University» shall be replaced with words «CO PI «NURIS»»;

5) Paragraph 12 shall be stated as follows:

«12. Members of the Committee carry out their activities by virtue of their position.

Committee members, entitled to vote:

1) Vice President for Innovation, Chairman of the Committee;

2) Executive Vice President;

3) Vice President-General Counsel;

4) Provost;

5) Vice Provost for Research;

6) Advisor to the President;

7) General Director PI «NURIS»;

8) Advisor to the PI «NURIS»;

9) Director of PI «NURIS» Commercialization Office;

10) one representative from the PI «National Laboratory Astana»;

11) one representative from the School of Engineering;

12) one representative from the School of Science and Technology;

13) one representative from the Graduate School of Business, the Graduate School of Public Policy and School of Humanities and Social Sciences;

14) one representative from the Faculty Senate.»;

6) Throughout the text:

words «Vice President for Innovation and Science» shall be replaced with words «Vice President for Innovation»;

«OCTT» abbreviation shall be replaced with abbreviation «CO PI «NURIS».