

POLICY FOR INNOVATION AND INCUBATION

(PII-2020)

(Revised version of PII-2017)

Document Number: KARE/INNECOPY/PIE/04/2020



KALASALINGAM ACADEMY OF RESEARCH AND EDUCATION
(Deemed to be University)

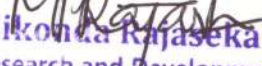
(Under the section 3 of UGC act 1956)

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**RECOMMENDATIONS OF THE EXPERT COMMITTEE FOR THE REVISION
OF APPROVAL AN INNOVATION AND INCUBATION POLICY AT KARE FOR
2020-21**

Document Number: KARE/INNECOPY/PIE/04/2020

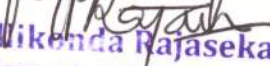
The following schemes have been added to the Innovation Promotion Schemes in the Policy for Innovation and Incubation -2017, based on the recommendations of the empowered committee.

- ❖ Creation of Startup regulations (Sub-section No. 9)

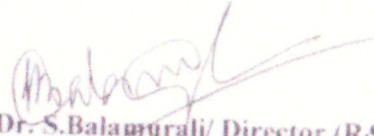
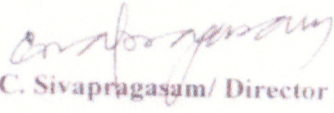

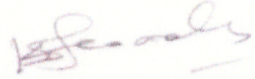
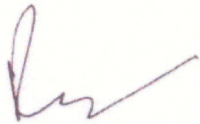
History of Innovation and Incubation Policy (PII)

S.No	Newly Added Title /Subsection	PIE -2013 (1 st Version)	PIE -2014 (2 nd Version)	PII-2017 (3 rd Version)	PII-2020 (4 th Version)
1	Patent Fee Regulation (Sub Section 4.6)	Not Available	Newly Added (Page No 7)		
2	Patent Transfer Regulation (Sub Section 4.7)	Not Available	Newly Added (Page No 7)		
3	Revenue Sharing of IPR (Sub-section No. 4.8)	Not Available	Not Available	Newly Added (Page No 7)	
4	Copyrights Details of IPR (Sub-section No. 5)	Not Available	Not Available	Newly Added (Page No 8)	
5	Trade Marks (Sub-section No. 6)	Not Available	Not Available	Newly Added (Page No 8)	
6	Industrial Designs (Sub-section No. 7)	Not Available	Not Available	Newly Added (Page No 9)	
7	Innovation Ecosystem Creation (Sub-section No. 8)	Not Available	Not Available	Newly Added (Page No 10)	
8	Creation of Startup regulations (Sub-section No. 9)	Not Available	Not Available	Not Available	Newly Added (Page No 11)

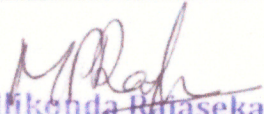



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POLICY FOR INNOVATION AND INCUBATION
PREPARATION AND VERIFICATION TEAM

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Reviewed by	 Dr. D. Devaraj/ Director (Academic)
Complied by	 Dr. K. Sundar/ Director (Planning and Monitoring)
Approved by	 Dr. R. Nagaraj Vice-Chancellor
Ratified date by the URB	18-12-2020
Approved date by the BoM	28-12-2020

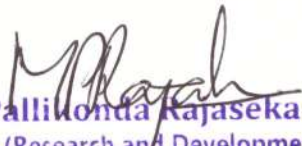



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POLICY FOR INNOVATION AND INCUBATION

1.0 PREAMBLE

Kalasalingam Academy of Research and Education (KARE) encourage, facilitate, promote and safeguard the scientific investigations and in research. The PII policy of KARE provides guidelines for making inventions and discoveries available to the general public in the interest of the nation at large.

PII policy of KARE aims to lay down the process for promotion and support to innovators at KARE for translating their creative works into IP.

This policy also aims to set forth guidelines for ownership of IP developed at KARE by KARE personnel, those directly or indirectly associated with KARE, either in-house or outsource, seconded or sponsored unless specially covered by a policy to the contrary.


The Consultancy Services Centre - KARE shall address specific cases by using this PII policy document as guidelines.

PII policy aims to design and to identify, protect and leverage the bouquet of IPs that is generated from Project patents, copyrights, design rights and trademarks amongst others, that serve the purpose of knowledge diffusion and commercialization through Technology transfer.

This PII Policy is also aims providing financial support to the number of student's project for developing innovative products supported under the various schemes of the Government of India such as DST start-up, MSME, etc.

The Scope of PII policy is to provide knowledge and guidance of ownership, distribution, and commercial development of technology developed by faculty, staff, and students, others participating organizations and Govt. funding Agencies in the programs pursued.

This Policy is arranging various activities and awareness camps related to Entrepreneurship, Technology-based Innovation, and Idea to Product contests for the students for many years


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2.0 OBJECTIVES:

The objectives of this policy document are as given below:

- a) To foster, stimulate and encourage creative activities in the widest sense in all the areas in which academic, consultancy and research programmes are offered by KARE, Krishnankoil.
- b) To protect the legitimate interest of faculty / scholars / students of KARE and to avoid as far as possible conflict of opposing interests.
- c) To lay down a transparent administration system for the ownership and control of intellectual properties and sharing of the revenues generated and owned by KARE.
- d) To create the state of the art infrastructure facility with industry collaboration for the design and development of innovative products of national/international importance and societal needs.
- e) To create an entrepreneurial culture at the institution and support other institutions in the region, to promote the objectives of IEDC& IIC.
- f) To inculcate a culture of innovation-driven entrepreneurship through student projects and encourage women to become entrepreneurs
- g) To respond effectively to the emerging challenges and opportunities both at the national and international level relating to SMEs and micro enterprises
- h) To organize design contest, seminars, workshops, and short term courses to encourage students within the region to become innovators and entrepreneurs
- i) Establish collaboration with reputed Govt. Organizations, academic institutions, and industries and create a network that can enable students to actively participate and pursue their entrepreneurial interests.
- j) Carry out collaborative research and development activities with a reputed international university, and set up the state of the art innovation labs that can help students to build their products.
- k) To promote business activities for self-funding




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3.0 DEFINITIONS:

The meanings of terms applied in this policy are as below (unless the context otherwise requires):

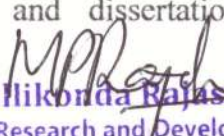
- a) **Copyright** means the exclusive right granted by law for a certain period of time to an author to reproduce, print, publish and sell copies of his or her creative work.
- b) **Creator** means any employee of KARE directly and/or indirectly associated and includes those who are regular faculty and staff members who are on probation, or on contract and those who are employed on temporary basis either in KARE and/ or in projects and those who are researchers or students who are responsible for the creation of an intellectual property using the facilities of KARE, Krishnankoil.
- c) **Intellectual Property** denotes the specific legal rights which inventors and other IP holders may hold and exercise. Intellectual property includes Patents, Trademarks, Copyrights and Industrial Designs each differ in its scope, purpose and effects. IPR aims to exclude third parties from exploiting protected subject matter for a certain specified duration of time without explicit authorization from the right holder.

IPR owners can use or disclose their creations without fear of loss of control over their usage during the course of dissemination of their Creation/Invention.

IP confers a bundle of exclusive rights in relation to the particular form or manner in which ideas/information are expressed/manifested in the following and related items.

- i) New and useful scientific and technical advancements in the form of innovations, inventions, products and processes, computer hardware and software, materials, biological varieties etc. which are patentable.
- ii) Industrial and architectural designs, models, drawings, creative, artistic and literary works, teaching resource materials, generated records of research including thesis and dissertations which are copyrightable.




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iii) Trademarks, service mark, logos etc.

- d) **Patent** means a patent granted under the provisions of the Indian Patents Act, 1970, and later as modified from time to time.
- e) **External Partners:** includes Government of India, State Government(s), Local Self Governments, Government Departments, Foreign Governments, International Organizations, Public Sector Undertakings (PSUs), all types of Private Sector Organizations, Multinational Corporations, Non-Governmental Organizations, and/or other institutions that provide research projects or consultancy assignments to researchers on regular or irregular basis; or any combination(s) of the above.
- f) **Inventor:** means the researcher who contributed to the creation of the Intellectual Property (essentially patents).
- g) **Business incubator** is an organization that helps startup companies and individual entrepreneurs to develop their businesses by providing a full scale range of services starting with management training and office space and ending with venture capital financing.

4.0 PATENTS

4.1. Ownership of IP:

KARE shall be the owner, with the creators specially stated as inventors for all the intellectual property inventions, software designs and specimens created by the creators who include faculty members, research scholars, students and those who make use of the resources of KARE, Krishnankoil.

The Inventions created by KARE personnel, without using KARE resources and created outside their assigned/normal duties/areas of research /teaching shall be owned by the creators and the revenue generated out of such creations shall be shared in the ratio of 75:25 between the creator and the University respectively.

If an IP has emerged as a result of an Institutional/Industrial consultancy, sponsored to KARE the concerned industries and KARE shall own the IP. This however will not apply to those IP that are covered under specific MoU's where



the action shall be carried out as per the provisions of the MoU's.

If the IP is a result of funds sponsored by an outside agency, then the IP will be shared between KARE and the sponsoring agency on case by case basis, as per MoU/Agreement/Undertaking between KARE and the outside agency.

A computer software may be patented, copyrighted, trademarked depending upon the IP content. A copyright software may be distributed for research and teaching purposes by its creator after obtaining appropriate undertaking to the effect that it will not be used for commercial purpose nor will it be transferred to any other party without explicit permission of KARE, Krishnankoil.

4.2 Internal evaluation of IP:

KARE Consultancy Services Centre will coordinate the activities of evaluating, protecting, licensing and managing the IP generated by KARE. Further it shall provide guidance to all KARE personnel and facilitate protection and deployment of intellectual property issues of ownership, confidentiality, suitable advice from experts, disclosure, patentability and transfer.

An invention will be patented only if it has commercial value and viability for production and marketing. A committee consisting of Director Consultancy & Dean Research and other expert member/s to the extent required shall decide the commercial value and related aspects on case by case basis. The committee shall also act to the best of its knowledge to avoid scientific misconduct in research and developmental activities of KARE

4.3 Publication Based on IP:

For patentable IP, it is essential that the patent protection is filed for before the publication or disclosure of it in any other form of public domain. However, Faculty members, research scholars and students can disseminate their creative work through publication for which they generally have freedom, subject to the provisions of Patent Act 1970.

4.4 Patent filing process:

Provisional patent application that may arise out of projects/Research activities of KARE may be directly applied for by the Creators after obtaining formal permission from KARE through Consultancy Services Centre. If the



university owns the IP, then the patent expenses incurred by the creator for provisional patent protection will be reimbursed to the creator by the university.

Soon after completing the complete specification protection, KARE through consultancy Services Centre shall decide on the protection of invention in foreign countries. If KARE opts not to undertake such protection in any country requested by the creator, KARE shall assign rights of the IP in that country to the creator.

4.5 Maintenance of patents:

For the inventions developed at KARE and the inventors who wish to protect the invention, it is mandatory that the creator has to disclose the creative work by using an Invention Disclosure Form (IDF). The inventors shall assign the rights of the disclosed invention to KARE. All IP related information that is disclosed to KARE is confidential.

Confidentiality shall be maintained till the dates stipulated in the contract between the concerned parties. Once the IPR is ensured, the inventor/creator is encouraged to publish the work in the interest of general public.

4.6 Patent fee:

KARE will pay the patent fees for the first seven years in all cases when patent is taken by KARE, Krishnankoil. If it is a joint patent with sponsoring agency, then the patenting cost will be equally shared. If the other agency does not show interest in such process, KARE can either continue the patent by paying the fees for its full term or withdraw application for the patent protection, at its discretion.

4.7 Transfer of IP:

KARE shall strive to identify potential licensee for the IP to which it has ownership. Generally creators are expected to assist the transfer of IP. KARE may contract IP to any of the technology management agency which manages the commercialization of IP. If exclusive rights of IP have not been assigned to the third party, creators may enter into a contract with any potential licenses on their initiative maintaining confidentiality and taking care through Non Disclosure Agreement with the concurrence of KARE, Krishnankoil.



The inventor/creator has the first right on the terms and conditions that are agreeable by KARE, Krishnankoil.

4.8 Revenue sharing:

The revenue sharing arrangements are as below:
60 % (sixty percent) of the total revenue (lump sum payment, royalty or any other form) accruing from the commercial exploitation of IP owned by KARE shall be credited to creators. 40% of the revenue shall be credited to KARE, Krishnankoil.

Out of the KARE's share, 20% shall be transferred to the central account of the University, 10% shall be transferred to the Department concerned towards encouraging research and development. 10% may be transferred to Consultancy Services Centre for carrying out IPR related activities.

5.0 COPYRIGHTS

5.1 Ownership of the copyright:

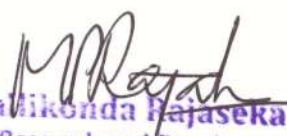
KARE shall be the owner of all copyright works including software and all connected teaching materials designed and developed by employees of KARE, Krishnankoil.

Further, KARE shall also be the owner of copyrights of works produced, including software and all teaching materials developed by persons not directly associated with KARE, provided KARE has made its contribution in the form of any of the resources.

A copy of PhD/M.Phil thesis works submitted to KARE may be forwarded to Consultancy Services Centre and shall attempt to explore the patentable rights if any in such theses by constituting suitable committees consisting of experts.

The ownership of copyright by KARE will in no way deprive the claims of the creator/author to publish his/her contribution in a scholarly and intellectual way and they have authority to improve, publish and propagate their works.




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6.0 TRADE MARKS

- The ownership rights in all trademarks involving the KARE shall ordinarily be vested with the KARE.
- If the KARE determines that the creator of the trade mark was created by an individual(s) on his/ her own time and unrelated to his/ her responsibilities [e.g. name of a company/ start-up venture by the student(s)], then the right to the same shall ordinarily be vested with the said individual(s).

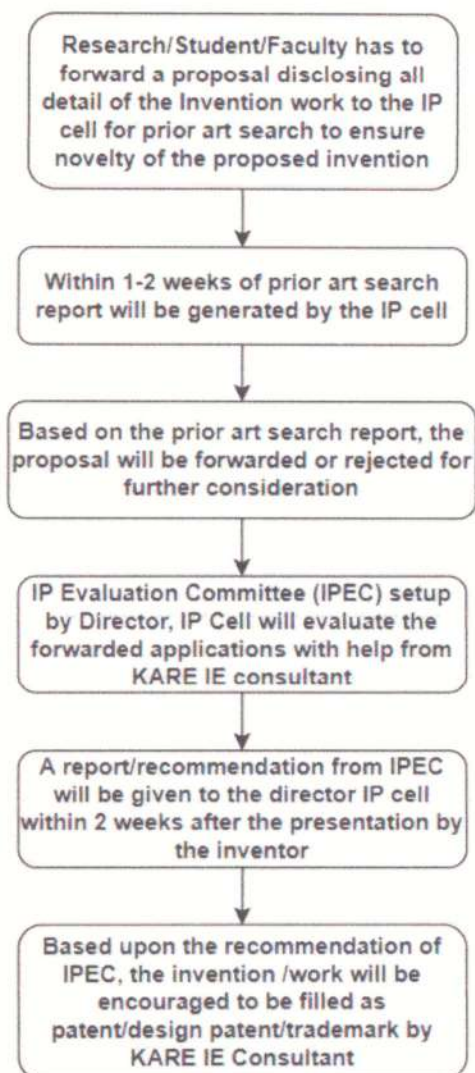
7.0 INDUSTRIAL DESIGNS

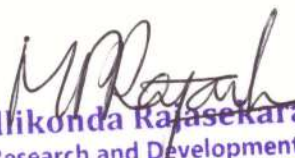
- All industrial designs whether made by student/ researcher/ faculty (in furtherance of their responsibilities with the KARE) developed by utilizing the resources of the KARE, or with the mix of funds, resources and/or facilities, shall ordinarily be vested with the KARE.
- If the KARE determines that the industrial design was created by an individual(s) on his/her own time and unrelated to his/her responsibilities and was conceived or reduced to practice without the use of resources, then the industrial design shall vest with the individual(s).



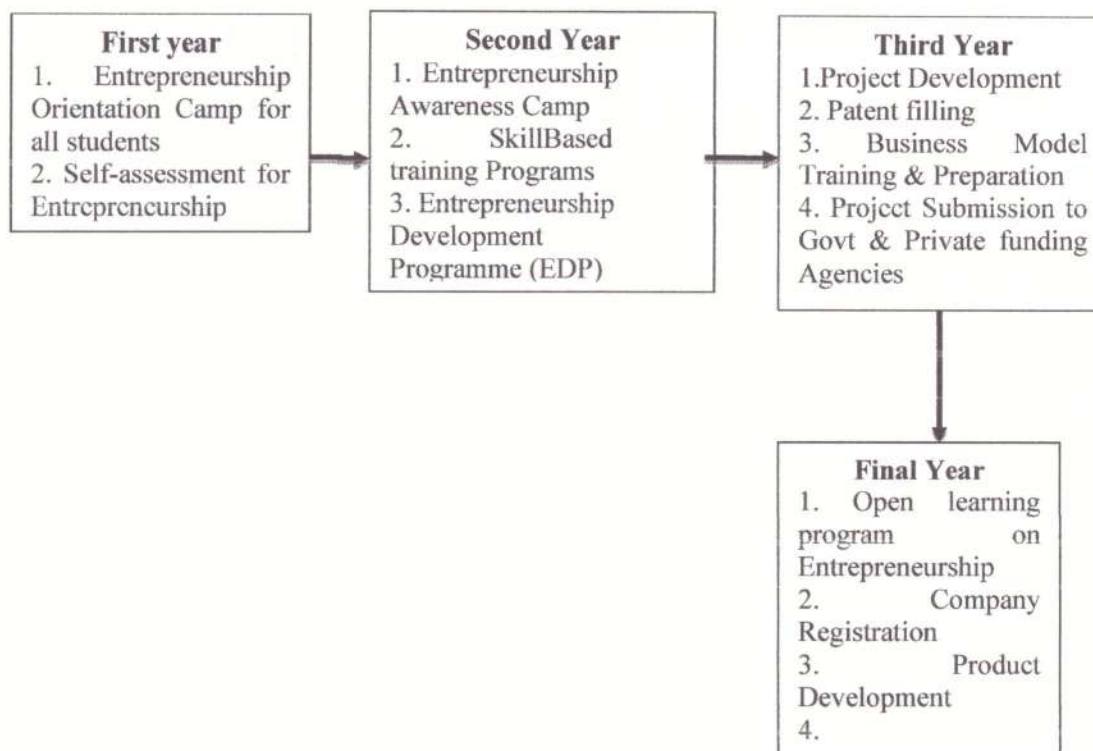

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FLOW CHART FOR IPR PROCESS




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8.0 INNOVATION ECOSYSTEM CREATION



Innovation and Entrepreneurship Development Cell & Institution Innovation Council aims to provide the pre-incubation specialties for student's projects. Through this cell we are organizing orientation camps, awareness camps related to entrepreneurship and Innovation. Firstly, Orientation camps have been given to all the freshman students in their first year. Through these camps we give brief knowledge about entrepreneurship and give ideas for business and motivate them about create or plan to initiate their own business. Secondly, Awareness camps have been given to second year students for three days. During these camps students learn about their relative domain business ideas and project in their domain. We also provide them details about how to found the best business plan, how to create best solution for the problems facing in business plan, where to get funding to start a company. We educate them about all the government funding, grants and private funding agencies. We also provide Skill development program for second year students through this program we give domain base training regarding student's interest and industrial experts share their knowledge and



guidance to the students in their domain courses. Thirdly, the students have to find the problems their local ventures facing and comes up with solutions that are useful for uplift the ventures. They learn through real-time case studies. In third year students submit their business projects. We help them to patent their business ideas and give training for project models and submit these models for getting funds in both government and private agencies. Lastly in fourth year we focus on company registration, product development through incubation centers and commercialization of the products. On the whole, IEDC & IIC joins hands with students and entrepreneurs for their dream future.

9.0 Start-up

The general guidelines towards the start-up activities are listed below.

1. KARE raises fund for start-up support and provides incubation support both financial and non-financial basis based on the merit of the project proposal.
2. Not exceeding the number of days of non-institute activities, a faculty member may take a sabbatical leave (one semester or a academic year) for working full-time in the business or appropriate/pool the days allocated for consultancy work to the company. Faculty members required to support his start-up/company managerial engagements without affecting his academic engagements on full-time active duty in the institute. This will also apply to the students/employees involved in these activities. A faculty member should clearly distinguish on-going institutional research from work being conducted at the company.
3. Trainees, fellows and students can be assigned to research projects that will lead to a direct financial benefit for the faculty member or company with appropriate permission from KARE.
4. By paying the necessary overhead charges, a faculty member can get permission to run a project that could be conducted at KARE and could be managed through her/his company.





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5. KARE permits the use of laboratories, library and other such facilities by the founding KARE member. In return of services offered (space, laboratories, library mentorship, seed fund, accountant and legal and patent support) and use of facilities at KARE or KARE's incubation unit may take 2 to 9.5% equity/stake in the start-up/company incubated. In case staffs is drawing salary form KARE, KARE's stake/equity on start-up is limited to 20% of total share of staff or 9.5% of total stake, whichever is the minimum.
6. KARE does not interfere with the IP rights for the technology developed by the company; however, liability-free equity may be retained by the institute based on the use of the KARE resources. If fund and/or resource of KARE used substantially, then IPR should be made jointly by KARE and inventor and license together and revenue sharing among the parties.
7. In case of a conflict of interest, the Vice-Chancellor can appoint a five-member review committee to check the appropriateness. The decision of KARE would be the final and binding.



Vice-Chancellor
Name: Dr. R.Nagaraj

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Cc: to Registrar & Controller of Examination and Deans
Cc: to All HoDs with request to circulate among the Faculty Members & Web admin



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