

**Proposal for
Intellectual Property Rights (IPR) Policy
at University of Lucknow**

1. Preamble

The University of Lucknow (UoL) recognizes the critical importance of safeguarding and promoting intellectual property rights (IPRs) generated through its diverse academic and research activities. This policy is designed to foster a culture of innovation and creativity by clearly defining the rights and responsibilities of all stakeholders involved in the creation, protection, and commercialization of intellectual property. It aims to ensure that the benefits arising from intellectual property are equitably shared, thereby incentivizing inventors and contributing to societal and national development. To effectively implement this policy, the University shall establish a dedicated Intellectual Property Management Cell (IPM Cell) tasked with the administration, guidance, and oversight of all IPR-related matters, including protection, licensing, and technology transfer.

2. Stakeholders of IPR

A stakeholder may contribute in one way or other in the process of conceptualization, findings and generation of innovations leading to IPRs that has a potential for commercialization. UoL is a major stakeholder in any IPR patented and/or commercialized because of work done utilizing the resources or name of the university. In addition, the following justifies UoL's role as a major stakeholder:

- i. It provides infrastructure to the researcher/ inventor in terms of supporting staff, lab space, equipments, library facility etc. , and/ or
- ii. It pays researcher's salary, and/ or
- iii. It provides the funds for research

In view of the above, the following are the stakeholders of any IPR generated in the course of research, experiments and laboratory practices, preparation of assignments, teaching, etc. that has

been pursued within UoL, and/or by way of using UoL infrastructure.

- i. UoL, as an Institution
- ii. Faculty of the University
- iii. Research Scientists hosted by the University
- iv. Technical/non-technical staff of the University
- v. Collaborators/ Visiting Scientists/Guest faculty from other institutes or industry working in the University
- vi. Post doctoral fellows/Research Officers working in the University
- vii. Research students enrolled in the University
- viii. Students enrolled in the university
- ix. Visiting research students from other institutes
- x. Funding Agency (DST, SERB, ICMR, ICAR, DBT, DoE, DAE, DRDO etc.) for extramural supported projects

For their contribution, researchers (listed above) normally expect both academic and financial rewards including unrestricted rights for publication in online and offline journals/presentation in Seminars and Conferences, and utilization of information in any other academic pursuits. Thus, the researcher's publication needs must be safeguarded for the sake of his professional and career development, while potential innovations and research findings must be guarded against premature partial or complete disclosure, which may jeopardize the patentability and commercial exploitation of an invention. Further, it is normally the academic and research staff who out of sheer excitement may disclose the IP details to a peer group through casual discussions, thus it is important that research staff is made aware of the non-disclosure clause prior to filing the patent applications.

It is pertinent to note that the sponsoring funding agency, which can be the government or any other institution/University, provides funds for research and development, that may sometimes include extension of research facilities and participation in joint research and development works. Thus, the sponsor would expect ownership of the intellectual property generated and/or unrestricted utilization of the knowledge acquired.

3. Purpose

The material put forward in this document relates to an IPR policy (and related administrative procedures) with the objective that:

- i. It enables UoL to discharge its primary responsibility of fostering, stimulating and encouraging creative activities in the area of knowledge creation in the widest sense;
- ii. It lays down the norms to protect the legitimate interest of faculty/students/ project staff/ supporting staff /visitors of UoL and the society, in a rational manner consistent with the ‘commitment’ of UoL and role assigned to it in society
- iii. It provides a transparent administrative system for the ownership, control and transfer of the intellectual property created and owned by the University;
- iv. It shares a global perception of practices related to intellectual property retaining national identity and local constraints, avoiding as far as possible ‘conflict’ of opposing interests.
- v. It keeps into consideration the sustainable use of resources and conservation of biodiversity
- vi. The policy promotes fair use of traditional knowledge while recognizing local traditional knowledge stakeholders and benefit sharing.

4. Types of Intellectual Property

The intellectual properties can be broadly listed as:

- i. Patents
- ii. Copyrights
- iii. Trade/Service marks
- iv. Industrial designs
- v. IC layout designs
- vi. New plant variety and Biotechnology inventions
- vii. Traditional knowledge and Geographical Indications
- viii. The type of innovations will be modified as per the guidelines of Government of India and UoL in this regard.

DEFINITIONS

These intellectual properties can be illustratively designed as:

- i. **Patent-** is an exclusive right granted for an invention which is a product or a process, that provides a new way of doing something, or offers a new technical solution to a problem.
- ii. **Copyright:** is an exclusive right given to the author of the original literary, pedagogical innovations, architectural, dramatic, musical and artistic works; pictographic; cinematograph films; sound recordings and similar works.
- iii. **Trade/ Service Mark:** means a mark capable of being represented graphically and which is capable of distinguishing the goods or services of one person from those of others and may include shape of goods, their packaging and combination of colors.
- iv. **Industrial Design:** means only the features of shape, configuration, pattern, ornament or composition of lines or colors applied to any article whether in two dimensional or three dimensional or in both forms, by any industrial process or means, whether manual, mechanical or chemical, separate or combined, which in the finished article appeal to and are judged solely by the eye; but does not include any mode or principle of construction or anything which is in substance a mere mechanical device.
- v. **IC Layout Designs:** means a layout of transistors and other circuitry elements and includes lead wires connecting such elements and expressed in any manner in a semiconductor integrated circuit.
- vi. **New Plant Variety:** a plant variety that is novel, distinct and shows uniform and stable characteristics.
- vii. **Biotechnology Inventions:** Include recombinant products such as vectors, nucleotides sequences, micro-organisms, etc.
- viii. **Traditional Knowledge:** The knowledge developed by the indigenous or local communities for the use of a natural resource with respect to agriculture, food, medicine etc. over a period of time and has been passed from one generation to another traditionally.
- ix. **Geographical Indications:** means an indication which identify goods as agricultural goods, natural goods as originating or manufactured in the territory of a country or manufactured in the territory of a country or a region or locality in that territory where a given quality, reputation or other characteristic of such goods is essentially attributable to its geographical origin and in case

where such goods are manufactured one of the activities of either the production or of processing or preparation of the goods concerned takes place in such territory, regions or locality as the case may be.

- x. **Work for Hire:** The work (or a product) originated from UoL and is meant for the specific purpose of UoL and produced by (a) an author during his/ her employment at UoL or (b) non-employee under contracted work by UoL.
- xi. **Work Commissioned/ Outsourced work;** work commissioned by UoL to a creator or group of creators either employed by UoL or invited from outside UoL with or without any consideration in cash or kind. Typical examples of UoL commissioned works are:
 - a. Design work,
 - b. Artistic Work,
 - c. Engineering/Architectural Models,
 - d. Computer Software
 - e. Reports based on surveys and analysis,
 - f. Video works,
 - g. Project work outcomes.
- xii. **Non-Disclosure Agreement (NDA)/Confidentiality Agreement:** The agreement intends to protect proprietary or confidential information among the parties involved in executing a NDA.

5. Administration of IPR Policy

5.1. Intellectual Property Management (IPM CELL)

The IPR policy shall be applicable to all the University personnel working on regular or contractual basis, as well as to non- University personnel associated with any activity of the University. IPM Cell shall be the sole custodian of all intellectual properties generated in the University and the IPR guidelines will be maintained in the University through the IPM Cell.

The IPM Cell shall have the following structure:

- i. Vice Chancellor (Chairperson)
- ii. Coordinator, IPM Cell
- iii. Deputy Coordinator, IPM Cell

iv. Members, IPM Cell (2)

The Cell shall be responsible to administer all issues related to the IPR related policies, patent filing, commercialization of IPs and other relevant matters as may be required from time to time. Chairperson of IPM Cell or person authorized by him/ her shall be authorized to sign all Material Transfer Agreements on behalf of the University.

It is emphasized here that the IPM Cell is a semi- legal body of the University and the team members have to remain aware of IPR policy of the Government of India.

5.2.Role of IPM Cell

IPM Cell's suggested role would include the following:

- i. To create expert groups in different subject domains for assessing and recommending proposals for IP filing. (Note: this assessment step can be skipped in case the costs of filing are borne by an external funding source including sponsored project or consultancy)
- ii. Create and finalize procedures, forms (and guidelines) for implementation of the IPR policy at UoL.
- iii. Evolve proper procedures and guidelines for good practices for record keeping to enable efficient IPR filing and protection.
- iv. Create and finalize draft agreements to facilitate IPR protection by UoL.
- v. Appoint a panel of attorneys to facilitate filing of IPRs by both the University appointed body as well by individual faculty/staff using their project or other funding.
- vi. Provide guidelines for IPR related documentation including creating infrastructure for the same.
- vii. Formulate programs for educating faculty/students/supporting staff/project staff/visitors about IPR and other associated issues.
- viii. Approach funding agencies, venture capitalists etc. for funds for promotion of IPR activities at UoL.
- ix. Tie up with organizations for filing, licensing/ assigning of IPR on revenue sharing basis
- x. To provide waivers and release of IPR to Inventor(s) and/or Third party(ies) within the framework of IPR policy of UoL.

- xi. To evolve modalities of financing of IPR related activities at UoL.
- xii. Redress any conflict, grievance regarding ownership of IPR, processing of IPR proposals, procedures adopted for implementation of IPR policy and interpretation of various clauses of IPR policy.
- xiii. Investigate the matter of violation/infringement of any intellectual property rights related to UoL and make recommendations to the Chairperson/ Chairperson authorized person, for resolution of such violation/infringement.
- xiv. Deal with any relevant issues arising out of promotion as well as implementation of IPR policy.
- xv. IPM Cell, UoL may appoint committee(s) or expert group(s) with members from within and/or outside UoL to seek their opinion in carrying out any of the above responsibilities.

5.3.IPR FUND

UoL shall examine to institute an IPR fund by accumulating part of the revenue generated from licensing/assigning and other resources to support IPR activities of UoL. UoL would also invest corpus amount every year to encourage filing and registering of IPR(s).

5.4. POWERS TO AMEND IPR POLICY

UoL's IPM Cell, through its Executive Council, will have the full power to make changes to the IPR policy or bring out a new policy as and when it is felt necessary. This can happen in view of changes in government policies or other national and international developments including treaties and legal judgments. The changes or the new policy shall be applicable to all faculty/students//project staff/ supporting staff/visitors.

5.5.APPEAL PROCEDURE

In case of any conflict, grievance regarding ownership of IPRs, processing of IPRs proposals, procedures adopted for implementation of IPR policy and interpretation of various clauses of IPR policy, any aggrieved person can appeal to the administrative body (IPM Cell) formed for the purpose to resolve the issue. In case the appellant is not satisfied with the decision of such a body, he/she can appeal to the Honorable Vice Chancellor of UoL, whose decision shall be final.

5.6.IP INFRINGEMENT

In case of violation/infringement of any intellectual property rights such as patent infringement by the UoL faculty /students/project staff/ supporting staff/visitors or any third-party infringing upon the IPR of an UoL inventor, UoL would create an appropriate administrative body, which would first investigate the matter and make recommendations to the Vice Chancellor for resolution of such violation/infringement. In case of any third-party infringing upon IPR of UoL, the above administrative body would investigate and make recommendations to the Vice Chancellor including need for any legal course of action.

5.7.CONFLICT OF INTEREST

The inventor(s) are required to disclose any conflict of interest or potential conflict of interest at the time of filing the patent. If the inventor(s) and/or their immediate family have a stake in a licensee or potential licensee company then they are required to disclose the stake they and/or their immediate family have in the company to the IPM Cell immediately. A license or an assignment of rights of a patent to a company in which the inventors have a stake should be subject to the approval of the IPM Cell.

5.8.DISPUTE RESOLUTION

In the case of any conflict/dispute/grievance between the researchers/ inventors/collaborators/sponsors regarding the ownership of IPR, and/or the implementation of the IPR policy, the aggrieved party may appeal to the IPM Cell to look into the matter. In case the appellant is not satisfied with the decision of the Cell, he/she can appeal to the Vice-Chancellor of UoL, whose decision in the matter shall be final.

As a policy, all IPR related agreements signed by the University, and dispute(s) arising thereof, will be subjected to the territorial jurisdiction of the Lucknow Bench of Allahabad High Court.

6. IPR Assignment and Protection

6.1.Types of Activities Leading to Generation of IP

UoL has engaged itself in different types of Research and Development (R&D) activities including the following, which may generate intellectual property(ies):

- i. Research taken up by a faculty/student/project staff/supporting staff /visitor in the normal course of his/her appointment/engagement at UoL with funds coming from UoL (this

- would include research projects undertaken by students under the supervision of the faculty member);
- ii. Research taken up by a faculty/student/project staff/supporting staff/visitor from funds coming from a sponsor such as Government of India, state governments, international agencies, or foreign governments, etc.;
 - iii. Collaborative research undertaken with other institutions including government departments and agencies, PSUs and private companies located in India;
 - iv. International collaborative research with institutions and companies located outside India;
 - v. Research supported by companies and other private organizations through research projects or consultancy assignments; and
 - vi. Any combination(s) of the above

6.2.DISCLOSURE AND MAINTENANCE OF CONFIDENTIALITY

When the inventors are of the belief that they have generated patentable intellectual property using University resources, they should report it promptly in writing along with relevant data and complete information to the IPM Cell requesting for IPR protection. The details required will be the full disclosure of the IP indicating the problem for which solution was researched with identification of all persons who constituted the inventor(s) team. The inventor should reveal to the IPM Cell about the invention/ technology development/ software/copyrightable materials where the inventor will justify the novelty, usefulness and the non-obvious aspects of the concerned invention. The IPM Cell of the University will evaluate the disclosure made by the inventor(s) and the prior-art report prepared by assigned Patent Attorney to determine whether there is a good prima facie case for believing that the IP has economic value and it needs protection. It will communicate to the inventor(s) about the decision and if the recommendation is positive, the Cell will guide the inventor through the patent filing process. The IPM Cell will bear the full cost of filing the Indian Patent.

6.2.1 Patents

Any new product and/or process, which has potential application in any trade and/or commerce, can in principle be filed as a patent with novelty claims. A patent is legally owned by the assignee. If any stakeholder (defined under Section 2 (ii-ix)) makes an invention, the IPRs will belong to the University.

- i. This means that intellectual property developed by the University researcher is owned by the University, with the researcher(s) explicitly named as inventor(s). Thus, UoL will be the sole assignee of the patent if the invention arises out of the use of resources of the University.
- ii. Any intellectual property generated as a work for hire will belong to the University.
- iii. Intellectual property generated by an employee/student/ researcher/visiting professional of the University will always be the property of the University whether University resources are used or not. The University will thus be the applicant while the researchers will be the inventors. Where a patent is applied for, the inventors should agree to maintain secrecy and confidentiality of all relevant details of intellectual property until the patent application has been filed.
- iv. The University will be the sole assignee of intellectual property created through sponsored research where the sponsor does not claim IPRs. Prior to filing patent, the inventor needs to take a No Objection Certificate from the sponsor clearly stating that they do not wish to claim IPRs.
- v. In the case the sponsor desires to claim IPRs, the University and the sponsoring agency will be joint assignee of the IPRs.
- vi. If the invention involves no use of university resources, and the intellectual property is created while the employee/student was on assignment/sabbatical to a different institution, then UoL and the other institution will be the joint owners/assignees of the intellectual property created with the employee/student concerned named as the inventor in the patent application.
- vii. Where research has been sponsored by a government agency/autonomous body, and no prior agreement exists on sharing of IPRs, then the licensing of patents, and the revenue sharing on the event of its commercialization should be negotiated between the sponsor and the University.
- viii. Royalty/financial gains accruing from the commercialization of the University owned IPRs should be shared between the University and the inventors as per the policy guidelines of UoL for revenue sharing details given under Section 8.

6.2.2 *Sponsored research*

The IPRs generated from research projects sponsored by external agencies will be owned by UoL and the sponsoring agency jointly. In the case the sponsoring agency agrees to be a assignee in the Patent of the concerned intellectual property, it will bear 50% of the filing and processing cost. After the grant of the Patent the protection cost will be borne by the two parties equally. The sponsoring agency may decide to forego the rights to the intellectual property and in that case, it will issue a written declaration to that effect. Ownership of any IPRs that is created in the course of research/teaching or any other academic pursuit funded by a sponsor pursuant to a grant or research agreement or which is subject to a material transfer agreement, confidentiality disclosure agreement or other legal obligation affecting ownership, will be governed by the terms of the grant or agreement, as approved by the funding institution. The Project Investigator receiving and governing the grant must himself/herself aware of such conditions prior to accepting the grant. This step will eliminate unnecessary legal complications related to IPRs sharing at a later date. It would be mandatory for the Research Scientists/ Project Fellows/ Research Associates/ equivalent persons hired in sponsored Research Projects to abide by various terms and conditions laid down by the UoL IPR policy.

Further, where UoL is a co-owner of the IPRs with one or more institutions, and where the commercial interest is shared between the participating institutions, the patents will be owned jointly (they will be co-assignees of the patent), and the rights to use the invention, and the distribution of royalties arising thereof is required to be negotiated among the participating institutions, after disclosure of confidentiality of the invention, but before the patent application is filed.

6.2.3 *Creative works and Inventions (Software(s), Art works, Designs, Devices, Instruments, machines, Molecular Drugs, integrated circuits, Sensors, Chemical, Biological and Pharmaceutical Formulations)*

- i. University will hold the IPR to all software(s) and hardware(s), integrated circuit layouts, electronic, magnetic, optical or mechanical sensors, and electronic devices created/designed by any individual, or a group of individuals defined under Section 2 (ii)-(viii). In the case of sponsored research, the IPR will be jointly owned by the University and the sponsoring agency.

- ii. University has a strong biology research program. University will own the IPR of all molecular drugs, chemical, biochemical, biological and pharmaceutical formulations developed by any individual, or a group of individuals defined under Section 2 (ii)-(viii).
- iii. This will also cover all microbial strains and their derivatives. In the case of sponsored research, the IPR will be jointly owned by the University and the sponsoring agency.
- iv. The IPR of any art work or design created by any individual, or a group of individuals defined under Section 2 (ii)-(viii) shall be owned by the University.
- v. University will hold the IPR to any instrument, machine or device designed/ made by any individual, or a group of individuals defined under Section 2 (ii)-(viii).
- vi. Software(s), art works, designs, devices, instruments, machines, integrated circuit layouts, sensors, chemical, biochemical, biological and pharmaceutical formulations created by any individual, or a group of individuals defined under Section 2 (ii)- (viii) without use of the University resources, and not connected with the profession for which he/she/they is/are employed at the University should be owned by the inventor(s)/creator(s). In order to avail this relaxation, the inventor(s)/creator(s) will have to convince the appropriate authority of the University that the concerned invention/creation is not connected with the profession for which he/she/they is/are employed at the University, and the University resources were not used for the same.

6.2.4 *Theses, term papers and research reports*

- (i) **Ph.D. Thesis:** Under the academic statutes of the University, a research scholar pursues his/her research work under the supervision of a faculty member of the University. The experimental/field survey data (and their derivatives) contained in the thesis can be a rich source of intellectual property. Therefore, it is pertinent that the supervising teacher and the student must jointly own the copyright of the thesis, which the student submits for the fulfillment of the requirements for a Ph.D. degree. The supervisor and the student will allow the University to retain a copy of the thesis in both hard copy and electronic form for keeping in the library of the University for academic use. Further, it is required that the supervising teacher and the student will grant a non-exclusive, non-transferable, royalty-free license to the University for partial or full use of the thesis for non-commercial and academic activity only. All usage under this clause will be governed by the relevant fair use provisions laid down by the Indian Copyright Act in force at the time of submission of the thesis.

In the case the student and/or the supervisor wishes to file a patent based on the invention(s) of products or procedures described in the thesis, they will have to request the University to restrict access to the thesis for a limited period and not to disclose any part of thesis to any person(s) without their written authorization for a maximum period of one year from the date of submission of the thesis, or filing a patent, whichever is earlier. The University will be the assignee of any patent arising out of this thesis while the teacher and the student concerned will be the co-inventors. In the case, the thesis work was carried out with the support of a grant received from a sponsoring agency, the sponsoring agency will be normally a co-owner of any IPR arising out of this thesis.

- (ii) **M.Phil/M.Tech. Thesis:** As per the academic ordinance governing the M.Phil./M. Tech. courses, the student is required to write a dissertation for the partial fulfillment of the requirements for a M.Phil./M. Tech. degree. The dissertation work is pursued and completed under the supervision of a faculty member from the Center/School. Thus, the guidelines mentioned under Section 3.4(a) will apply to the case of M.Phil./M. Tech. dissertations in full without any exemption.
- (iii) **Research Reports/Project Reports/Term Papers/Case Study Reports:** During the course of an academic program (teaching/research) a student/research professional is often required to write a brief account of his/her findings in a short report. Most often than not, the related work is pursued under the supervision of a teacher of the Center/School. Here again, the guidelines mentioned under Section 3.4(a) will apply in full without any exemption.

6.2.5 *IP generated through consultancy*

The faculty/research staff of the University obtains consultancy offers from Industry/Commercial establishments, firstly because of their domain competence, and secondly, because of their affiliation with UoL which has a national brand name. Therefore, operation of all consultancy assignments should be channelized and administered centrally by a designated Cell/Unit of the University. Any intellectual property arising from the consultancy project will be jointly owned by the University, and the consulting firm. They will be co-assignee of any patent generated from the said intellectual property. The consultant(s) will be the inventor(s) of the patent concerned. The total cost incurred in acquiring the patent, and its maintenance will be borne equally by the two parties. The royalty arising from the commercialization of patent generated through consultancy will be distributed following the procedure as determined by the University Consultancy rules.

The faculty/research staff who are engaged in the consultancy work should not be in conflict with their primary responsibility towards the University, and they should clearly make their University obligations known to consulting firm prior to accepting consultancy assignments.

6.2.6 Copyrights

The issue of Copyrights ownership and protection will be governed by the Indian Copyrights Act in force at that time. However, in the context of UoL, the following guidelines will be followed:

- i. The University will be the owner of the copyright of all teaching materials/methods developed by the University personnel as a part of any of the academic programs of the University. However, the author concerned will have the right to use the material in his/her academic pursuits.
- ii. Any copyrightable work generated as a work for hire will belong to the University.
- iii. The University will be the owner of the copyright of the work generated in the area of specialization of the University personnel, which includes software created with the use of University resources, other than a literary work.
- iv. The student and his/her supervisor(s) will jointly own the copyright of the thesis / dissertation / project report/term paper written by a student. However, the University will be entitled to a non-exclusive, non-transferable license to use the work within the University for non-commercial purposes, or to possess a limited number of copies for such purposes, whichever is relevant.
- v. The University will be the owner of the copyright of the work produced by a non-University personnel, where the work concerned is created through the association with any activity of the University, and/or with the intellectual contribution received from any University personnel. However, the authors of such work will have the right to use the material in his/her professional capacity.
- vi. If the work is produced during the period of sponsored and/or collaborative activity, specific provisions related to IPRs, made in contracts governing such activity, will determine the ownership of IPRs.
- vii. If the work is not related to the domain area of the University personnel and does not involve the use of University resources, then the University will have no ownership right in that work.
- viii. The University will not own the copyrights of works such as books, articles, monographs, lectures,

speeches, video presentations and other communications produced by the University Personnel where the University resources are not used.

6.3.Procedures for IP Protection

Any employee(s) of the University desirous of filing a patent application in connection with the innovative work done by him/them should follow the procedure outlined below:

- i. Forward a one-page proposal outlining the main highlights of the invention to the Chairperson, IPM Cell, for preliminary evaluation.
- ii. The application will be processed by the office of the IPM Cell as per the IPR Policy of the University.
- iii. If after the examination, the proposal is found to be patentable, it will be conveyed to the inventor applicant, and he/she will be advised to seek the professional help and guidance of a UoL empaneled patent attorney.
- iv. The patent attorney will conduct a patentability/prior-art search and report the same to the IPM Cell.
- v. The IPM Cell will assess the application, based on feedback from the patent attorney.
- vi. If the invention is found to be patentable, it will be recommended for patenting by the University, the applicant will be requested to have further discussion/interaction with the patent attorney for completing formalities for filing the application in India Patent Office.
- vii. The University will maintain an Indian patent for a maximum period of 10 years. Sincere efforts on the part of the inventor must be initiated during this time span to commercialize the invention.
- viii. Within 12 months of filing the Indian patent, the inventor may opt to file a Patent Cooperation Treaty (PCT) application for international protection of his/her IPRs. For this, the inventor applicant must approach the Chairperson, IPM Cell with a formal request seeking permission for filing a PCT application. Once the PCT is filed, the inventor gets 30 months to file foreign country specific patent application. The University at its discretion may allow the inventor to file a country specific application in ONLY one of the countries like, USA, Australia, Japan, South Korea, China, European Union etc. The assessment will be done from case-to-case basis for application in any of the foreign country. The foreign patents will be maintained by the University for a period of 10

years only.

6.4.Commercialization of IPRs

- i. The University will encourage the inventors to commercialize their intellectual property by organizing specific industry interactions for showcasing the University inventions.
- ii. The University will encourage the inventors to commercialize their intellectual properties through third parties who may or may not be the joint inventors through the grant of exclusive/ non-exclusive licenses, or assign its ownership rights to third parties/ inventors safeguarding the interests, financial or otherwise, of the University.
- iii. When a third party is interested in commercializing an intellectual property after inspecting its relevant technology profile, they may apply to the Chairperson, IPM Cell for the same. A license fee will be decided by the IPM Cell in consultation with the inventor, and after the Deposition of the required fee for transfer of the technology, the University will then require the third party to sign a confidentiality agreement undertaking to maintain the confidentiality of all information disclosed.
- iv. Confidentiality agreement will continue to be in force even if the commercialization process is aborted at any stage. However, it is recommended that no disclosure should be made by third party, if there is any doubt as to the outcome of the commercialization process.
- v. All such licensing agreements/assignments in particular where the third party is also the inventor, would be carefully examined by the University to determine that no conflict of interest will occur as a result of their ratification. The third party when interested in any such transfer of rights must demonstrate technical and business capability to commercialize the intellectual property.
- vi. The assignment or license may be subject to additional terms and conditions, such as revenue sharing with the University or reimbursement of the cost of statutory protection, when justified by the circumstances of development of the intellectual property licensed. If the University finds that the third party has not taken steps to commercialize the property within one year of acceptance of the license, the University will be free to revoke the license.
- vii. The actual cost of transfer of interest/ right/ ownership and maintenance of rights in the University owned intellectual property by way of license, assignment or otherwise devolution of rights for

such purposes will be borne exclusively by the licensee, assignee, and person acquiring such rights. The University may under special circumstances retain a non-exclusive royalty-free license to use the property for academic work.

7. Licensing and Technology transfer

7.1. Technology Transfer with Non- Disclosure Agreement

It is very important to maintain confidentiality, and take all necessary precaution so as not to affect the value of the IP through appropriate agreement with the licensee. Therefore, entering into a legally binding Non- Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions is required.

The route to technology transfer may be through one of the following channels:

- i. The IPM Cell may organize intellectual property specific industry interactions for helping the inventors in showcasing their intellectual properties.
- ii. The inventor may contact the DST-TIFAC or any other Government agency for help in the commercialization of the intellectual property.
- iii. The inventor(s) may contact potential licensee(s) directly because they are best placed to recognize the right commercial partner.\
- iv. IPM Cell will maintain a data base of intellectual properties available for commercialization in the University homepage.

7.2. Role of Incubation Center, UoL

The startup can also be accommodated at Navankur, Incubation Centre, UoL, if so desired by the inventor, after critical appraisal of Business plans as per applicable procedures. The start-ups in specified instances shall be licensed Ips owned by UoL on a limited exclusivity basis initially for a period of 3 years. The licensing fee may be decided depending on the nature of funding available for such a venture including the possibility of making the know-how/ technology available even without any license fee. However, all such licensing should be accompanied by an appropriate agreement and a monitoring mechanism. During the limited exclusivity period, the start-up shall have no 'rights to sub-license' to any Third party.

Once the startup venture establishes commercial viability within the limited exclusivity period, the

license agreement shall be revisited and modified into exclusive over an extended period with a royalty consideration, the quantum of which shall be determined by UoL. In case the startup fails to achieve commercial breakthrough within the allotted period, the exclusivity of the license to the startup shall be forfeited. Further as any entity setup under Navankur is an independent commercial entity, UoL would not have any rights to intellectual property / know-how developed within the entity unless covered by an explicit agreement.

7.3. Liability and indemnity insurance

- i. In the case of infringement of any intellectual property right(s) by the University faculty/staff/students/project staff/visitors or any third party, IPM Cell would first conduct an enquiry into the matter and make recommendations to the Vice-Chancellor for resolution of such infringement including the need for any disciplinary/legal course of action.
- ii. As a matter of policy, the University shall, in any contract between the licensee and the University, would seek indemnity from any legal proceedings in production problems, process efficiency, design guarantee, up-gradation and debugging obligation.
- iii. The University shall also ensure that the University personnel have an indemnity clause built into the agreement with licensees.
- iv. The University shall retain the right to engage in any litigation concerning patents or license infringements in order to safeguard its IPRs.

7.4. Deposition of the biological cultures

All biological cultures, including microorganisms, cell lines, plants and animals, isolated from the environment or genetically modified during the course of study by the faculty/students/staff/Project staff/associates/visitors will be the property of the University and it will be assigned under the name of the supervisor(s)/team leader. These cultures must be deposited with the supervisor under intimation to IPM Cell who will maintain a record of the same. These cannot be used for any academic purpose without the written consent of the supervisor. For any commercial exploitation of the same appropriate approval from IPM Cell must be obtained.

7.5. Protection of biodiversity and traditional knowledge

UoL confirms that it abides by the national laws on biodiversity and traditional knowledge framed by the Government from time to time. Inventor(s) has/have to make sure that the conditions laid down under the national laws on biodiversity and traditional knowledge are not breached during the course of obtaining any intellectual property protection or any use of such knowledge.

8. Revenue Sharing

The income generated from the licensing/assigning of IPR or on receipt of royalties associated with technology transfer / specific innovation programs shall be divided as follows:

- i. 60% (sixty percent) of the revenue shall go to the Inventor(s); the share of each inventor may be decided by at the time of intellectual property disclosure by mutual consent. In order to avoid any future dispute/litigation on this issue the Lead Inventor will prepare a mutually acceptable agreement pertaining to the share of each of the co-inventor and the same shall be conveyed in writing to the Chairperson of IPM Cell for record keeping.
- ii. 20% (twenty percent) would go to UoL account.
- iii. 20% (twenty percent) would go to Intellectual Property fund.

9. WAIVER OF IP RIGHTS BY LU

Subject to any associated agreement and with appropriate approval from the sponsor, UoL may waive its rights to specified intellectual property in favor of the inventor so as to enable the inventor to seek funding or other support for the purpose of commercialization, or the Institute assessment doesn't favor IPRs protection. Such waiver of ownership in favor of the inventor(s) can be considered:

- i. if it is established that such ownership of the inventor would be essential to enable dissemination of benefits of the invention to the society, or
- ii. if UoL decides not to pursue the protection of IPR within a period of six months of complete disclosure by the inventor to UoL. The decision to pursue or not to pursue should be communicated to the inventor within a period of three months of complete disclosure by the inventor to UoL.

In all cases, unless explicitly agreed to, UoL shall normally retain a perpetual, royalty free license to use

the intellectual property and any corresponding IPR for research and educational purposes

10. RECORD KEEPING PROCEDURES

It shall be the responsibility of the persons appointed by the University, (not below a Section Officer grade and a Deputy Registrar) to ascertain the facilities / resources have been used for the purpose of generation of intellectual property by a creator in UoL. All data and details generated by a creator in the course of creation of intellectual property should be systematically recorded in IPM cell as outlined below:

- i. All laboratory records shall be entered in indelible ink in bound volumes marked PRIVATE & CONFIDENTIAL with all pages serially and permanently numbered, without mutilations or insertions.
- ii. All blank spaces between successive entries should be cancelled as if they were deletions and authenticated with the creator's initials and date.
- iii. Precise descriptions of all actions and experiments carried out should be provided. Ideas or suggestions should be headlines as such, so as to clearly differentiate them from work actually performed.
- iv. No abbreviations or terms, except where their use is standard practice in that particular discipline, should be used, unless clearly explained in a table at the front or back of the book.
- v. Crucial data or descriptions or experiments, which relate to valuable inventions or discoveries should be signed and dated by the creator, supervisor, or coordinator of the project.
- vi. Modifications, if any, should be made by drawing a line through the deleted matter and writing cancelled beside it. The corrected data (clearly marked as such) should be entered immediately below, authenticated by the creator with his / her initials and date.
- vii. Samples of new products or of products produced by a new method should be preserved, if possible, and photographed for the record. All photographs should be dated and signed by the creator on the reverse.

11. Other pertinent issues

All agreements/contracts including but not limited to the following categories, for activities undertaken by anybody defined under Section 2 (ii) to (viii) needs to be approved by the Chairperson, IPM Cell of UoL.

- i. Confidentiality Agreement / Non-disclosure Agreement

- ii. Consultation Agreement
- iii. Evaluation Agreement
- iv. Research and Development Agreement for furtherance of existing IPR assigned to LU
- v. License Agreement
- vi. Technology Transfer Agreement
- vii. Alternative Dispute Resolution Agreement
- viii. Collaborative MOU with other University / Organization related to IT activities

Chairperson, IPM Cell will act as the signing authority in all categories of agreements listed above. IPM Cell will facilitate the process of framing such agreements by way of providing templates and services through professional IPR consultants.