



ACHARYA & BM REDDY COLLEGE OF PHARMACY

'Scientific and Industrial Research Organization' recognized by DSIR, Ministry of Science & Technology, Govt. of India
Accredited by NBA and NAAC 'A+' grade. Affiliated to RGUHS. Approved by AICTE & Pharmacy Council of India.
Accredited by Life Sciences Sector Skill Development Council (LSSSDC) as a Vocational Training Partner.

Ref. No. ABMRCP/NISP/2022-04

Date: 04.07.2022

OFFICE ORDER

SUB: Institutional Innovation and Startup Policy for Faculties and Students – Reg.

TO WHOMSOEVER IT MAY CONCERN

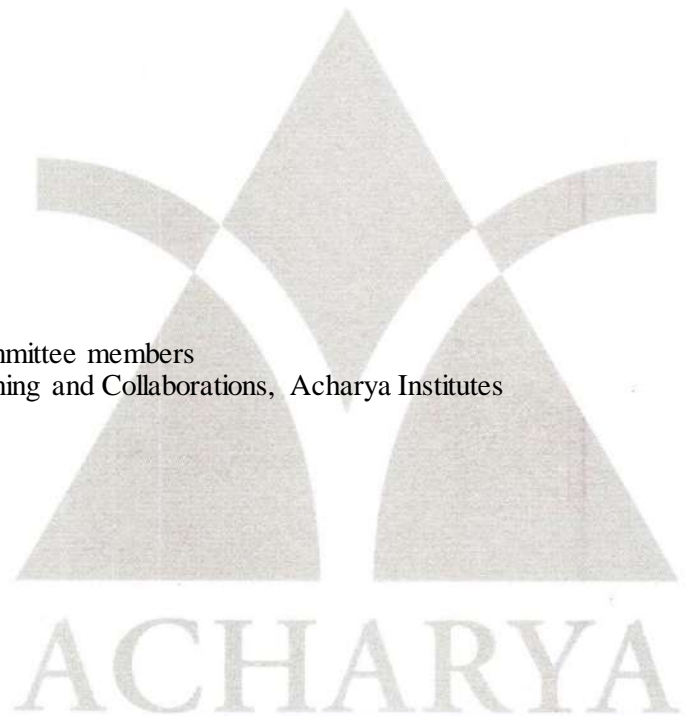
It is hereby declared that the Acharya & BM Reddy College of Pharmacy (ABMRCP) has formally accepted the **Institutional Innovation and Startup Policy for Faculties and Students**. This policy document has been prepared as per the AICTE-NISP document and shall guide all the startup and entrepreneurial activities henceforth.


PRINCIPAL

Principal
Acharya & BM Reddy College of Pharmacy
Bangalore - 560 107

Copy to:

1. All the teaching staff members
2. Institutional Innovation and Startup Committee members
3. Mr. Iqbal Ahmed, Deputy Director-Training and Collaborations, Acharya Institutes
4. Students of ABMRCP,
5. Notice board,
6. Office of the Principal



Acharya & BM Reddy College of Pharmacy

Acharya Dr. S Radhakrishnan Road, Acharya P.O.,

Soladevanahalli, Bengaluru-560107.

Karnataka, India.



**INSTITUTIONAL INNOVATION AND STARTUP POLICY
FOR
FACULTIES AND STUDENTS**
(Aligned with NISP)
“DREAM-DEDICATE-DEVELOP”



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PREAMBLE

The All India Council of Technical Education (AICTE) has taken up a very important nation building task of instilling an innovative and entrepreneurial culture in Higher Education Institutions (HEIs) and support the Government of India's "Startup Action Plan."

The Entrepreneurship Development Cell, IIC and ARIIA teams of Acharya & BM Reddy College of Pharmacy (ABMRCP), Bengaluru collectively contribute in promoting innovation and entrepreneurship ecosystem for the Faculty, Staff, Research Scholars and Students and also people of the locality. The Institution Innovation and Startup Policy is a catalyst in creating innovation and entrepreneurial ecosystem in our institute. This will provide ample opportunities to the faculty, research scholars and students give shape to their random ideas into deliverable empathetic solutions to various technical and societal problems.

This Institution Innovation and Startup Policy is aligned with National Innovation and Startup Policy (NISP) considering the parameters highlighted in ARIIA framework (Annexure – 4). This policy is subject to review and amend whenever necessary with prior recommendation by the Head of the Institute, Principal, Acharya & BM Reddy College of Pharmacy, Bengaluru. The policy is drafted by the 'Institution Innovation and Startup Policy Committee' setup under the leadership of Head of the HEI; the Principal, Acharya & BM Reddy College of Pharmacy, Bengaluru (Annexure – 1).

On adoption of the policy, the members of 'Institution Innovation and Startup Policy Committee' will be responsible in implementing and monitoring the policy at the institutional level. The institution's ARIIA Coordinator will act as Single Point of Contact (SPOC) for the students of their respective departments. This committee will also act as committee for 'Brainstorming' on matters related to innovation, startups and related entrepreneurial activities.

MISSION

To institutionalise to startup culture and establish a supportive ecosystem through combined efforts of both staff and students and guided by the Institution Innovation and Startup Policy.

VISION

Life sciences including pharmaceuticals are sector of national importance and vital to national security and therefore has to grow adequately to support the growing Indian economy. Which is set to reach \$5 trillions in the next few years. To succeed, it must develop the structures and mechanisms necessary to transform the current demographic dividend into highly skilled technical labour capable of leading-edge research, innovation, and deep-tech entrepreneurship. A framework for imagining an educational system focused on startups and entrepreneurship prospects for students and faculties is provided by the "National Student and Faculty Startup policy 2019." The recommendations provide ABMRCP faculty and students methods to do things for the purposes of building an entrepreneurial agenda.

1. Overview of Strategies and Governance

1.1. Developing an innovation, startup and entrepreneurial ecosystem is one of the priorities of Acharya & BM Reddy College of Pharmacy, Bengaluru enabling the faculty and students to realize their innovative technical potentialities.

1.2. The very mission and vision statements of the institute set a framework for the

implementation of the innovation and startup policy emphasising achievement of the set goals through Management by Objectives (MBO) rather than coercive control system. The management of the institute ensures a committed support in the implementation of the policy.

1.3. The management and the administration authorities of the institute stress on creating an academic ambience to develop innovative and entrepreneurial mindset amongst the faculty and students.

1.4. The institution with academic University; the Board of Studies of all branches of pharmaceutical sciences incorporate the courses educating students (both in Undergraduate and Postgraduate courses) to acquire skills and knowledge on creative thinking, innovation and entrepreneurship and business policies such as Intellectual Property Rights, Management and Entrepreneurship, Financial Management, Human Resource Management, Business Economics, Organizational Behaviour, and so on.

1.5. At institution level, resource mobilization plan will be made to support the innovation and incubation infrastructure and other related facilities in order to achieve a sustainable entrepreneurial agenda. An effort will be made to search for diverse external sources of funding of students' projects and innovative activities which involve government agencies and organizations (such as AICTE, RGUHS, DST, KSCST, DBT, MSME, Startup India, Invest India, MSDE, etc.) and non-government sources (NGOs, Venture Capitalist, etc.)

1.6. The importance of Innovation, Intellectual Property Rights and Entrepreneurship always highlighted in organizing technical events and fests, competitions and exhibitions, workshops, conferences, seminars and such other events.

1.7. The institution has an active alumni network with a registered alumni associations 'AAA-Acharya Alumni Association', 'AAAP-Acharya Alumni Association-Pharmacy' and individual alumnus could be encouraged to sponsor and donate actively for the promotion of innovation and entrepreneurial activities. The alumninetwork will also be involved in training and guiding the students on various activities related to innovation and entrepreneurship. The most needed opportunities will be created for the alumni entrepreneurs interaction to motivate the students engage creatively in innovation and entrepreneurial assignments and programmes.

1.8. The necessary action plan will be worked out to promote entrepreneurship culture through industry-academia interaction, public participation, functional partnership with other educational institutions (both at national and international levels), business organizations, international exchange programmes for internships, research, higher education, technical know-how and faculty which could directly or indirectly help in promoting innovation and entrepreneurship culture.

2. Startups Enabling Infrastructure

2.1. The faculty and students are encouraged to pursue research and innovation. The institution manages to provide the necessary support and guidance to the faculty and students in applying for IP protection (patent, design patent, trademark, copyrights, etc.) through its IP Cell.

2.2. Then students are encouraged to actively involve and participate in various institutional level and department level research and innovation oriented technical clubs managed by the student teams under the guidance of a designated staff (teaching or support staff or an external expert) such as

1. Pharmaceutical Technology
2. Healthcare & Biomedical devices
3. Food supplements and Nutraceuticals
4. Clean & Potable water
5. Chemical Synthesis
6. Proteomics and drug Discovery
7. Herbal medicines

are in place and active. These club activities are coordinated by IIC - Students Coordinators under the guidance of Head of Incubation Centre, Acharya & BM Reddy College of Pharmacy, Bengaluru.

2.3. The faculty, researchers and students will be able to have an access to the pre-incubation and incubation facilities during all working hours and even 24x7 on certain special research and innovation oriented startups and entrepreneurial activities.

2.4. The faculty and students are encouraged to make use of the incubation facilities – Acharya Incubation Centre (AIC) Bengaluru and any incubation/pre-incubation facilities located in the campus and these incubation centers are operating as separate entities following their own prescribe guidelines and procedures as laid down in the selection of projects for funding and mentoring assistance. It ensures a greater freedom to incubators in decision making with less administrative hassles for executing the programs related to Innovation, IP ownership and Startups with higher level of accountability of investors and incubating facility providers. At present a good number of startups are operating under the mentorship of AIC Bengaluru and student projects have been funded to register as Startups through mentorship of AIC, Bengaluru.

2.5. Entrepreneurship Development Cell (EDC) organizes the entrepreneurship awareness and training programmes for the students inviting the resource persons from MSME Centres, Ministry of MSME, Government of India and experts from the industries, start-ups, incubation centres and academia. It also organizes job and skill oriented training programmes to the rural youth and women and students from various technical institutes.

3. Nurturing Innovations and Start ups

3.1. The institution has a well-established Research and Innovation Centre providing the required facilities to the faculty and students in their research and innovation activities.

3.2. The Centre of Excellence in different streams of engineering and management provide the most needed expert guidance, laboratory and technical infrastructure and technical staff to the faculty, research scholars and students to carry out their academic research and innovation.

3.3. The IP Cell (Annexure – 2) of the institute provide the most needed guidance and support to the faculty and students to file application for IP protection such as patent, design patent, copyright, trademark, etc. The IP Policy (Annexure - 3) is in place and the guidelines and provisions of the policy are followed while patent filing. IP Cell and Faculty experts in IPR organize and conduct the workshops, training programmes and seminars to create awareness about the importance of IPR knowledge, patent and patent filing procedure, and the like.

3.4. The institution may allow the staff and students to work on their innovative projects and setting up start-ups (including Social Start-ups) or work as intern/ part-time (without disturbing the assigned regular workload and work hours) in start-ups (incubated in any recognized Incubators) while studying / working with due approval of competent authority of the institute. Student entrepreneurs may be considered to earn credits (depending on the academic policy feasibility) for working on innovative prototypes and business models.

3.5. Students entrepreneurs may be allowed to appear for the examination with defined percentage of attendance benefit, if they satisfy atleast a minimum permissible percentage of attendance; however, with the prior permission of the higher authorities of the institute, the Principal.

3.6. The Incubation centers (AIC Bengaluru) may provide the funding, mentoring, workspace facilities (as per their established norms and procedures) to set up their startups. The incubation centres may provide facilitation in a variety of areas including technology development, ideation, creativity, design thinking, fund raising, financial management, cash-flow management, new venture planning, business development, product development, social entrepreneurship, product costing, marketing, brand- development, IP Services, human resource management as well as law and regulations impacting a business.

3.6. In case the institution facilities are used by the Faculty and Staff for innovation and startup:

3.6.1. for staff and faculty, the institute can take not more than 20% of shares that staff / faculty takes while drawing full salary from the institute; however, this share will be within the 9.5% cap of company shares

3.6.2. No restriction on shares that faculty / staff can take, as long as they do not spend more than 20% of office time on the startup in advisory or consultative role and do not compromise with their existing academic and administrative work / responsibilities. In case the faculty/ staff holds the executive or managerial position for more than three months in a startup, then they will go on sabbatical (if provision is made available)/ leave without pay/ earned leave.

3.6.3. In case of compulsory equity model, Startup may be given a cooling period of 3 months to use incubation services on rental basis to take a final decision based on satisfaction of services offered by the institute/incubator managed exclusively by the institute. In such case, during the cooling period, institute cannot force the startup to issue equity on the first day of granting incubation support.

3.6.4. The institute may also provide services based on mixture of equity, fee-based and/ or zero payment model. So, a startup may choose to avail only the support, not seed funding, by

the institute on rental basis.

3.6.5. The institute may extend this startup facility to alumni as well as outsiders.

3.6.6.. Participation in innovation and entrepreneurship related activities needs to be considered as a legitimate activity of faculty in addition to teaching, R&D projects, industrial consultancy and management duties and must be considered while evaluating the annual performance of the faculty. Every faculty may be encouraged to mentor at least one startup.

3.6.7.. Product development and commercialization as well as participating and nurturing of startups would now be added to a bucket of faculty-duties and each faculty would choose a mix and match of these activities (in addition to minimum required teaching and guidance) and then respective faculty are evaluated accordingly for their performance and promotion.

3.6.8.. The institute management might also need to update/change/revise performance evaluation policies for faculty and staff as stated above.

3.6.9.. The institution need to ensure that at no stage any liability accrue to it because of any activity of any startup.

3.6.10. The institution and its administration has completed right to modify the policies and provisions made available to the faculty and staff either to any or all of the above in this category starting from 3.6.1 to 3.6.10.

4. Product Ownership Rights

4.1. Acharya & BM Reddy College of Pharmacy, Bengaluru encourages the faculty, research scholars and students to legally protect their research outcomes, innovation and products with the required guidance to file for IP Protection. The IP Cell of the institute has well established norms in place this regard (Annexure - 3).

4.2. The IP Cell and authorities of the institute will only be providing the necessary coordination and facilitation services to the faculty, research scholars and students. It is the responsibility on the part of faculty, research scholars and students to explain how the invention is carried out, patented and however, licensed in specific cases and also to respond to the clarification sought.

4.3. The IP Cell of the institute consists of faculty who have expertise in R&D related responsibilities and technology translation as the members.

4.4. Acharya & BM Reddy College of Pharmacy, Bengaluru recognizes the importance of promoting interdisciplinary research and publication on entrepreneurship and startups.

5. Organizational Capacity, Human Resources and Incentives

5.1. Acharya & BM Reddy College of Pharmacy has the faculty and staff with innovation and entrepreneurial/ industrial experience; who act as catalyst in fostering the Innovation and entrepreneurial culture in the institute.

5.2. Some of the faculty members with relevant experience and expertise are assigned the responsibility of managing the activities related to IP, Entrepreneurship and Incubation facilities and related activities in the institute.

5.3. The faculty and staff of the institute with keen interest in IPR, Innovation, and Entrepreneurship deputed to training, FDPs, workshops, etc., to promote innovation and entrepreneurial culture in the institute on regular basis. Moreover, FDPs, Workshops and Training programmes IPR, Entrepreneurship Awareness and related areas are organized regularly in the institute for the benefit of faculty and students. In addition, various such activities are conducted by the EDC, IIC and IP Cell of the institute. Acharya Incubation Network (AIN) organises project related activities and hackathons in different field of engineering.

5.4. Faculty and staff of the institute are encouraged to do courses on innovation, entrepreneurship management and venture development. The institution has a well defined faculty appraisal system in place which give due consideration to innovation, R&D related activities, technical publication, entrepreneurial engagements.

6. Creating Innovation Pipeline and Pathways for Entrepreneurs at Acharya Institute of Technology, Bengaluru

6.1. To encourage faculty and students to have a better exposure to innovation and pre incubation activities at their early stage and to support the pathway from Dream to Develop (Dream – Dedicate – Develop) a strategic plan will be worked out.

6.2. The institution will focus on spreading awareness among the faculty, research scholars, staff and students about the importance of entrepreneurship in career growth and enhancement of employability.

6.3. The faculty and students will be taught to be aware about – how to empathies will the need of the society and people; and engage in technological innovation that will help in solving problems of the society and consumers as end users. Design thinking may be commended as a course in curriculum.

6.3. Creating opportunity to expose the students to experiential learning and training on cognitive skills such as critical thinking, creativity, design thinking, etc. Initiatives like interaction with local entrepreneurs, participating of students in ideation and innovation related competitions, hackathons, boot camps, conferences, workshops, exhibitions, expert mentoring, exposure to real life situations and challenges, etc., will be supportive in skill development.

6.4. Innovation and Entrepreneurship Awareness workshops and campaign are regularly organized for the benefit of the students.

6.5. Training and support facilities by the EDC, Incubation Centers (AIC Bengaluru, MSME unit, IIC and IP Cell will be extended to enable the faculty and students to realize their

entrepreneurial dreams as potential entrepreneurs.

7. Norms for Faculty Startups

The faculty and staff of Acharya & BM Reddy College of Pharmacy, Bengaluru are encouraged to engage in R&D, Innovation and Entrepreneurial activities with startup initiatives.

7.1. Role of faculty may vary from being an owner/ direct promoter, mentor, consultant or as on-board member of the startup.

7.2. The management of the institute may work on developing a policy on 'conflict of interests' to ensure that the regular duties of the faculty don't suffer owing to his/her involvement in the startup activities.

7.3. Faculty startup may consist of faculty members alone or with students or with faculty of other institutes or with alumni or with other entrepreneurs.

7.4. In case the faculty/ staff holds the executive or managerial position for more than three months in a startup, they will go on sabbatical (if provision is made available)/ leave without pay/ utilize existing leave.

7.5. Faculty must clearly separate and distinguish on-going research at the institute from the work conducted at the startup/ company.

7.6. Faculty must not accept gifts from the startup.

7.7. Faculty must not involve research staff or other staff of the institute in activities at the startup and vice-versa and strictly follow the employment policy of the institute.

8. Pedagogy and Learning Interventions for Entrepreneurship Development Diversified approach should be adopted to produce desirable learning outcomes, which will include cross disciplinary learning using mentors, labs, case studies, games, etc. in place of traditional lecture-based delivery.

8.1 Student clubs/ bodies/ departments will be created for organizing competitions, boot camps, workshops, awards, etc. These bodies will be involved in the institute's strategy planning to ensure enhancement of the student's thinking and responding ability.

8.2 Acharya & BM Reddy College of Pharmacy, Bengaluru may start annual 'Innovation & Entrepreneurship Award' to recognize outstanding ideas, successful enterprises and contributors for promoting innovation and enterprises ecosystem within the organization.

8.3. For creating awareness among the students, the teaching methods will include case studies on business failure and real-life experience reports by startups.

8.4. Tolerating and encouraging failures. Failures need to be elaborately discussed and debated to imbibe that failure is a part of life, thus helping in reducing the social stigma associated with it. Very importantly, this may be a part of institution philosophy and culture.

8.5. Innovation champions may be nominated from within the students/ faculty/ staff for each department/ stream of study.

8.6. Entrepreneurship education may be imparted to students at curricular/ co-curricular/ extracurricular level through elective/ short term or long-term courses on innovation, entrepreneurship and venture development. Validated learning outcomes will be made available to the students.

8.7. Integration of expertise of the external stakeholders may be done in the entrepreneurship education to evolve a culture of collaboration and engagement with external environment.

8.8. In the beginning of every academic session, institute conduct an induction program with an introductory awareness about the importance of Innovation and Entrepreneurship; so that freshly inducted students are made aware about the entrepreneurial agenda of the institution and available support systems. Curriculum for the entrepreneurship education will be continuously updated based on entrepreneurship research outcomes. This will also include case studies on failures.

8.9. Industry linkages will be leveraged for conducting research and survey on trends in technology, research, innovation, and market intelligence.

8.10. Sensitization of students may be done for their understanding on expected learning outcomes.

8.11. Student innovators, startups, experts must be engaged in the dialogue process while developing the strategy so that it becomes need based.

8.12. Customized teaching and training materials may be developed for startups in addition to those that are already in place.

8.13. It must be noted that not everyone can become an entrepreneur. The entrepreneur is a leader, who would convert an innovation successfully into a product, others may join the leader and work for the startup. It is important to understand that entrepreneurship is about risk taking. One must carefully evaluate whether a student is capable and willing to take risk.

8.14. Pedagogical changes need to be done to ensure that maximum number of student projects and innovations are based around real life challenges. Learning interventions developed by the institute for inculcating entrepreneurial culture may be constantly reviewed and updated.

9. Collaboration, Co-creation, Business Relationships and Knowledge Exchange

9.1. Stakeholder engagement will be given prime importance in the entrepreneurial agenda of Acharya & BM Reddy College of Pharmacy, Bengaluru. The institute may find potential partners, resource organizations, micro, small and medium sized enterprises (MSMEs), social enterprises, schools, alumni, professional bodies and entrepreneurs to support entrepreneurship and co-design the programs.

9.1.1. To encourage co-creation, bi-directional flow/ exchange of knowledge and people will be ensured between institutes/ organizations such as incubators, software technology parks of India and science parks, etc.

9.1.2. The institute may organize networking events for better engagement of collaborators and will open up the opportunities for staff, faculty and students to allow constant flow of ideas and knowledge through meetings, workshops, space for collaboration and lectures etc.

9.1.3. Mechanism will be developed by the institute to capitalize on the knowledge gained through these collaborations.

9.1.4. Care will be taken to ensure that events don't become an end goal.

9.2. Acharya & BM Reddy College of Pharmacy, Bengaluru may formulate the policy and the guidelines for forming and managing the relationships with external stakeholders including private industries.

9.3. Knowledge exchange through collaboration and partnership will be made a part of Acharya & BM Reddy College of Pharmacy, Bengaluru policy and the institution will provide support mechanisms and guidance for creating, managing and coordinating these relationships.

9.3.1. Through formal and informal mechanisms such as internships, teaching and research exchange programmes, clubs, social gatherings, etc., faculty, staff and students of the institute will be given the opportunities to connect with their external environment.

9.3.2. Connect of the institute with the external environment must be leveraged in form of absorbing information and experience from the external ecosystem into the institute environment.

9.3.3. Single Point of Contact (SPoC) mechanism may be created in the institution for the students, faculty, collaborators, partners and other stakeholders to ensure access to information.

9.3.4. Mechanisms may be worked out by the institute to ensure maximum exploitation of entrepreneurial opportunities with industrial and commercial collaborators.

9.3.5. Knowledge management will be done by the institute through development of innovation knowledge platform using in-house Information & Communication Technology (ICT) capabilities.

10. Entrepreneurial Impact Assessment

10.1. Impact assessment of institute entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education will be performed regularly using well

defined evaluation parameters.

- 10.1.1. Monitoring and evaluation of knowledge exchange initiatives, engagement of all departments and faculty in the entrepreneurial teaching and learning will be assessed.
 - 10.1.2. Number of start-ups created, support system provided at the institute level and satisfaction of participants, new business relationships created by the institute will be recorded and used for impact assessment.
 - 10.1.3. Impact will also be measured for the support system provided by the institute to the student entrepreneurs, faculty and staff for pre-incubation, incubation, IPR protection, industry linkages, exposure to entrepreneurial ecosystem, etc.
- 10.2. Formulation of strategy and impact assessment will go hand in hand. The information on impact of the activities will be actively used while developing and reviewing the entrepreneurial strategy.
- 10.3. Impact assessment for measuring the success will be in terms of sustainable social, financial and technological impact in the market. For innovations at pre-commercial stage, development of sustainable enterprise model is critical. However, Commercial success is the only measure in the long run.

Annexure-1

ABMRCP – Institution Innovation and Startup Policy Committee



**ACHARYA & BM REDDY
COLLEGE OF PHARMACY**

'Scientific and Industrial Research Organization' recognized by DSIR, Ministry of Science & Technology, Govt. of India
Accredited by NBA and NAAC 'A+' grade. Affiliated to RGUHS. Approved by AICTE & Pharmacy Council of India.
Accredited by Life Sciences Sector Skill Development Council (LSSSDC) as a Vocational Training Partner.

Ref. No. ABMRCP/NISP/2021-01

Date: 30.08.2021

OFFICE ORDER

SUB: Institution Innovation and Startup Policy Committee – Reg.

In compliance with guidelines issued by the Ministry of Education, Government of India, an 'Institution Innovation and Startup Policy Committee (IISFPC)' has been constituted with the following members. The order is effective from 30-09-2021 and valid until further orders.

Name	Designation	Role
Dr. Amit Kumar Das, Principal	Principal	Chairperson
Dr. Manjunath P M, Vice Principal	Vice Principal	Member
Dr. C S Lakshmeesha	Professor & Head, Dept. of Pharmaceutical Regulatory Affairs	Co-ordinator
Dr. Venkatesh D P	Assoc. Professor & Head, Dept. of Pharmaceutics	Member
Dr. Sajeev Kumar B	Professor, Dept. of Pharmaceutics and co-ordinator-FDP	Member
Dr. Ranjith Muniswamy	Asst. Professor, Dept. of Pharmacology and Innovation Ambassador for IIC 4.0	Member
Dr. Gurubasavaraja Swamy	Professor and Head, Dept. of Pharmaceutical Chemistry	Member

Roles and responsibilities of Institution Innovation and Startup Policy Formation Committee

- Formulate a comprehensive policy for innovation, entrepreneurship and startups in Acharya & BM Reddy College of Pharmacy (ABMRCP)
- Create awareness amongst the staff and students of ABMRCP about the formulated policy as mentioned above
- Provide clarity about the above mentioned policy to entrepreneurial/startup aspirants

Term:

- Two years

Meeting frequency:

- As and when required

To,

1. All Members
2. All HoDs
3. Office file


PRINCIPAL
Acharya & BM Reddy College of Pharmacy
Bangalore - 560 107



Annexure -2

ABMRCP – Intellectual Property Cell Committee



ACHARYA & BM REDDY COLLEGE OF PHARMACY

'Scientific and Industrial Research Organization' recognized by DSIR, Ministry of Science & Technology, Govt. of India
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Accredited by Life Sciences Sector Skill Development Council (LSSSDC) as a Vocational Training Partner.

Ref. No. ABMRCP/NISP/2022-02

Date: 05.05.2022

OFFICE ORDER

SUB: Intellectual Property Cell Committee (IPC) – Reg.

The Intellectual Property Cell has been constituted with the following members. The order is effective from 05-05-2022 and valid until further orders.

Name	Designation	Role
Dr. Amit Kumar Das, Principal	Principal	Chairperson
Dr. Manjunath P M, Vice Principal	Vice Principal	Member
Dr. Raghavendra N M	Professor, Dept. of Pharmaceutical Chemistry and co-ordinator for ARIIA	Co-ordinator
Dr. Ranjith Muniswamy	Asst. Professor, Dept. of Pharmacology and Innovation Ambassador for IIC 4.0	Member
Dr. Sajeev Kumar B	Professor, Dept. of Pharmaceutics and co-ordinator-FDP	Member
Dr. Gurubasavaraja Swamy	Professor and Head, Dept. of Pharmaceutical Chemistry	Member

Roles and responsibilities of the Intellectual Property Cell Committee

- Organising awareness events which educate students on matters related patents
- Identify budding scientists amongst the students
- Arranging interactions between the staff and the students with IP experts and government departments concerned with intellectual property
- Awareness on patenting process and legal protection for inventions
- Encourage commercialisation of innovative concepts taken to the proof of concept stage by the staff and the students

Term:

- Two years

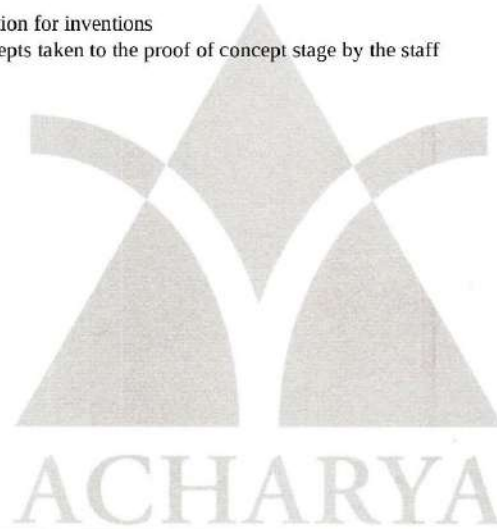
Meeting frequency:

- As and when required.

To,
All Members
All HoDs
IQAC
Office file


PRINCIPAL

Principal
Acharya & BM Reddy College of Pharmacy
Bangalore - 560 107



Annexure – 3

IP Policy



IP POLICY AND GUIDELINES

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3) APPLICABILITY OF THE IP POLICY

4) OWNERSHIP

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7) REVENUE SHARING

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PURPOSE

Vision

“Create an environment that encourages and enhances the research, creativity and innovation in the Acharya Institutes and to facilitate the transfer of inventions for the societal benefit”

Mission

“To establish a dynamic, vibrant and balanced IP system in the Acharya Institutes to ensure an optimum utilization at all levels of society for the purpose of creation, protection, utilization, and enforcement of Intellectual Property”

The IP Policy of Acharya Group of Institutes reflects the following objectives:

- a. To create an environment that encourages the generation of new knowledge and promotes intellectual creativity and innovation, by the faculty, students, and staff of Acharya Institutes.
- b. To motivate the generation and dissemination of IP by providing appropriate financial incentives through fair and equal distribution of benefits to all Inventors and to provide administrative assistance to Inventors.
- c. To protect the interests of the Institutes and the Inventors of existing new IP without compromising on the educational mission of the Institutes.
- d. To secure appropriate rights and to transfer the new knowledge for the benefit of public at large and Institutes in particular and to protect the Institutes and its Inventors from improper exploitation and abuse of its IP.
- e. To promote collaborative work with industries and other academic institutes and stimulate research through developing cutting edge inventions.
- f. To enhance the reputation of the institute.

DEFINITIONS

Certain terms are used in this document with specific meanings, as defined in this section. These definitions do not necessarily conform to customary usage.

- a) **“Acharya Institutes”** means the various colleges, schools and institutes run by JMJ Education Society Bangalore, including
- i. Acharya Institute of Technology
 - ii. Acharya Polytechnic
 - iii. Acharya Pre-University College
 - iv. Acharya NRV School of Architecture
 - v. Acharya & B M Reddy College of Pharmacy
 - vi. Acharya School of Management
 - vii. Acharya Institute of Graduate Studies
 - viii. Smt. Nagarathamma College of Nursing
 - ix. Acharya College of Education
 - x. Acharya Institute of English and Foreign Languages
 - xi. Acharya School of Law
 - xii. Acharya School of Design
 - xiii. Acharya Institute of Allied Health Sciences
 - xiv. Acharya’s NR Institute of Physiotherapy
 - xv. Any other Institute that the Management of Acharya might add at a later date.
- b) **“Assignment”** means the execution of a written contract by the Inventor, assigning all of the Inventor’s rights, titles an interest in and to an IPR to the Institutes. IP/IPR are assignable as of the time the Inventor is employed or upon admission to the Institute or as of the time they are conceived or reduced to practice.
- c) **“Inventor(s)”** means any Researcher who creates an item of intellectual property including inventors and authors.
- d) **“Commercialization”** means any form of exploitation of Intellectual Property, including licensing, and commercialization via a spin-off enterprise or the disposal of any other interest, whether in return for economic benefits or payment in kind or any other form of value.
- e) **“Copyrighted works”** means literary, scientific and art works, including academic publications, scholarly books, articles, lectures, musical compositions, films,

presentations and other materials or works other than software, which qualify for protection under the copyright law.

- f) **“Faculty”** means persons employed or engaged by the Institutes, including full-time and part-time employees consultants, visiting researcher and emeritus professors, adjunct or visiting appointees, student employees and technical staff appointed as per the Institute's appointment procedure.
- g) **“Institutes resources”** means any form of funds, facilities or resources, including equipment, consumables and human resources provided by the the Institutes either in a direct or indirect way.
- h) **“Intellectual Property”** means inventions, technologies, developments, improvements, materials, proprietor information, compounds, processes, methods and all other research results and tangible research properties, including algorithms, theoretical models, software and other copyrighted works.
- i) **“Intellectual Property Rights”** (IP Rights) means ownership and associated rights relating to Intellectual Property including patents, design, plant breeders rights, copyrights, trademarks, integrated circuit layout design rights, know-how, trade secrets and all other intellectual or industrial property rights, either registered or unregistered and including applications or rights to apply for them and together with all extensions and renewals of them, and in each and every case all rights or forms of protection having equivalent or similar effect anywhere in the world.
- j) **“Incidental Use”** of Institutes Resources involves the normal use or short term use of office space and facilities generally available to all researchers, such as libraries , computers, one time use of equipment, and support staff and does not involve the procurement or use of special supplies, services, equipment, laboratory or other support by the Institutes.
- k) **“Net Revenue”** means all proceeds received by the Institutes on intellectual property that it sells or licenses, minus any application, litigation, interference, or marketing costs directly attributable to the intellectual property being licensed. Deducted costs shall be reasonable and fair, and shall be properly disclosed; the sources and amounts of compensation shall also be properly disclosed.

- l) **“Researcher”** means and includes Faculty, Student and/or Staff who use the Institutes resources and who perform any research task at the Institutes or otherwise participate in any research project administered by the Institutes, including those funded by external sponsors.
- m) **“Agreement”** means any kind of Agreement involving R&D or IP and includes Research and Development Agreement, Material Transfer Agreement, Confidentiality Agreement, Consultancy Agreement and any other type of agreement concerning research, Technology Transfer Agreement, Licensing Agreement pursued by Researchers and/or Intellectual Property generated at the Institutes.
- n) **“Student”** means any full-time or part-time pupil including school, pre-university students, graduate, diploma students, undergraduate, post-graduate, Research Scholars or doctoral student regardless of whether the student is housed inside the campus or outside; an employee of an external organisation registered for doctoral or post-graduate studies; a Faculty or Staff registered as a post-doctoral or doctoral student with an external organisation or students under student exchange program.
- o) **“Staff”** means any employee of the university other than students and faculty as defined above. If a student is also a part-time university employee, he is considered as staff with regard to intellectual property developed as a result of his employment, and as a student with regard to other intellectual property. Visitors to the university who make substantial use of Institutes resources are considered as staff with respect to any intellectual property arising from such use.
- p) **“Substantial use of Institutes facilities”** means extensive use, directly or indirectly, of Institutes laboratory or computational facilities, Institutes provided or Institutes administered funds, space or human resources including guidance and mentorship. The use of these facilities must be important to the generation of the intellectual property; merely incidental use of facility commonly available to all faculty, students or staff such as libraries and information resources does not constitute substantial use of Institutes resources.

- q) **“Visiting Researcher”** means individuals having an association with the Institutes without being either employees or students and includes academic visitors, individuals with honorary appointments in the Institutes and emeritus staff.

I. APPLICABILITY/SCOPE OF THE IP POLICY

- a. This Policy shall apply to all intellectual property generated on or after 2021 and all IP Rights associated with them.
- b. This IP Policy of the Institutes is applicable to all Researchers who have established a legal relationship with the Institutes or who has made Substantial Use of Institutes Resources. This policy is also applicable to researchers who have generated the IP while at the Institutes and thereafter have resigned, quit or graduated from the Institutes.
- c. When Institutes Personnel work at other organizations through a formal agreement between the Institutes and the other organization, the IP Policy of the Institutes will be interpreted in reference to the relevant formal inter-institutes agreement.
- d. All proposals/engagements/collaboration concerning R&D projects, technology transfer, consultancy assignments, IP Protection etc, need the approval of the IP Cell of the Institutes (REF) before they are accepted by the concerned researchers or submitted to the concerned external organizations.

II. OWNERSHIP OF INTELLECTUAL PROPERTY

1) Researchers of the Institutes

- a) Save as set out below, all rights in Intellectual Property conceived, made, or generated by a researcher of the Institutes in the course of his or her duties and activities at the Institutes shall generally belong, automatically, to the Institutes. The researchers who have contributed in conceiving the IP shall remain the Inventor of such IP.

- b) Unless otherwise agreed, IP resulting from government-funded research shall be the property of the Institutes or the ownership shall be determined in accordance with the policies of the government.
- c) If the personnel of the Institutes create Intellectual Property outside the normal course of his or her duties of employment, with the substantial use of Institute's Resources he or she will be deemed to have agreed to transfer the IP Rights of such Intellectual Property to the Institutes as consideration for the use of Institutes Resources.
- d) In the absence of a prior written Agreement with sponsors, collaborators, or any other external entities or persons and the Institutes before the commission of the work, Institutes shall own all the IP rights arising from work, in the following cases:
 - i. If it has been developed with a mix of funds/facilities of the Institutes and external agencies.
 - ii. If it has been developed with the use of external funds/facilities, including that of sponsored research and consultancy projects either partially or wholly.
 - iii. If it has been developed under any contract arrangement including "work for hire", work commissioned and/or outsourced by the Institutes.
 - iv. Research where two or more persons collaborate.
 - v. Visitors on sabbatical or study leave at the Institutes.
- e. Intellectual Property generated in the course of, or pursuant to a sponsored/collaborative research or other type of agreement with a third party, shall initially belong to the Institutes and then ownership whether solely or jointly shall be determined according to the terms of such agreements (in accordance with clause 7 of this section).
- f. If a student is offered a studentship sponsored by a third party under a separate agreement, under which the third party has a claim on Intellectual Property arising from the studentship, the student must agree that the Intellectual Property shall initially belong to the Institutes and ownership will then be determined in accordance with the terms of the agreement concluded with the third party.

2) Visiting researchers/honorary appointments to the Institutes

- a) Visiting Researchers are required to transfer to the Institutes any Intellectual Property they create in the course of their activities arising from their association with the Institutes. Such individuals will be treated as if they were Institutes researchers for the purposes of this Policy.
- b) Before such individual's appointment at the Institutes commences, an agreement shall be entered into between the Institutes and the individual who is to have the honorary/visiting researcher appointment with the institutes. The type of agreement is to be determined by the Institutes and must be approved by the IP Cell.
- c) Unless otherwise agreed by the Institutes, individuals who have an honorary appointment with the Institutes:
 - i. are required to assign to the Institutes any IP they create and/or develop in the course of their honorary activities for the Institutes or using Institutes Resources; and
 - ii. will be treated as if they were researchers for the purposes of revenue sharing.

3) Exceptions

All IP developed by Institutes researcher in their own personal time and which is neither connected to research of the Institutes, or generated in the course of their duties, nor developed with substantial use of the Institute's resources shall belong to such researcher identified as inventors, provided prior written disclosure is made to the Institute's IP Cell through the concerned affiliated Head of the Organization and obtain a no-objection from the office.

4) Researchers pursuing research activities at other organizations or outside Institutes/Honorary appointment/Sabbatical

- a) Rights related to Intellectual Property that is generated during an academic visit by the researcher of the Institutes to another organization shall be governed by an agreement between the Institutes and the other organization (in accordance

with this section).

- b) If the Institute's IP Rights are not affected and does not conflict with their obligations and commitments to the Institutes, the IP generated during the visit shall belong to the other organization, unless otherwise provided in an agreement.
- c) It is the responsibility of the Institutes researchers to ensure that their agreements with third parties are in keeping with their obligations to the Institutes.
- d) In all such circumstances, before a researcher commences such honorary appointment, an agreement must be executed, after consultation with IP Cell, between the Institutes and the other organization in relation to, amongst other things, IP.
- e) In the event any IP is generated pursuant to such engagement, any revenue generated out of such IP generation, the external organization shall enter into a mutually agreed Term-sheet for revenue sharing with the Institutes as per existing agreement between both the Parties and the researcher of the Institutes shall be named as an inventor.
- f) Researchers before engaging in such activities must also sign any document that the Institutes reasonably requests to ensure that all rights in IP that belong to the Institutes, as set out in this Policy, either remain with, or are assigned to the Institutes.

5) Waiver:

- a) If the Institutes cannot, or decides not to, protect or exploit any Intellectual Property to which it lays claim, or decides not to proceed with the prosecution or maintenance of a specific IPR it shall forthwith notify the Inventors(s) or the Inventor(s) can request for a release or Reassignment of the IP/IPR. The notification shall be made within a reasonable period of time prior to any act or any intentional omission liable to prevent the obtainment of protection.
- b) Upon determination by the Institutes that releasing the IP to the Inventors will

not violate the terms of an external Agreement and that such releasing would be in the best interests of the Institutes, the Institutes may agree to release the Invention to the Inventor(s) at its discretion. In such cases the Inventor(s) shall have the option to acquire related IP Rights; however, the Institutes may claim a share from the income of any subsequent exploitation of the Intellectual Property to the extent equaling the verified expenditures of the Institutes incurred in connection with the protection and commercialization of such IP.

- c) The Institutes may also claim for a perpetual non-exclusive royalty-free license for research purposes without the right to business exploitation and without the right to sub-license. The Institutes may also claim for a percentage of any net income generated by the Inventor(s) from the commercialization of the Intellectual Property on a case-by-case basis.
- d) The Institutes shall not unreasonably withhold or delay an assignment of the IP Rights to the Inventor(s); however it reserves the right to delay exploitation where it is in its interests to do so.
- e) In the event of any such release as described above, the Inventors shall submit a progress report including the progress on further R&D, revenue generated, investments made, audit report if any etc, once every year to the concerned office.

6) Copyright

- a) All rights in Copyrighted research publication or books authored by the researchers are owned by their Inventors regardless of the use of Institutes Resources except for software which would belong to the Institutes or Copyrighted Works specifically commissioned by the Institutes or developed in the performance of an Agreement or other third party agreement shall constitute an exception where the provisions of such agreements shall be taken into account. However the copyright will be affiliated to the Institution.
- b) If a researcher creates software that is not part of his or her normal duties and does not substantially utilize Institutes resources, and if the software development is done outside the Institute's, the ownership of such software

would vest with the researcher who generated it.

- c) Thesis and dissertation (hereinafter referred as course work): A student shall own the copyright of his or her course work. The student shall hereby grant to the Institutes a royalty-free right to reproduce, publish the course work, in any appropriate form for the extension of academic excellence.
- d) If course work, Publication or Books authored by the researchers contains information on any protectable IP including inventions, designs etc., that AI is entitled under this policy, the researcher shall make relevant disclosures to AI to obtain 'no objection' before such publication/disclosure is made or caused to be made.
- e) **Teaching/course materials:** As a general rule, the course syllabus, lecture notes, class handouts, lab manuals, and digital presentations are the intellectual property of the researcher who generated them, unless they fall within one of the categories of described below: the Institutes will own the IP in Teaching Materials including syllabus generated and/or developed by a researcher for the work that are commissioned for the Institute's use by the Institutes or is generated by the researcher as a specific responsibility of the position for which the researcher is hired or generated under a sponsored work, or works resulting from grants.
- f) If a researcher holds a copyright to a work as per above, it would be advisable to put a copyright notice on the work which includes the copyright symbol, the year it was written along with the name of the Inventor, for example., "© 2016 ABCD". Although this is not required for seeking copyright registration, it may help deter others from misusing it. If the Institutes own the copyright to the work as per the clauses above, the Inventor of the work may request the IP Cell or concerned office of the Institutes to register such work for copyright.
- g) **Moral rights:** The author or Inventor of a work, whether or not the owner of the copyright in the work as per Section III (6), has the right to the integrity of the work and the right, where reasonable in the circumstances, to be associated with the work as its author or Inventor. This applies to all work commissioned by the

Institutes or produced pursuant to the researcher's normal administrative or professional duties with the Institutes even though the Institutes owns copyright to such work.

7) Joint Initiatives with Third Parties

- a) It is the responsibility of the Researcher to ensure, that prior to commencing any research activity in collaboration with any third party, the terms and conditions of co-operation be set forth in a written agreement. The Agreement shall inter alia include provisions, as appropriate, regarding:
 - i. IP and associated rights already existing at the Institutes prior to entering into the Agreement
 - ii. IP and associated IP Rights arising from research activities set out in the Agreement, after entering into it;
 - iii. Licensing terms;
 - iv. Confidentiality requirements;
 - v. Terms of public disclosure;
 - vi. Other relevant provisions.

- b) Collaborative research means research in which Institutes undertakes with the third party persons employed by the third party and who contribute intellectually to the generation of the IP

- c) Sponsored research means the Institutes being contracted by a private organization to undertake research by funding either partially or completely.

- d) Researchers shall not have the right to enter into an Agreement with third parties on behalf of the Institutes unless they are authorized to do so by an official representative of the Institutes. All such collaboration or agreements have to be routed through the IP Cell of the Institutes, & to the Research Directorate.

- e) Persons acting for, and on behalf of, the Institutes shall exercise all due diligence when negotiating agreements and signing contracts that may affect the Institute's IP Rights in accordance with this IP policy.
- f) The Institutes will consider joint ownership of IP with an external organization if only all the below parameters are met:
 - i. Contributes its background IP to an Institutes project;
 - ii. Makes intellectual contributions to the project through the participation of its employees in generating IP together with the Institutes; and
 - iii. Meets a substantial part of the costs (both tangible & intangible) of the project.
 - iv. Waiver of joint ownership can be considered by the Institutes on recommendation(s) of the involved Inventors(s) and the head of the Institutes subject to the adequacy of compensation provided to the Institutes.
- g) If the organization wishes to exploit such jointly owned project IP commercially, the Institutes will grant the organization the first right to negotiate a royalty-bearing license from the Institutes. The organization's joint ownership will, however, be limited to the field of application, as identified in the research agreement with the Institutes. The Institutes reserves ownership of any IP generated in the fields of application not specified in the research agreement, and will be free to exploit the IP in those other fields of application without being accountable to the organization.
- h) In the absence of a prior Agreement, irrespective of the intellectual and financial contributions and the use of resources of the Institutes and the collaborative party to the conception of the Intellectual Property, the Institutes shall take a lead in obtaining appropriate IP Rights and/or share in the revenue generated from its commercialization.
- i) In the absence of such an agreement defined in clause (a) of this section, it is the policy of the Institutes that IP Rights shall be distributed among the collaborating

organizations in the proportion that reflects the proportions of contributing to the generation of the Intellectual Property.

- j) In order to enable the collaborating organizations to establish such proportions defined in clause (f) above and to prevent subsequent disputes, it is expedient that the parties maintain regular, well-documented records of the research activities pursued, signed by all of them.
- k) Any confidentiality provision of an Agreement aiming at the delay of public disclosure for the purpose of protection should not usually have effect for longer than 3 months from the time the concerned party is notified of the intent to publish.
- l) Before signing, the full copy of the proposed agreements and other legal statements concerning the Institute's IP Rights shall be submitted to the person or department designated by the Institutes for advice and approval.

III. PROTECTION AND COMMERCIALIZATION OF INTELLECTUAL PROPERTY

The IP Cell of AI will be responsible and delegated authority for evaluating, protecting and commercializing all Institute's IP and administering all relevant Institutes policies pertaining to Intellectual Property. The protection process for IP generated by the researchers begins with the obligation of Inventors to fully convey information on the generation to the IP Cell or the designated person identified by the Institutes from time to time. The Inventors shall furnish information and execute documents requested and needed by the IP Cell to fulfill its responsibilities of securing the IPR.

1) Disclosures

- a) A disclosure form (Reference to the Form) is a document, which provides information about Inventor(s), what was invented, and facts concerning subsequent activities pertaining to such invention. It provides the basis for a determination of potential IPR and the technical information for drafting a suitable IPR application including a patent application.

- b) Inventors must prepare and submit, on a timely basis, an invention disclosure (Reference to the Form) for each potential IP including a patentable invention conceived or first actually reduced to practice in whole or in part in the course of their responsibilities or with more than incidental use of Institutes resources to the IP Cell as appropriate. Relevant forms may be collected from the nodal officer or department designated by the Institutes.
- c) The Institutes shall endeavor to avoid undue delays in publications. Inventors should disclose all potentially exploitable IP as soon as they become aware of them and this information must be treated with the absolute care, especially using secure means of handling Confidential Information.
- d) All Researchers, of the Institutes are obliged to disclose all Intellectual Property falling within the scope of this policy to the person or office designated by the Institutes before considering to disclose it to the public, publish or advertise through any medium. Public disclosure of research results made before obtaining the right of priority concerning a specific Intellectual Property application, highly jeopardizes the proper protection of the related IP Rights. Therefore Inventor(s) should refrain from any public disclosure of IP prior to filing such applications.

2) Evaluating and Protecting Inventions

- a) IP Cell will evaluate all disclosed IP applications for their possible protection and commercialization potential and determine the appropriate means for protecting and promoting the development of the IP. Inventor(s) will cooperate with the Institutes or in its effort to evaluate and protect Institutes inventions by providing information, attending meetings and advising on further development whenever required.
- b) When an IPR application including an invention or design application has been authorized on a disclosed invention, by the IP evaluation committee of the IP Cell, IP Cell in collaboration with the IP lawyers/attorneys will work with the Inventors to prepare a required IPR application. Inventors are required to provide a reasonable level of assistance in this process. IPR applications are filed in the name of the Institutes and all expenses for seeking such protection shall be

borne by the Institutes or a third party based on a collaborative agreement. IP Cell and the Inventor(s) will be jointly responsible for responding to any requests from the attorneys or IP Lawyers within India or outside India.

- c) After the date of disclosure, the person or office designated by the Institutes shall immediately commence the evaluation of the Intellectual Property. As a first step, a pre-evaluation shall be carried out to identify any major obstacles, which could hinder the protection and commercialization of the Intellectual Property.
- d) Based on the results of the pre-evaluation a recommendation on whether to protect and exploit the Intellectual Property shall be forwarded to the person or committee appointed on a case to case basis, taking the final decision on behalf of the Institutes. Based on the committee recommendation on whether the Institutes should seek statutory protection for the IP and if so, on the countries in which such protection is to be sought, which will be communicated to the respective Inventor(s)
- e) Such a recommendation shall be forwarded within a reasonable time from the date of disclosure. The Inventor(s) shall be informed of the decision within a reasonable time from the date of decision in writing. If the Institutes decides not to commercialize the disclosed Intellectual Property, then the provisions of clause (4) of this section shall apply.
- f) The Inventor(s) shall closely cooperate with the person or office designated by the Institutes, the patent attorney or any other professional experts engaged by the Institutes. Inventor(s) are required to give reasonable assistance in protecting and commercially exploiting the Intellectual Property by providing information, attending meetings and advising on further development. The Inventor(s) shall take all reasonable steps requested by the IP Cell, including execution of assignments or other documents necessary to perfect the Institute's ownership rights and other requests necessary for evaluation, valuation and protection of the IP generated. The Inventor(s) shall also make their obligations clear to those with whom they make Agreements by disclosing the IP Policy. The Inventor(s) shall promptly disclose all the know- how, designs, algorithms, source-code ,

prototypes pertaining to the IP conceived in writing without concealing information and submit it to the IP Cell as and when requested.

- g) The person or office designated by the Institutes and the Inventor(s) shall jointly determine an appropriate commercialization strategy as part of the evaluation process within reasonable period of time from the date of Institute's decision.
- h) Commercial decisions, such as the ones concerning the terms of an assignment/licensing agreement or establishment of a start-up or a spin-off, shall be taken on a case-by-case basis by the person or committee designated by the Institutes, giving due consideration to all circumstances.
- i) The Institutes may decide not to apply for registered industrial property protection or may withdraw an unpublished application, if it is more appropriate for the purposes of commercialization to treat the Intellectual Property as a confidential know-how. In such cases Inventor(s) shall be requested in writing to refrain from any public disclosure of the Intellectual Property. When choosing this option, however, the Institutes shall take the Researchers' freedom to publish as well as public interest into account.
- j) If the Institutes decides not to undertake the protection and commercialization of the Intellectual Property, the rules set out in this Policy shall apply.
- k) Expenses incurring in connection with the protection and commercialization of Intellectual Property shall be borne by the Institutes to the extent possible, however, where a inventions has resulted from a research Project or external funding, whose funding provides specifically for IP expenses, the Institutes shall utilize such funds for seeking IP protection. Where such funds designated specifically for IP expenses are not available to the project from which the IP has been generated, the Institutes shall bear the costs of IP protection, wholly or in part, depending on whether the Inventor(s) are able to meet a part of the expenses through funds available to them.
- l) During the evaluation and commercialization period the full description of the Intellectual Property may be disclosed to third parties under confidentiality agreement.

3) Confidentiality

- a) A key component of protecting IP is maintaining confidentiality, including when collaborating with Third Parties, all researchers must keep secret any Confidential Information to which he or she has access and only use it for the purpose for which it was supplied.
- b) Disclosure or publication of IP prior to filing a patent application may harm, or in certain circumstances eliminate, the opportunity to obtain patent protection for an invention.
- c) Researchers must therefore ensure that all IP is kept confidential until suitable arrangements for its protection have been put in place during all stages of IP development.
- d) A breach of confidentiality by any researcher is a very serious matter. A willful breach of confidentiality will constitute serious misconduct e.g. passing Institutes confidential or proprietary information to third parties without a suitable confidentiality agreement in place or passing on confidential information of a Third Party which was provided to the Institutes on a confidential basis, will be considered as a breach of this Policy and will be a disciplinary matter.

4) Commercialization

- a) Where the Institutes owns IP rights in a work, the Institutes may choose to commercialize it, and may consult with the Inventor(s) on the best means for commercialization. As the sole or joint owner of any IP, the Institutes is entitled to enter into binding agreement with any party for the utilization of its IP, whether on commercial terms or on non-commercial terms in the public interest, and in a manner consistent with the terms of any agreement involving the research from which IP is generated read harmoniously with the terms of this policy.
- b) The Institutes shall be entitled to grant Licenses, either exclusive or non-exclusive, for the utilization and commercial exploitation of Institutes IP, or to

make such other arrangements as the Institutes may deem fit to facilitate Transfer of the IP generated, Licensing, and other means of Commercialization of Institutes IP to industry or other entities, while preserving the rights and interests of the Institutes and of the Inventor(s).

- c) The cooperation of Inventor(s) with the Institutes and with licensees of Institutes IP is usually essential for the success of efforts to utilize/commercialize IP. Therefore, Inventor(s) shall provide all assistance to the Institutes both during the effort to protect IP and the later efforts to undertake licensing and commercialization. The assistance and active cooperation of Inventor(s) is also required in identifying potential licensees for Institutes-owned IP and in negotiations with potential licensees. Alternatively, the Inventor(s) of a work in which the Institutes owns the IP rights may, with the Institute's prior approval, pursue opportunities to exploit the work, and negotiate with third-parties on behalf of the Institutes. The Institutes shall always be a party to any resulting agreement.

d) Placing Institutes IP in Public Domain

The Institutes recognizes that Commercialization of IP may not always be appropriate and sometimes it is in the best interests of knowledge transfer to place IP in the public domain without registering the IP for protection and/or to make the IP open source for a nominal fee or for free. If the researcher believes that this is appropriate, he or she must discuss with the IP Cell and the IP Cell may consider the option after consulting with various stakeholders and evaluating such request in the interest of the Institutes. Where IP is being generated with the support of a Third Party, then the researcher must discuss and agree the position with IP Cell and the Third Party. Based on the request, the IP Cell shall decide with the third party whether it is appropriate to place the IP in the public domain or to make it open source, in the best interests of the Institutes.

V. APPORTIONMENT OF THE REVENUE

The Institutes provides an incentive to Inventor(s) by distributing revenue generated from the commercialization of the Intellectual Property. In the event that IP is commercialized, the Institutes shall first be reimbursed for all costs, including IP development costs, protection costs, marketing costs and other commercialization costs. Except as otherwise provided, the following scale of revenue sharing would apply among the Inventors and the Institutes for any revenue generated through the technology transfer efforts of the Institutes-owned IP.

The distribution of surplus is: Researchers 70% and Institute 30%

1) The Institutes may at times accept equity in the Licensee Company as part of the license fee. The Inventor's benefits in such equity granted to the Institutes shall be distributed as per the formula: 70 % Institute + 30% Researcher).

2) Where the Institutes licenses Institutes-owned IP to the Inventor(s), for example, under an Entrepreneurship Program, or a start-up Company, through the Institutes, or any other initiative within or outside the campus, the Institutes may accept equity in the start-up Company as part of the License Fee. Such equity shall vest solely with the Institutes, with no share to the Inventor(s). The Inventor(s) shall not be entitled to any share in such equity.

3) Apportionment amongst Individual Inventors:

Where more than one Inventor is involved, initial responsibility for agreeing to the division of the Inventors' share of revenue amongst them shall lie with those Inventors. The revenue would be shared based on the apportionment provided by the concerned Institute's Faculty or primary Inventor.

4) Leaving employment of the Institutes:

Cessation of employment either by resigning, retirement, or completion of project/course, under normal circumstances, will not affect an individual's right to receive a share of Revenue, provided the IP/revenue was generated during the due course of their employment or association with the Institutes. Such cessation shall not also absolve the Institutes Personnel from their obligations towards confidentiality or the procurement/registration of IP in so far as executing necessary documents and/or assisting attorneys of the Institutes towards the objectives of the Institutes are

concerned. Inventors continued collaboration with the Institutes and the licensee is essential to ensure that the IP of the Institutes is appropriately secured and commercialized successfully, therefore, the Inventors are requested to cooperate with the Institutes by regularly updating their contact details. All researchers leaving the Institutes for various reasons shall agree to cooperate with the Institutes as requested for without any undue delay. Failure to cooperate will be considered as a breach of this IP Policy.

5) Death:

In the case of the death of the Inventor, any due share of the revenue will be paid to the legal heir / representatives of the deceased.

6) Sharing of remuneration received for consultancy service:

Employees/Staff of the Institute's may be offered consultancy or similar assignments by an external agency or organisations, while working or engaged with the Institutes. Any payments received by the employees/staff in pursuant of such consultancy shall be shared between the researcher and the Institutes in 70:30 ratios respectively. It would be the obligation of the employee/staff to inform the concerned department and seek permission for accepting such consultation or similar assignment keeping in mind that the proposed assignment would be in the interest of the Institutes in the long run and will not adversely affect the researchers work at the Institutes.

The following are not considered as Consultancy:

The following shall, however, not be construed as consultancy work or similar assignments for the purpose of regulating the amount received by an employee or staff

- (i) Amount received from recognized Universities and Research organizations, statutory Bodies, Autonomous Bodies of Public Sector Undertakings wholly or substantially owned or controlled, or funded/subsidized by Government for evaluation, selection, lectures, and committee work;
- (ii) Amount received as awards/prizes in recognition of academic achievement;
and

- (iii) Honorarium from writing books, papers, articles and delivering occasional talks on literary, cultural, artistic, technological and scientific subjects.

IV. BREACH OF THE RULES OF THIS POLICY

Failure to comply with this policy may result in

- i. damaging the relationship with the Institutes which may include termination or suspension of the researcher;
- ii. the researchers not entitled to receive any kind of revenue generated out of his or her inventions in the event of breach of this policy; and/or
- iii. proceeding legally in accordance with the relevant provisions of law which may include criminal and civil remedies.

V. DISPUTE AND APPEALS

First Instance:

If there is any dispute in relation to matter arising out of the policy or interpretation, then the issue shall be brought to the notice of the head of the IP Cell of the Institutes.

Second Instance:

If in the first instance, the issues are not addressed or satisfactorily addresses, then the disputes/issues shall be dealt with by the person or body designated by the Institutes. A decision shall be taken within a reasonable period of time from the submission of the concern and communicated accordingly.

Appeal

In case of any individuals are unable to reach a unanimous decision or disagree with the decision pursuant to section above, then the matter will be referred to the head of the Institutes. The head's decision in this regard would be final and binding on all the concerned parties.

VI. GENERAL CLAUSE

1) Conflicts of interest

Each researcher must declare any potential conflict of interest that they have in relation to IP to the concerned person of the IP Cell, to the head of the department or Academic Advisor or Supervisor, as applicable, as soon as possible.

2) Waiver of the IP policy

The Institutes shall have the discretion to waive or vary any or all of the provisions of this IP Policy, or any of the rules or guidelines framed there under, in a particular case in favor of the Researcher. Such discretion shall lie solely with the Campus Director. A waiver on one occasion and for a particular case shall not be deemed to be a waiver or variation or act as a precedent for a waiver or variation of the same or any other provision on a future occasion or for a future case.

3) Amendment of the provision and guidelines of the IP policy

The Institutes may amend the provisions and guidelines set out in the IP Policy from time to time. The Institutes shall notify the researchers of such amendments as soon as possible. The amendments shall be in full force and effect on the date the amendments have been announced by the Institutes to take effect.

4) Infringement:

a. If researcher suspects, or becomes aware of, any potential or actual infringement of:

- i. Institutes IP by any Third Party; or
- ii. Third Party IP by the Institutes,

he or she should immediately notify to the IP Cell with full details of the nature of the potential infringement.

b. Institutes shall retain the right to engage in or desist from any litigation concerning IP and license infringements including patents, copyright, and design.

5) **Governing Law:** As a policy, all contractual agreements entered into by the Institutes shall have the jurisdiction of the Courts in Bengaluru and shall be governed by appropriate laws in India.

6) Entry into force of the Policy:

- a. This Policy shall come into effect on...
- b. All Agreements concluded by the Institutes and the Inventor(s) at an earlier time shall be governed by the provisions of the Policy in effect at the time of the signing of such contracts.

Annexure - 4

ARIIA 2022: Parameters and Weightages



ARIIA 2022: Parameters & Weightages

There is a differential weightage allocation for “Technical HEI” and “Non Technical HEI” classes. The weightages allocation for the various parameters and a special section named as “Participation of HEI in I & E Initiative of MOE” included as below.

Sl. No.	Parameters	Non-Technical HEI	Technical HEI
1	Developing an Innovative and Entrepreneurial Mind-set through Series of Activities	NA	10
2	Teaching and Learning: Academic Programmes related to Innovation & Entrepreneurship (I & E)& IPR offered by the HEI	NA	10
3	Dedicated Infrastructure & Facilities to Promote Innovation & Entrepreneurship at HEI	NA	20
4	Generation of Innovations/ ideas with the support of HEI and recognition received	NA	10
5	Ventures Established with the support of the HEI & Recognitions Received	NA	5
6A	Angel & VC Fund/Investment Mobilized to Support Innovation & Startups Incubated at HEI	NA	3
6B	Promotion of Collaboration for & Co-Creation of I & E initiatives	NA	10
7	Intellectual Property (IP), Generation and Commercialization	NA	20
8A	Annual Budget on Promoting and Supporting I&E Activities: Total expenses towards I &E and IPR support activities	NA	4
8B	Total Revenue Generated by HEI from Incubation Services to Startups and Commercialization of IP and Innovations	NA	3
9	Participation of HEI in I & E Initiative of MOE	NA	5
Total		-	100