

# **ANSA Phase III**

## **MANAGEMENT COMMITTEE POLICIES AND PROCEDURES**

This document comprises the procedures which the Management Committee has approved. They are intended to state clearly the Management Committee's intent and policies in reasonable layman's language. Some will be encompassed in contractual documents, others will be used operationally by the Management Committee. These documents are not intended to be perfect in law and terms used may not be legally precise; the ruling documents are the Sponsorship Agreement and the Programme Execution and Management Agreement, both dated 8th December 1992 and nothing in these Policies or Procedures affects in any way the contractual effect of, or is intended to be used to construe, those Agreements.

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# ANSA Programme

## Operational Procedures and Policies

### Number 1

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#### IPRs

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1. The ANSA workprogramme is a rolling programme, with no specified termination or hiatus, to which sponsors are considered to be committed until they resign, for which 6-months clear notice shall be given. Four contractual dates will be specified for each partner:

THE JOINING DATE is the date on which a partner signs the Consortium Agreement

- this date may occur before funding starts, for a variety of reasons, for example company budgets or existing contracts.

THE FUNDING DATE is the date on which funding commences

- for all partners in the ISA project this date will be 1/3/93
- for other partners it will be the Joining Date.

THE EXPLOITATION DATE is the date on which a partner gains the right to exploit the results commercially. The date is determined by the Management Committee on a fair and reasonable basis according to the type and size and market presence of the company:-

- for a new large company sponsor it will normally be 18-24 months after the Funding Date
- for a new small company sponsor it will normally be 6-9 months after the Funding Date
- for ISA partners it will be the Joining Date.

When a sponsor leaves the workprogramme, it will be necessary to agree and record a LEAVING DATE, which will be the date funding ceases unless otherwise agreed by the Management Committee.

2. The IPRs are jointly owned by the sponsors who were funding the work at the time the IPRs are generated. Ownership commences on the Funding Date (other than for ISA partners for which it is the Joining Date if this date is before 1/3/93) and accumulates until the date a sponsor leaves the programme; the accumulated ownership endures after the sponsor leaves the project. Ownership is not transferable.
3. Intellectual property previously generated by the Alvey ANSA project and the Esprit ISA Project Core Team is made available as background to the Programme at no cost. Licences for such things as operating systems (Unix, VMS) and other commercial software (for example, DCE) made available by a partner are excluded from such background.
4. The background, including any results of the ANSA Workprogramme generated before the new sponsor joined the programme which are to be made available to the new sponsor, will be recorded on that sponsor's contract documents. The Management Committee is responsible for agreeing this background.
5. The Project Director will arrange to keep a record of the various dates and ownership of results. The Management Committee will determine how ownership is to be monitored and how the intellectual property rights are to be enforced.

14 April 1992

RECYCLED PAPER

# ANSA Programme

## Operational Procedures and Policies

### Number 2

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## EXPLOITATION

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1. Commencing on the Funding Date each sponsor and its affiliate companies (*"affiliate" will be precisely defined in the contract but, briefly, is any one in which it has majority control*) has free licence to use the results internally. Commencing on the Exploitation Date it has world-wide non-exclusive free licence to exploit, through any company which is part of its normal business chain, any or all of the tangible (software, manuals, reports) and intangible (concepts and ideas) results, generated during the period commencing on the Funding Date and ending on the Leaving Date, together with the background or any previously-generated foreground agreed by the Management Committee.
2. This licence will endure after sponsorship ends.
3. The licence is subject to the sponsor not acting unreasonably or unfairly to the other sponsors.
4. The licensing of results to others is covered in policies Numbers 4,5,6 and 16.
5. If a sponsor leaves the ANSA programme it retains rights to exploit the results generated whilst a sponsor but not to any subsequent results.
6. A sponsor has the right to have the results made on its behalf by a third party. Unlike Esprit, the first opportunity to do this will not be offered to other sponsors.
7. Any dispute concerning exploitation shall be resolved by a 75% majority vote of all members of the Management Committee.

26 June 1992

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 3**

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#### **NEW SPONSORS**

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1. The Project Director shall regularly report progress and interest from new sponsors and shall maintain a prospects list in consultation with the Management Committee.
2. A new sponsor shall be admitted by vote of all voting members of the Management Committee, with a 75% majority in favour.
3. At the time of acceptance, the various dates and rights noted in other policies will be agreed and recorded.
4. It is the intent that all existing sponsors shall not have to re-sign the contracts when a new sponsor joins.
5. The Programme Director has the flexibility, within Contract Amendment 2, to offer incentive arrangements for the initial year of sponsorship to important potential sponsors, in particular the sponsors wish to increase the participation by end users and consultants.

7 September 1994

# ANSA Programme

## Operational Procedures and Policies

### Number 4

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#### LICENSING OF RESULTS TO A PROJECT CONSORTIUM

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1. As referenced in Policy Number 1, subject to the agreement of the Management Committee results of the ANSA programme may be licensed to a project consortium, for use by that consortium. This policy states the general conditions for such licensing. It is intended to address the needs of consortia for Esprit and similar initiatives.
2. It is preferable but not essential that one sponsor be a member of that consortium. The consortium must consist of at least two companies.
3. Licences are for pre-competitive research and will be granted under reasonable terms to non-sponsor companies, these terms will be fair to the (other) sponsors and their investment. The licence must provide an appropriate contribution to the funding of the ANSA Workprogramme.
4. The project, its partners and the results licensing must be openly declared.
5. The value and amount of results licensed to the consortium shall not diminish the value of sponsorship, for example, by providing a means of low-cost access to results of programme.
6. Results will normally (but not exclusively) be licensed by APM, acting as agent of the consortium.
7. The Management Committee will, from time to time, agree appropriate standard licensing conditions. Inter alia, this shall record
  - results licensed
  - time period of licence
  - start date
  - payments and terms.
7. The Project Director will arrange to keep a register of licensed results and report this regularly to the Management Committee.
8. There will be a fee for
  - (a) development licence, including source
  - (b) binary user licence
  - (c) documents
  - (d) support.
9. Exploitation by consortium members who are non-sponsors will be on fair and reasonable terms which will be agreed by the Management Committee, ideally at the outset. In the case of (b) the ANSA results must be embedded and cannot be resold stand-alone. All usage must be acknowledged to the ANSA programme and the sponsors' rights protected.
10. Any enhancements which the consortium makes to ANSAware shall be licensed to sponsors and the ANSA programme at no cost.

11. In general, with the revised sponsorship arrangements defined by Contract Amendment 2, a company wishing to exploit the results in products should become a sponsor at the level appropriate to its onward licensing needs.
12. Where the project is funded by the European Community or a similar programme of a member state, it was a documented condition of the end of ISA that the on-going results of ANSA post-ISA would continue to be made available to such projects. The terms are established by EC precedent as a 50% reduction on the commercial licence fees, and are in general for the duration of the project. A project partner using the software must buy a licence, which is end-user and may be source or binary.

7 September 1994

# ANSA Programme

## Operational Procedures and Policies

### Number 5

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#### LICENSING OF RESULTS TO A THIRD PARTY - POST-DISCLOSED

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1. It is recognised that companies in the industry will increasingly arrange alliances and that their formation is often a confidential matter. This procedure is designed to facilitate such alliances by sponsors and at the same time preserve the value of the results for other sponsors.
2. A sponsor may sub-license results to another manufacturer or similar company which is not part of its normal business chain, the rights to do so not being limited in the contract. However, if a substantial part of the results is sub-licensed, such as would, if unauthorised, constitute copyright infringement (*this is a convenient way of legally defining "substantial" in terms of both quantity and quality*), then that it is the intention that the sponsor will pay a fee to the consortium. The fee shall be determined by the Management Committee.
3. The policy shall survive a sponsor's leaving the ANSA programme.

26 June 1992

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 6**

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## **UNIVERSITY LICENSING POLICY**

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1. It is the policy of the ANSA programme as part of its awareness campaign to make documents and software available to universities and similar bona fide institutions for accredited research and teaching purposes.
2. The purpose of this policy is to increase the understanding of open distributed systems, to promote the use of ANSA, to enhance ANSA and to ensure a flow of graduates skilled in distributed processing.
3. Results will be licensed by APM (as Manager of the ANSA Workprogramme), with a licence fee per release. The charge shall cover the cost of materials and production only.
4. The licence shall stipulate that relevant results from the university programme must be made freely available to the ANSA workprogramme.
5. The university is encouraged to publish its results.
6. There is no geographical limitation in the application of this policy.
7. The licence does not provide for the university to use the results on funded project or industry-funded work; this class of use is covered by policy number 4.
8. The Project Director will arrange to keep a register of results so licensed.
9. The Project Director may invite the university to participate but not vote in Technical Committee Meetings.

14 April 1992



# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 7**

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## **PROTECTION OF INTEREST**

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1. The sponsorship agreement should nowhere refer to APM, its function is to bind the consortium members. References to APM should only appear in the Project Management Agreement.
2. In order that it has the rights to enable it to encourage new sponsors, carry out the awareness campaign and fulfil the other policies of the Management Committee, the Project Management Agreement with APM will provide for:
  - APM to have rights to market the results of the programme in line with the policies of the Management Committee
  - APM to have the relevant obligations of a sponsor, so that sponsors' IPRs and rights are protected.
  - APM will not be entitled to a vote on the Management or Technical Committees.
3. To avoid any potential future conflicts of interest, APM will:
  - ensure that visibility and guidance of APM's total operations is available to the sponsors, by inviting the sponsors, via the Chairman of the Management Committee, to recommend four (4) persons, which APM agrees to elect or re-elect to be external directors of APM. The election will take place at APM's Annual General Meeting.
  - make the ANSA Workprogramme its major priority and focus
  - carefully manage the self-funding awareness campaign so that feedback is obtained and awareness generated without risking or conflicting with its other obligations under the Project Management Agreement.
  - split off its Business Unit should this ever develop to be a major risk to the contract. If this is done, that devolved unit may itself become a sponsor.
  - APM will continue to apply the existing rule that secondees may only work on ANSA Workprogramme tasks unless specific written permission for a defined piece of work is obtained in writing from the secondee's company.
4. The sponsors will agree to give to APM sufficient rights to ensure that it can meet its obligations in three separately listed respects:
  - (a) to properly carry out the technical workprogramme
  - (b) to carry out the awareness programme, including attracting new sponsors
  - (c) to achieve an appropriate balance of rights so that APM is not disadvantaged by the contract.

26 June 1992

RECYCLED PAPER

# ANSA Programme

## Operational Procedures and Policies

### Number 8

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## INPUT TO STANDARDS GROUPS

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1. The ANSA programme has the objective to work well in advance of current developments in industry; a typical time margin should be 2-5 years.
2. Inputs to industry-standardisation groups (for example, OMG):
  - the major responsibility for the transfer of ANSA results and technology into industry standard fora will be through the participation of the sponsors in those fora.
  - from time to time and with the prior agreement of the Management Committee, APM may make agreed proposals to or participate in industry standard fora. The usual role of APM when making such proposals will be as a research organisation rather than as agent of the sponsors, however, such proposals will be a deliverable from the workprogramme and may be reviewed by the Technical Committee.
  - the normal role for the ANSA team will be to influence and recommend topics and items and foci for inclusion in calls from industry standards bodies.
  - in particular it is agreed that APM will submit responses to RFIs from OMG in a manner co-ordinated with the sponsors but not to the exclusion of other submissions by the sponsors.
3. International Standards.

It is a policy of the ANSA programme that as many of its results as possible be incorporated into international standards, such as those generated by ISO and ITU-TSS. The ANSA team has dedicated effort for this activity, which is a part of the approved workplan, with deliverables defined and monitored by the Technical and Management Committees. Specifically agreed targets are ISO-IEC JTC1 SC21 and ITU-TSS SG7.
4. Involvement and representation in other groups from time to time will be agreed by the Management Committee.

5 May 1993

# **ANSA Programme**

## **Operational Procedures and Policies Number 9**

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### **STRATEGY WITH RESPECT TO INDUSTRY-STANDARD TECHNOLOGIES INCLUDING CORBA AND DCE.**

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1. The ANSA programme has the objective to work well in advance of current developments in industry standard technologies. A typical time margin should be 2-5 years.
2. The ANSA programme should utilise industry-standard technologies where possible and appropriate; those selected will form the basis of the single ANSAware environment.
3. It has been agreed by the Management Committee that future releases of ANSAware will be based upon DCE and CORBA, commencing with the DCE at release 5.0.
4. Technical workplan items that may require access to the internals of such industry standards will be identified in advance so that sponsors may make the necessary arrangements with the suppliers of the standard. Sponsors will provide access, licences, loan items, assistance and support; the cost of these will be arranged between the sponsors. Requirements may include:
  - advanced access prior to release
  - source licences (which may be required directly and indirectly)
  - binary licences.Supply of such licences will not imply their inclusion as background or ability to sub-licence onwards.
5. On the recommendation of the Technical Committee, the Management Committee will select which standards are to be used and will determine how and when.

14 April 1992

# ANSA Programme

## Operational Procedures and Policies

### Number 10

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#### CLASSIFICATION OF DELIVERABLES

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1. It is the general policy of the ANSA Workprogramme that the architectural results shall be openly available (but not necessarily at no cost) and that most of them shall be placed in the domain of international standards.
2. Each deliverable shall be classified by the Management Committee as follows, in order to state clearly its status in respect of use and application inside and outside the programme.
  - public
    - to be input to standards (S)
    - openly available at no cost (O)
  - openly licensable at a fee
    - to anyone else (G)
  - private to sponsors
    - until a stated date (T-date)
3. The classification shall be established at the time a deliverable is planned. It may be modified at any time by the normal voting procedure of the Management Committee.
4. See also policy 21.

11 January 1993

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 11**

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#### **DEPENDENT DELIVERABLES**

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1. It is recognised that some members will be dependent upon delivery of particular functions or capabilities in software. It is important that this need be met harmoniously.
2. Therefore certain deliverables will be agreed by the Management Committee to be "dependent", and will be identified as such in planning and other documentation with a "\*\*".
3. Other than for normal changes, delays due to technical or staffing problems, a dependent deliverable may only be changed with the agreement of those sponsor who have stated that they rely upon it.
4. No more than 20% of deliverable shall be classed "dependent". The Management Committee may change this percentage by its normal voting procedure, providing that existing commitments to dependent deliverables are not affected or changed by such decisions.

14 April 1992

# ANSA Programme

## Operational Procedures and Policies

### Number 12

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#### SMALL COMPANIES

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1. There shall be a maximum number of small company sponsors; this number is set by the Management Committee.
2. The admission procedure is the same as for full sponsor companies.
3. The present limit is six small companies.
4. A small company sponsor shall:
  - be entitled to 5 days consultancy at Cambridge
  - have no right to a secondee, although the Management Committee may vary this in the case of an exceptional candidate
5. Preference will be given to small companies which have a role in a well-defined market segment. They will be encouraged to share their exploitation plans with the Management Committee; the purpose of so doing is:
  - to establish that sponsorship is an appropriate role
  - to establish credibility (if appropriate)It is not to gain competitive insight and the small company may ask the Management Committee to sign a confidentiality agreement.
6. Small company sponsors have a vote on the Technical Committee; they will share a vote of the Management Committee, in funding ratio (that is, 0.4x the weight of a large sponsor's vote).

26 June 1992

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 13**

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## **PROGRAMME PLANNING**

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1. The Technical Workplan will be reviewed by the Technical Committee, which will make recommendation to the Management Committee for its approval.
2. The workplan will be responsive to external market and standards developments.
3. Careful balance of long term (2-5 years deliverables) and medium term (1-2 years deliverables) must be achieved, and the plan must not bias towards the latter. A suitable test will be the effectiveness and leverage of the work of the ANSA team (of circa 15) compared with the industrial teams of (in total) circa 500. The workprogramme must not duplicate work which will succeed, due to technical or market power.
4. The balance of research to integration, technology transfer processes and standards shall be about 70/30.
3. The following method of planning shall be used:
  - 5 year vision (Document CO.102)
  - 2 year objectives (Document CO.xy)
  - 2 year operating plan (Document CO.120), which will focus on a set of technical topics
  - technical deliverables are from Work Packages, which aim to answer one or several questions on a topic
  - results of groups of workpackages are combined into Main Deliverables
  - APM will provide a monthly report by exception against deliverables
  - the Operating Plan will be reviewed every quarter by the Technical Committee, which recommends changes to Management Committee
  - there must be no micro-managing of APM by sponsors or Technical Committee.

11 January 1993

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 14**

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#### **MANAGEMENT COMMITTEE CHAIRMAN**

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1. Sponsors will nominate a senior person to represent them on the Management Committee.
2. The committee will elect a permanent Chairman from its members.
3. The elected chairman will chair the committee in an objective and neutral role.
4. The company providing the chairman shall, upon his or her election, nominate a further representative to the committee, to speak for that company and vote on its behalf.

14 April 1992



# ANSA Programme

## Operational Procedures and Policies

### Number 15

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## PATENTS

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BT ARE TO REVISE THE TEXT OF THIS POLICY

1. Increased emphasis is to be placed upon patenting results of the ANSA workprogramme. The cost of a full patent is circa £30,000; selection must therefore be with care since costs are additional to the Phase III budget.
2. It is likely that many ideas will not be patented. Where this is the case the results will be openly published at an early date to combat third party patents which may arise. Taking an early and clear decision is therefore the key step.
3. APM will take the necessary steps to ensure that this ability is not jeopardised. The decision must be taken before any open documentation is published and/or circulated, even in RC-form. Documents shall state "The content of this document is the subject of Patent Application Number xxxxx". Simply saying "Patent Applied For" will not give protection.
4. The Chief Architect will prepare a list of patentable ideas for each meeting of the Technical Committee; the committee will then select those ideas for which patent application is to be made. The Chief Architect will also identify and warn the team of any work which may be patentable. He will define the necessary mechanisms and be responsible for their operation.
5. As with the other IPRs, patents are jointly owned by the sponsors. It may be the case that only a subset of the sponsors wish to patent an idea; they may do this but in so doing cannot change the joint ownership or joint rights to the patent or by granting exclusive licences.
6. The procedure is as follows:

Identify opportunities and protect them	Chief Architect
Review and recommend	Technical Committee
Decide if proceed and, if so which company	Management Committee
/companies processes the patent	
and in which countries and who pays	
Pass to selected patent agent	Project Director
Review at 9 months	Management Committee
7. The decision to defend a patent or enforce a patent or copyright is generally with the Management Committee; however an individual company has the right to defend on its own.
8. Sponsors with a "patent-watch" activity should make the appropriate results available to APM.
9. APM will have a (very) limited budget to carry out initial review through its approved agent
10. There is an outstanding issue for resolution concerning inter-company patent trading agreements ("cross-licensing").

16 July 1992

# **ANSA Programme**

## **Operational Procedures and Policies**

### **Number 16**

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#### **INDUSTRIAL CONSORTIA - PRE DISCLOSED**

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1. It is recognised that companies in the industry will increasingly arrange consortia and that their formation is often a confidential matter. This procedure is designed to complement Number 5 and to facilitate such industrial consortia where the partners are willing to disclose their arrangements with the other sponsors.
2. A sponsor may sub-license results to a consortium consisting of other manufacturers or similar companies not part of its normal business chain. Although the right to do this is not restricted by the contract, it is the intent that non-sponsor companies will be required to pay a fee to the consortium. This fee will be determined by the Management Committee, taking into account the amount of results licensed, the use to be made of them and any reverse flow of IPRs.
3. The policy shall survive a sponsor's leaving the ANSA programme.

26 June 1992

# ANSA Programme

## Operational Procedures and Policies

### Number 17

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## SECONDMENT & VISITS

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1. Large-company sponsors may second staff to work in the laboratory alongside staff from fellow sponsors and the permanent team of APM staff. Secondees only work upon Phase III tasks, unless written agreement has been obtained by APM from the sponsor.
2. Secondment arrangements are for a minimum continuous period of 12 months, with a good skills fit. Secondees spend up to 10% of their time on technology transfer to their company.
3. Companies seconding staff are paid for the services on a skills/salary plus staff-related overhead basis, reducing their sponsorship costs. The number of places is limited (to about 50% of the technical researchers) and will be shared equitably.
4. Secondees work as full members of the ANSA team, under the general operating rules of APM (hours, health, safety and welfare, line responsibilities, reporting methods, etc). Whilst most of the work is open, some aspects are sensitive and every team member is bound by a confidentiality agreement.
5. Sponsors may send "visitors" to work alongside the team. Visitors are welcomed if space and equipment are available, and there is a fit between the visitor's technical interest and the workprogramme.
6. Visits typically last a few weeks, all costs are borne by the sponsor. It is most effective if the visitor has a particular technical goal to achieve. University visitors are welcomed.
7. An agreed "notice" period for the termination of or withdrawal of a secondee will be agreed and documented. In the event of sudden termination for valid personal reasons (such as illness), and provided the secondee has worked at Cambridge for three months, the secondee fees will be paid even though secondment is for less than 12 months. Any replacement will not necessarily be considered continuous.

10 August 1992

# ANSA Programme

## Operational Procedures and Policies

### Number 18

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#### INDUSTRIAL LICENSING - NON SPONSORS

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1. As referenced in Policy Number 1 it is a policy of the Management Committee the software results of the ANSA programme shall be made available, by licensing, to industrial companies. This policy states the general conditions for such licensing. It is intended to address the needs of companies which either cannot be or do not yet wish to be sponsors.
2. Until the maximum number of sponsors is reached, the prime goal is to attract sponsors.
3. Licences are for internal use ("end-user") and will be granted under reasonable terms, which are fair to the sponsors and their investment.
4. The results licensed will be software in the "generally licensable" category (principally ANSAware).
5. Other results licensed may only be licensed by specific agreement; this shall not diminish the value of sponsorship, for example, by providing a means of low-cost access to results of programme.
6. Results will normally be licensed by APM.
7. The standard licensing conditions shall record
  - software licensed
  - the time period of the licence (normally one year)
  - start date
  - payments and terms.
8. The Project Director will arrange to keep a register of licensed software and report this regularly to the Management Committee.
9. There will be different licence fees for
  - (a) development licence, including source
  - (b) binary user licence (for further use within the licensee company)
  - (c) documents.
10. Exploitation is not covered by the standard licence, which is for internal ("end-user") use only. If the licensee wishes to proceed to exploitation, draft arrangements shall be negotiated and presented to the Management Committee for approval.
11. All usage must be acknowledged to the ANSA programme and the sponsors' rights protected.

21 April 1992

RECYCLED PAPER

# **ANSA Programme**

## **Operational Procedures and Policies**

**Number 19**

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### **B-TASKS AND C-TASKS**

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1. C-tasks are replaced by demonstrator effort. There are now no B-tasks.
2. Policy withdrawn.

11 January 1993

RECYCLED PAPER

# ANSA Programme

## Operational Procedures and Policies

### Number 20

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## TECHNOLOGY TRANSFER MODEL.

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1. Technology transfer in Phase III is a two-way iterative process between the core team and the appropriate research, engineering and business units of the sponsors.
2. Equal importance is attached to (i) the output of results from the core and their successful take-up by the sponsors, and (ii) the feeding of requirements, needs and experiences to the core team.
3. Technology transfer will be achieved by (in priority order):
  - (i) secondment and visits (as defined in CO101)
  - (ii) interaction at engineering level, through
    - large workshops for explanation and dissemination
    - small workshops, for problem solving
    - consulting (as defined in CO101)
    - discussion meetings
  - (iii) software examples, prototypes and integrated releases
  - (iv) building of demonstration systems, jointly by groups of sponsors
  - (v) the deliverables review process
  - (vi) documents are principally items of record and reference.
4. The sponsors will determine, specify, organise and build demonstrators, as C-tasks (as defined in CO101). The core team will be involved in their specification, design and in obtaining feedback from sponsors' experiences. There is no obligation on any sponsor to join any demonstration project. The aim is for a minimum of two significant demonstrators over the next 2 years.

# ANSA Programme

## Operational Procedures and Policies

### Number 21

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## CLASSIFICATION OF DOCUMENTS

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1. Anything which is a RESULT of Phase III (i.e. approved by the MC, or the TC on its behalf) MUST be classified as:

- O - open, public
- S - input for standards
- C - licensable to a consortium in line with the MC policies, for a fee
- G - licensable generally, for a fee
- T+date - private to sponsors, until a given date - this reason for this should only be maturity of the work.

TR, CO, BR documents are RESULTS when approved by the MC

2. Any internal Phase III working document (NOT a result) MAY be classified "Confidential" by the CA or PD or MC. This is equivalent to a T classification. The timescale is set by the contract as 2 years from the date of issue but this may be changed at any time by the MC.

Confidential means restricted to sponsors and the core laboratory.

There is no obligation to make anything confidential and in general things should be open but marked to show they are interim and not results. Suitable wording is:

"This is a Working Document, not a result and may be revised, changed, updated or cancelled".

Documents in this class would be RC-documents.

3. All MC and TC Minutes and financial records are Confidential.
4. The contract states that all architecture documents must be open (O).
5. Confidential classification may also be applied to background or information supplied by a sponsor or other external body.
6. Recording of an item as confidential in the TC or MC minutes is sufficient, even if the document itself does not state this.
7. None of the above apply if the action would be illegal or anti-trust.

11 January 1993

RECYCLED PAPER

# **ANSA Programme**

## **Operational Procedures and Policies**

**Number**

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