

# **MAHE Innovation and Entrepreneurship Policy Framework**

# **MIInE**

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## **I. MAHE Innovation and Entrepreneurship Policy Framework**

### **Preamble**

The global economy is emerging at an increasing pace with knowledge-based innovations, smart technology and disruptive business models. To develop the culture of Innovation and Entrepreneurship (InE) in Higher Education Institutions (HEIs), Ministry of Education (MoE) introduced National Innovation and Startup Policy (NISP) 2019 for Students and Faculty: A Guiding Framework for Higher Education Institutions. Therefore, to have a robust Innovation ecosystem at MAHE, it is proposed to have a comprehensive policy addressing multidisciplinary applied research, innovation, technology development, incubation, with involvement of students, faculty, alumni, society and industry.

### **1. Vision & Mission of MInE**

#### **Vision: Sustainable development through Innovation & Entrepreneurship**

#### **Mission**

1. Develop platforms, facilities, resources and services to promote Innovation and Entrepreneurship amongst all MAHE Institutions.
2. Handhold and address all needs and challenges of our innovators and entrepreneurs with highest ethical standards in the implementation of these policies.
3. Develop a culture of co-creation and to translate research beyond Intellectual Property (IP) and Technology development, to technology commercialization through venture creation.
4. Supporting enterprises which meet societal needs at regional, national and global level.

## 2. Strategies and Governance

An apex Committee of MAHE (MAHE level committee) headed by Vice Chancellor will oversee the progress/development from time to time. Directorate of Research, Innovation Center, TBIs (MUTBI & Bioincubator), Technology Transfer Office, Alumni Relations, Corporate Relations will facilitate to develop a robust Innovation ecosystem at MAHE. Each constituent unit, Department and various Centers of MAHE are required to encourage their faculty/staff, students to work towards innovation, technology development, entrepreneurship journey. MInE policy will be reviewed by MAHE, as and when required. Conflicts, disputes, if any, will be resolved by a committee formed by Vice Chancellor.

## 3. Policy

The policy objectives are designed to promote innovation and entrepreneurship among its stake holders to transform innovative ideas, fused with business/social acumen to create a potential impact on socio-economic transformation locally and globally. The policy will cover faculty, staff, students and alumni of all constitutive units of Manipal Academy of Higher Education, Manipal. Specific policy details are covered by this guidance document along with respective Intellectual Property Rights (IPR), Faculty Entrepreneurship, Student's Innovation & Entrepreneurship policy, and Technology Business Incubator policy.

1. The Innovation ecosystem is available to any MAHE student, faculty or staff who has an innovative, technically viable, financially feasible and scalable idea addressing the needs by creating competitive solutions and willing to establish ventures.
2. Innovation & Entrepreneurship Cells to be created at institute level with one faculty coordinator to promote student/faculty entrepreneurship through awareness programs, boot camps, hackathons, pitch sessions at all constitutive units of MAHE. The Innovation Center/MAHE TBI can guide, facilitate and support such activities at the individual institutes.
3. Faculty/staff can work as a Mentor/Consultant/Advisor, or pursue part-time employment for any company (Startups led by MAHE Innovators). Such activities must be outside their regular working hours and must not conflict with university related activities. Terms of engagement should be documented to avoid conflict of interest.
4. It is the responsibility of the startups to obtain all approvals and clearances by appropriate regulatory bodies wherever necessary, before the commencement of business activities.
5. **IPR Policy:** Intellectual property generated during the incubation at TBI using the facility of TBI by faculty/ staff/ student/alumni will be wholly owned by them. Intellectual property generated using external funding or resources of MAHE or TBI will be as per their guidelines.

Eligible faculty/Staff of MAHE and its constituent institutions would be facilitated to start companies for further commercialization of IP created by them at MAHE TBIs. In such cases, MAHE will transfer IP/ Technology, to the startup based on mutually agreed consideration. For all, innovation and technology development work carried out within MAHE, IPR policy of MAHE is applicable.

6. **Faculty Innovation and Entrepreneurship Policy:** The faculty is encouraged to translate their research and innovation towards entrepreneurial ventures and such ventures would be governed as per the MAHE Faculty Innovation and Entrepreneurship policy.
7. **Student's Innovation and Entrepreneurship Policy:** All full time Undergraduate, Post graduate and Research scholars are governed by MAHE Student's Innovation and Entrepreneurship policy.
8. **TBI Policy:** MAHE students, faculty and alumni are encouraged to have their startup incubated at MUTBI/Bioincubator. Startups incubated at MAHE TBI are governed by the TBI policy (Refer ANNEXURE-TBI).
9. Necessary approval from ethics committee (appropriate Authority) is required, before the commencement of any testing or trials conducted with human subjects.
10. It is advised that aspiring entrepreneurs, clearly understand the purpose and also carryout sufficient homework with their team, before taking a call on entrepreneurial journey.

#### **4. Impact Assessment**

Impact assessment for measuring the success is in terms of sustainable social, financial and technological impact in the market. Innovation Center/TBIs would be facilitating for measuring the progress/impact of InE at various units/centers of MAHE. However, commercial success would be the focus in future (assessed in 5 years intervals from the product launch).

#### **Way Forward**

Various units and Centers of MAHE are required to work with Innovation Center and TBIs by involving their faculty, staff, alumni and students to develop a globally recognized Innovation ecosystem at MAHE.

## II. MAHE Intellectual Property Policy

### **Preamble:**

The contemporary and stated Intellectual Property Policy of Manipal Academy of Higher Education (MAHE) endeavors to facilitate the protection and upliftment of intellectual properties generated during the scientific pursuit (of knowledge/resource) in the university and offer scope for ingenuity and commercialization. It targets the provision of unbiased intercession between the various interests involved.

In order to lessen the possibility of adopting a specification or other technology which might infringe on a patent or other IPR, MAHE will, in the course of carrying out its program of work, and in accordance with such Policies and Procedures of the University as may be in place from time to time, issue calls to its staff and faculty to disclose patents or other IPR ("patent calls") which are owned by them, or of which they might be aware, which might be infringed by the implementation of a specification proposed for adoption. Such a patent call shall be made at such times as the MAHE's policies and procedures shall provide.

Through this policy it is envisaged to achieve the vision and mission of the MAHE Innovation & Entrepreneurship (MInE) framework.

### **Applicability**

The Policy on Intellectual Property (IP) is applicable to following personnel:

1. Employees, faculty members, staff (permanent and temporary), visiting scholars, fellows, research scholars and students associated with MAHE and including financial support received from MAHE, but is not limited to, those who are directly under the University payroll and/or receive assistance in the form of fellowships, scholarships, honorarium, either from MAHE or from outside government and private institutions/agencies.
2. Employees, faculty, staff, research scholars, visiting scholars, fellows or students who are making use of MAHE facility and resources, and include financial support to generate, file and prosecute any form of intellectual property and invention related issues.
3. Various forms of intellectual property under this policy include, but does not limit to, Patent, Copyright, Trademark / Service Mark, Design Registration, Trade Secret, Confidential Information, Integrated Circuit Layout and Plant Varieties etc

## **Ownership of IP**

An invention for which an intellectual property application is filed where in the University resources like space, equipment, facilities, human resources are utilized and when the applicant(s) receive financial support towards professional and statutory fees for acquiring such intellectual property, the Owner/ assignee of such intellectual property will be MAHE.

Individual(s), who obtains a patent or any other form of intellectual property or introduces an invention into public domain without use of resources from the University or outside their regular assigned duties during official hours under terms of their appointment with the university and without substantial involvement by university personnel, require to disclose their application with proof that the said resources/facilities of the University have not been utilized and should receive necessary approval from the office of the Technology Transfer, MAHE before proceeding with independent filing .

Innovations developed at MAHE TBIs shall be fully owned by the incubated company.

## **Copyrights**

Any original work of intellectual nature can be protected under copyright law. Ideas per se are not copyrightable but only in their expressed form.

When the copyrightable pedagogical, scholarly, computer software, integrated circuit layouts, designs, films, cassettes and other such literary and artistic works, specified as copyrightable works under relevant Copyrights Act as amended from time to time by the government, which are created for Manipal Academy of Higher Education, the author shall retain ownership of their original work, while at the same time granting Manipal Academy of Higher Education and all implementers of its specifications full rights to revise, modify, and create derivative works based on that original work, under the Manipal Academy of Higher Education's own copyright.

If the university foresees a gainful return from copyrights, it may initiate steps to file and protect such copyrights and share the financial rewards with the inventor on terms and conditions of the university as specified from time to time.

When the copyrightable work is generated for an external sponsor/university/company of foreign country/India then ownership will be jointly shared according to the agreement between external sponsor and the university.

In case of copyrightable work created by non-Manipal Academy of Higher Education personnel without absolute intellectual contribution of Manipal Academy of Higher Education personnel and Manipal Academy of Higher Education resources the respective author shall retain his/her ownership.

Copyrights on books and publications authored by Manipal Academy of Higher Education personnel shall be in the name of the respective authors.

### **Trade Secrets**

MAHE employees are expected not to reveal Trade secret information of the University to commercial entities or any third party, nor shall they sign non-disclosure agreements. MAHE shall take relevant measures to ensure that the Trade secret of the University is protected. If outside entities or third party asks employees of MAHE to sign non-disclosure agreement, employees/staff/ research scholars and students shall communicate all such requests to Technology Transfer Office, Directorate of Research, and Personnel and Legal department for discussion and legal approval before signing these agreements.

### **Inventions and Patents**

An idea when manifested in tangible form is patentable provided it fulfills the below criteria for patentability:

- Non-obviousness (the invention should be non-obvious to the person skilled in the art)
- Utility (it should be commercially applicable) and
- Novelty (invention may relate to a new product or an improvement of an existing one or a new process of manufacturing an existing or a new product)

If such a patentable invention is developed at MAHE, and qualifies for protection under the relevant Acts of government related to patents, then patent belongs to MAHE. It can be in the form of know-how, solutions, processes, genetically engineered microorganisms, scientific or technological developments, business models and other forms as the need arises. The filing of a patent application shall be with the researcher as named inventor.

In such instance or instances where the patent is owned by the university, the inventor or inventors have the right on such form of intellectual property till the time protection of such intellectual property is agreed upon by the University and inventor(s) or the life of such intellectual property according to relevant Acts have expired. The university also reserves the right to initiate discussions on sale/license or technology transfer of patents or other forms of intellectual property, as the case may be, and which are deemed suitable for such activity. In an event of successful outcome through sale/license or technology transfer, the revenue sharing from either sale/license or transfer of technology shall be as specified in the royalty sharing clause mentioned below.

Whenever any patentable invention obtained under research or a related activity between an external sponsor and the University then it is subject to agreement between the involved parties.

Party shall grant to each of the other parties and their respective affiliates, a nonexclusive, worldwide, perpetual, irrevocable, non-sub licensable license under any (if any) of such party's



claims in its contributions, solely to make, have made, use, import, offer to sell, sell and otherwise distribute and dispose of compliant portions as agreed upon; provided that such license need not extend to any part or function of a product in which a compliant portion is incorporated that is not itself part of the compliant portion. Such license shall be granted on a royalty-free basis or will be subject to otherwise reasonable and nondiscriminatory terms subject to approval by MAHE.

### **Royalty Sharing**

Net revenue received by the University through sale/license or technology transfer of intellectual property of such inventions or creative works, royalty shall be distributed as follows, unless otherwise specified in arrangements for commissioned works.

|             | <b>Royalty sharing percentage</b> |
|-------------|-----------------------------------|
| Inventor    | 70%                               |
| University* | 30%                               |
| Total       | 100%                              |

\*30% share of the University shall be distributed as: (a) to the inventor(s) department (5%), (b) to the inventor(s) Institution (5%) and (c) to Manipal Academy of Higher Education (20%). In case of an Intellectual Property jointly held by the constituent institutions of Manipal Academy of Higher Education, the distribution of share to inventor(s) department and inventor(s) institution have to be communicated by the lead investigator to the University. In no case such share should cumulatively exceed 20% of the allotted share.

In an event when more than one inventor contributes for the generation of the intellectual property then the percentage of royalty shall be equally shared among the inventors, contingent upon such invention being sold, licensed or transferred under technology transfer agreement with third party(ies). No royalty shall be claimed by the inventor(s) for patents which fail to generate interest for sale, licensing or technology transfer.

### **Technology Transfer**

MAHE reserves the right to initiate and commercially leverage intellectual property of the university or jointly owned with other institute/university/industry under the agreements dealing with technology transfer, licensing and revenue sharing models in consultation with the named inventors.

In the case of sponsored activity, the sponsored industry/organization will have the first right to commercially leverage the intellectual property or products originating from the collaboration activity, whether or not the same have been formally protected by patent(s).

In the case of sponsored activity, if the sponsored industry/organization fail to commercially

leverage the intellectual property or products within **one** year from the first date of development of the technology, then MAHE shall reserve the right to transfer the said know-how to a third party for its commercial advantage. However, Manipal Academy of Higher Education shall share the net revenues derived henceforth with the sponsored organization/industry as per the **agreement regarding technology transfer**.

### **Conflict of Commitment and Interests**

To manage and minimize conflict over intellectual property rights, all potentially patentable inventions created or discovered by faculty in the course of their University activities, or with use of University resources, MAHE should be disclosed to the University on a timely basis (“Patent calls”).

The inventor(s), to the respective Heads of Institutions, should disclose any conflict of interest or any potential conflict of interest.

MAHE discourages its employees, faculty members, staff (permanent and temporary), visiting scholars, fellows, research scholars and students against any legal recourse. In case of any disputes regarding the implementation of intellectual property policy efforts shall be made to address to the concerns of the inventor(s) by developing and incorporating an arbitration mechanism and arrangement, or any other suitable mechanism as agreed upon by the parties and arrive at an amicable solution. The decision taken in this regard by the competent authority of MAHE or through arbitration shall be final and binding to all the parties under dispute.

### **Infringement**

MAHE shall retain the right to engage in or abstain from in any lawsuit concerning patent and license infringements.

MAHE shall ensure that Manipal Academy of Higher Education personnel have an insurance clause built into the agreement with the licensee(s) while transferring technology or copyrighted material to licensees.

### **Modus Operandi**

All applications for patents should be dispatched to respective Head of Institution, irrespective of whether the inventions have resulted from the in-house research/project, or projects under sponsored activity. The Head of Institution must ensure that the foreseeable intellectual property under discussion is not revealed in public domain or discussed with people not connected with the research pertaining to intellectual property.

The application for patent or any other form of intellectual property shall be analyzed/inspected by the Intellectual Property Advisory Board of Manipal Academy of Higher Education comprising the following:

| SL # | Names of persons   | Designation |
|------|--|-------------|
| 1    | Vice Chancellor, Manipal Academy of Higher Education   | Chairman    |
| 2    | Registrar, MAHE  | Member      |
| 3    | Chief Innovation Officer – Innovation Center, Manipal Academy of Higher Education  | Member      |
| 4    | Head of Institution of the concerned Institute   | Member      |
| 5    | Coordinator – IP & Technology Transfer Office  | Convener    |
| 6    | Representatives of Directorate of Research, Personnel and Legal Department and Human Resources Department may be consulted on case to case basis |             |

The inventor(s) are required to make a brief presentation of their invention to the Intellectual Property Advisory Board of the University. Based on the outcome reached through discussion by the Board members with the research team further processing of the application shall commence through the approved attorney or agency by the University.

If the inventor(s) decides to abandon or withdraw the application for a patent at any stage after filing of application, prior approval of the Intellectual Property Advisory Board is mandatory.

### **Additional note on IPR**

In cases where there is substantial financial support from the University towards IP development, the Inventors: University ratio will be 50:50. MAHE will bear all patent filing and maintenance costs.

### III. MAHE Faculty Innovation and Entrepreneurship Policy

#### Preamble:

The global economy is fast becoming a knowledge and innovation-based economy. While Manipal Academy of Higher Education (MAHE) is one of the country's leaders in disseminating knowledge, its wide range of colleges and its dynamic and enterprising faculty, staff, alumni and students, make MAHE ideally positioned to excel in innovation and entrepreneurship. This will have a profound, transformative effect on the innovators, region and the country. It is with this intent that MAHE encourages faculty, staff, alumni and students of all constituent institutions, to actively engage in Innovation and Entrepreneurship.

Through this policy, it is envisaged to achieve the vision and mission of the MAHE Innovation & Entrepreneurship (MInE) framework.

#### Policy:

These policies are designed to enable MAHE faculty and staff to translate technologies into meaningful commercial ventures.

1. Eligible faculty of MAHE and its constituent institutions are encouraged and facilitated to start companies based on innovative ideas and business opportunities or intellectual property (IP) created by them at MAHE or IP transferred with the approval of MAHE.
2. Company be registered as per the Indian Companies Act. The faculty/staff can be one of the promoters, executives in the management team, or a board member of the company.
3. MAHE faculty/staff can draw professional fees from their company, but are not eligible for receiving additional salary from their startup.
4. Faculty aspiring to become entrepreneurs are encouraged to register their startup at MAHE TBI. MAHE TBI incubated startup will provide 3% equity to incubator. The admission to MAHE TBI will be as per the TBI policy. If Faculty, wishes his/her startup not to be incubated at incubator, they need to obtain No objection certificate from MAHE.
5. It is the responsibility of the startups to obtain all approvals and clearances by appropriate regulatory bodies wherever necessary, before the commencement of business activities.
6. Faculty startup can offer internship/project work or part-time employment to MAHE students.
7. Institutions can provision for 8 hours or 1 day per week of their duty roster for faculty involved in start-ups.

8. Institutions can consider academic load reduction for faculty/staff working in their start-ups on case to case basis
9. Faculty sabbatical up to 1 year can be provisioned for eligible faculty/staff working in start-ups
10. Faculty can be provisioned for internal sabbatical for a period of 6 months during initial start-up phase to work on their registered enterprise.
11. The faculty/staff initiating new ventures should take necessary approvals from Registrar, MAHE through proper channel.
12. Any perceived, potential or actual conflicts of interest if not resolved at the institutional level, will be resolved by a committee formed by Vice Chancellor.

## IV. MAHE Students Innovation and Entrepreneurship policy

### Preamble:

The global economy is fast becoming a knowledge and innovation-based economy. While Manipal Academy of Higher Education (MAHE) is one of the country's leaders in disseminating knowledge, its wide range of colleges and its dynamic and enterprising Researchers, alumni and students, make MAHE ideally positioned to excel in innovation and entrepreneurship. This will have a profound, transformative effect on the innovators, region and the country. It is with this intent that MAHE encourages students of all constituent institutions, to actively engage in Innovation and Entrepreneurship.

**Students** refers to all undergraduate and post-graduate students, as well as Research Scholars at all MAHE institutions in all campuses.

Through this policy, it is envisaged to achieve the vision and mission of the MAHE Innovation & Entrepreneurship (MInE) framework.

### Policy

#### 1. Academics:

**MAHE Institutes can make provision for the following, while designing their program structure to encourage student's participation in innovation & entrepreneurship**

- a. **Courses:** MAHE institutes can offer courses related to Innovation, IPR and Entrepreneurship to their students.
- b. **Innovation project:** MAHE institutes can offer academic credit for innovation project.
- c. **Industrial Training/Internship at start-up:** MAHE students can opt for internship at MAHE start-up to fulfill internship/industrial training requirements mandated by the Institutions
- d. **UG/PG Thesis:** Student/Teams can opt for Innovation/Entrepreneurship project for their final year thesis requirement towards a degree at their institute. The thesis can be compiled as a comprehensive report comprising of technology development and business plan. Institutes can frame suitable guidelines.
- e. **Academic break:** The founding members of a registered start-up maybe provided with academic year off on case to case basis. Institutes can provision for online courses/vacation batches/any other alternative modules for completing necessary academic credits. Institutes to develop suitable mechanism to monitor the progress of the student start-up journey and may also credit their activities appropriately.

- f. **Attendance:** Additional concession upto 15% on attendance can be considered as per the regulatory & Institute norms.

**2. Infrastructure Support:** Students are permitted to use various facilities/support system available within MAHE/Incubators as per their respective guidelines.

**3. Finance Support-** Institutions/Innovation Centre/Incubators can provision for seed funding as per their respective guidelines for student proposals which have potential for commercialization.

**4. Commercialization potential:**

- a) Thesis advisors, Project guides and mentors will evaluate project proposals of undergraduate and post graduate students, for commercialization potential and recommend for IPR.
- b) Commercial potential/IPR of PhD work of Researcher scholars to be evaluated by DAC/DoR periodically.
- c) Students are permitted to take their projects developed at MAHE, to other institutes or incubators, with due permission and agreement from their founding team members and MAHE Technology Transfer Office
- d) **Intellectual Property Rights (IPR):** MAHE Intellectual Property policy is applicable.

**5. Student Start-up**

- a) Students can be Directors of company/companies
- b) Students forming start-up need to register at MAHE TBIs and notify Head of Department/HOI, MAHE through proper channel
- c)
- d) Student start-ups can be provisioned for discounted incubation charges on a case to case basis.
- e) Student start-ups can recruit MAHE students as interns for their operational recruitment

**Note:** Students are strongly advised to graduate from their respective program well within the stipulated program duration.

## V. MAHE TBI Policy

1. Students, researchers, faculty, alumni, employees of MAHE and others can avail facilities and resources of TBIs.
2. Students, researchers, faculty, alumni and employees of MAHE (during their studies or work tenure) can incorporate a private limited company/LLP/Sec8 company under the Indian Companies Act at MAHE TBIs.
3. Students and researchers can undertake live projects at MAHI TBI as part of their academic degree utilizing the facilities of TBIs.
4. Students, researchers, faculty, alumni and employees of MAHE need to follow Admission procedures of the TBI and qualify through the screening process to get admitted for different programs according to the technology readiness level from time to time (Pre-incubation & Incubation)
5. TBIs provides a common pool of hard and soft infrastructure to be shared by all incubated companies. Infrastructure and Services provided to incubatee at a subsidized rate
6. Intellectual Property generated during the incubation at TBI by faculty/ staff/ student/alumni will be wholly owned by them.
7. Students, researchers, faculties, and current employees of MAHE are eligible for applying for MAHE Seed Funding and can work at TBIs for their Innovation and Entrepreneurship.
8. TBIs will place mechanisms for periodic assessment of incubatee and evaluate the performance every 3 months.
9. TBIs will execute agreements with incubatees and shall follow rules and regulations of TBI
10. Incubatees of TBIs can explore the availability of various funds/ grants/ schemes meant for this purpose as per the eligibility, terms and conditions of grants/funding agency.
11. Researchers, faculty, alumni and employees of MAHE can be associated with incubatees of MAHE TBIs in capacities of mentor, advisor, consultant and service provider.
12. MAHE shall share the available facilities, necessary resources and support through various committees for the incubatees of MAHE TBIs for technology development and commercialization, subject to mutual understanding and necessary approvals for their innovation and entrepreneurship activities.



Type/Categories of Start-ups:

1. Incubated at MAHE Incubator (all MAHE associated startups need to be Physically or Virtually associated with MAHE TBI)
2. Start-ups not incubated at MAHE Incubator
  - 2.1 Faculty/Students Start-ups Incubated at outside incubator (It is necessary for all employees and students to inform MAHE regarding their entrepreneurial activity, and also to avail any benefits, If they want any rights including IP, or to provide any services while being employees and students)
  - 2.2 Students Start-ups associated with Innovation Centre (provision for operational space only)
  - 2.3 Faculty/Students Start-ups neither incubated nor associated with Innovation Centre (They can only access the space/ facility/resources/instruments by means of virtual incubation)