



**POLICY FOR PROMOTION OF  
RESEARCH & CONSULTANCY  
(EXTRACT OF SERVICE & CONDUCT ORDINANCE  
FOR THE EMPLOYEES OF DIT UNIVERSITY)**



**DIT University**

**Mussoorie Diversion Road Dehradun, Uttarakhand-248009**

# Policy for Promotion of Research & Consultancy at DIT University, Dehradun

## **(EXTRACT OF SERVICE & CONDUCT ORDINANCE FOR THE EMPLOYEES OF DIT UNIVERSITY)**

Following steps have been taken by the University for Promotion of Research & Consultancy:

### **1) Professional Exposure and Development For Employees**

- (i)** The University seeks to provide professional exposure and development for its employees with a view to promote quality research and interaction with academia in National and International forum and to interact with Industry/Research Organizations and build the collaborative research capability at the University.
  
- (ii)** Academic staff is encouraged to produce high quality research publications. The University will allocate grants to provide support to promote research. Funding will vary and shall be based on the capacity/capability of the Department and is at the discretion of the Vice Chancellor. Provisions will be made as per the criteria and process to be proposed by the Board of Research of the University and approved by the Competent Authority and may cover all or part of the following for confirmed academic staff of the University:
  - a)** Registration Fee (as applicable) to publish the paper in National/International Journals.
  - b)** Travel/Accommodation allowances for oral presentations at National/International Conferences.
  - c)** The Registration Fee, Travel and Accommodation allowances will be provided for one National Conference on each completed one year of service as a confirmed employee, and one International Conference on each completed block of five years of service as a confirmed employee, subject to the availability of remaining funds allocated for this purpose in the University Budget.
  - d)** The allocation of grants for complete or partial support will be made based on the available grants and recommendations of the Vice Chancellor. Faculty members are also encouraged to get sponsorship/funding from different agencies at State, National and International level.
  
- (iii)** For participation in Conferences/seminars, Academic Leave needs to be availed. Otherwise EL may be applied for.

### **2) Building Professional Collaboration between University & Industry**

- (i)** Individual faculty members or Teams from the Departments (specialized teams within a Department or interdisciplinary teams) are encouraged to explore partnerships with Industry at various levels like collaborative consultancy or research projects. The project proposal has to be forwarded through the Board of Research.
- (ii)** The funds received from any consultancy projects shall be deposited in the University accounts and will be shared between the University and the concerned staff member(s).
- (iii)** As far as possible, 50% of the fund shall be requested from the awardee/sponsor to be disbursed in advance to the University.
- (iv)** All the disbursement of the fund shall take place after the completion of the consultancy project, satisfactory submission of the reports and receipt of the complete fund of the consultancy project from the awardee/sponsor.

(v) Any funds generated from such sponsored research/ consultancy projects shall be utilized for the development of the University.

(vi) The Ordinances Governing Consultancy Rules are annexed at Appendix 2.

**3) Conduct of Training Programs (MDPs, FDPs, EDPs, etc.)**

(i) The Faculty members are encouraged to conduct training programs and share their expertise for corporate and non-corporate executives to enhance efficiency and effectiveness at their place of work. This will also give them the opportunity to identify problem areas in the organizations from where the participants come and translate them into consultancy projects. This will also help them to enrich their knowledge to benefit students in the classroom.

(ii) This will augment the reputation of the University, generate additional revenues and will support faculty development activities.

(iii) The training programs could be of two types:

a) Sponsored Training Programs by Corporate / Non-corporate Organization

b) Open Training Programs floated by the faculty member(s)

(iv) The earnings from the training programs shall be deposited to the University and shall take care of all the expenses for conduct of the training programs. However, in case of a surplus, the faculty members may be provided a suitable honorarium per session by the University for conducting these training programs.

(v) Detailed guidelines on the above given at Appendix 1.

**4) Rewards And Recognition (R&R)**

(i) The University believes its staff should work in an environment where they are valued and where exceptional performance is recognized. Such an environment also provides greater job satisfaction, increased staff motivation, creativity and productivity, and improves attraction and retention rates. Exceptional performance is both the effort that achieves outstanding and visible results, and the quiet effort that is consistently applied to uphold and model the core values of the University. Exceptional performance that supports the University's vision, values and goals is encouraged, recognized and rewarded by the University.

(ii) **Four (04) categories of R & R are as stated in the following table :**

S. No.	Category	Criteria	Nature of Award and Process
1.	"On-the-Spot" Appreciation Award  (For an Individual or a Team)	Exceptional management/leading of a complex initiative smoothly and effectively. Exemplary service, beyond the call of duty, in resolving a student, staff or any other stakeholder issue. Acting as a catalyst for innovation, supporting and championing efforts that result in tangible benefits for the University.	A Letter of Appreciation from the Vice Chancellor. Award is based "on- the- spot" recommendation from any senior officer of the University and evaluated by a team as decided by the Dean/Head of Department to which the nominee belongs.
2.	Department Award for Outstanding Teaching and Research  (For an Individual)	Demonstrating creativity, imagination or innovation with clear results, in either traditional learning environments or technology-based environments. Investing time and effort in coaching and/or mentoring students and fellow faculty, and achieving success in improving capability and performance.	An Annual Department Award (Memento and Citation) Dean/Head of Department will constitute and chair the committee to recommend 2 shortlisted awardees to the Vice Chancellor. The Vice Chancellor shall constitute and Chair a committee that will make the final decision.
3.	University Award for Exemplary Leadership and Innovation	Demonstrating exemplary leadership, providing a sense of purpose, vision and mission to fellow employees and students, beyond what is expected and where great results have been achieved. Taking a proactive and innovative approach towards finding solutions to challenges to build the	An Annual University Award. (Memento and Citation) The Registrar shall invite nominations from all Deans/Heads of Departments. An Awards Committee Constituted by Vice Chancellor will recommend a short-list of

	(For an Individual or a Team)	capability of the University and thereby enhancing the reputation of the University. Working with the local, national and international communities, enhancing the University's status as a top quality education provider, employer and research institution. The development of a new idea, or improvement on an existing idea, that results in increased quality, productivity, efficiency or cost savings to the University.	three to the Vice Chancellor, Chancellor and Chairman BOG for their final decision on the prestigious award.
4.	Service Awards	On completion of 10, 15, 20 and 25 years of Meritorious Service	A citation and a memento/ award. Awarded by the Vice Chancellor.

(iii) The “On-the-Spot” Awards will be presented by the Vice Chancellor or Dean/Head of the concerned Departments as and when the award is decided. The Annual Awards, if any, will be presented on the University Foundation Day by the Chancellor or Chairman BOG. The Service Awards will be presented from time to time as required by the Vice Chancellor.

#### 5) Innovation, Incubation and Start-Up

DIT University motivates its faculty and staff members towards Innovation, Incubation and Start-Up through its Centre for Innovation, Incubation, Entrepreneurship & Startup Cell. Detailed policy is given at **Appendix 4**.

#### 6) Intellectual Property Rights

DIT University, Dehradun recognizes the importance of innovations, research, and findings translating them into products, processes and services for commercial benefits through Intellectual Property Right (IPR) protection. In order to achieve this, a detailed policy for Intellectual Property Rights is given at **Appendix 5**.

#### 7) Incentives Policy for the Faculty members

The following are the incentives/ rewards.

- (i) The faculty members who have stayed for longer duration with DIT University may be considered for faculty exchange programme/ higher studies /post-doctoral work in institutions of excellence.
- (ii) A faculty member scoring highest API points (not less than points against outstanding grade) in each cadre shall be considered for a cash prize of Rs. 50,000/- in that academic year. In case of tie, the quality of work will be further reviewed and accessed for this award.
- (iii) Professional Development Grants to all confirmed full time faculty members for procurement of books, journals, memberships of professional society(ies), procurement of software/hardware, participating in national conference and FDP/FIP/Workshop etc., would be as under:

- Professor and Associate Professor - Rs. 10000/- per annum
- Assistant Professor - Rs. 7,500/- per annum

A faculty member can accumulate it over a period of 3 years after which the same will be lapsed if not utilized. Faculty members can avail PDA submitting their requirement with proper justification. **Details guidelines are given in the Appendix 6.**

- (iv) Best Researcher and Trainer award be constituted annually. Modalities of such award should be worked out.
- (v) Providing Laptop/PC to all confirmed full time faculty members as a part of office furnishing.
- (vi) Providing Rs. 1,00,000/- (Rs. One Lac) one time seed money for startup research grant to the faculty members who hold Ph.D. degree at the time of joining. Detailed policy alongwith Forms is provided in the **Appendix 7**.
- (vii) Faculty members will be encouraged to present the research findings in International Conferences organized by societies/institutions of International repute (once in four years depending upon his consistent performance in Outstanding/Very Good category). The quantum of financial assistance provided will be to the extent of 50% of the travel expenses. To participate in international / national conferences the detailed policy is as given in the **Appendix 3**.
- (viii) Faculty members will be encouraged to present the research findings in National Conferences organized by societies/institutions of International repute (once every year depending upon his consistent performance in Outstanding/Very Good category). The quantum of assistance provided will be to the extent of 100% of the travel/registration expenses subject to a ceiling of Rs. 10,000/-.
- (ix) Faculty members will be encouraged to publish their research findings carried out at DIT University in journals cited in web of science, Scopus. Incentive will be provided to the faculty members as under:

Journal Category	Incentive in Academic Year (01 <sup>st</sup> July - 30 <sup>th</sup> June)
Impact Factor > 10	Rs. 50000/-
Impact Factor 5 - 9.99	Rs. 40000/-
Impact Factor 3 - 4.99	Rs. 25000/-
Impact Factor 1 - 2.99	Rs. 20000/-
Impact Factor 0.5 - 0.99	Rs. 15000/-
Impact Factor 0.1 - 0.49	Rs. 10000/-

Faculty members may please note that:

- the research must have relevance in the frontier areas of Science & Technology developments.
- the list of journals will be identified on the basis of Thomson Reuters and QS Ranking criteria.
- in case of multiple authors, the amount shall be distributed equally amongst all of them. Papers presented in National & International conferences shall not be covered under this category.

- (x) The University provides incentives to the faculty members who receive State/National/International Recognitions/Awards as under:

Category of Award	Incentives
Recipient of Bhatnagar Award	Rs. 50000/-
Fellowship of International and National bodies recognized at international level and National Science Foundation/ministry (Fellow of INSA, Fellow of INAE, Raman Fellowship, C V Raman Fellowship, IEEE Fellowship, Fulbright Fellowship)	In the range of Rs. 20,000/- to Rs. 25,000/- to be decided by the committee (one time)

Young Scientist award and any other equivalent award by reputed scientific in an organization.	Rs. 15000/-
Membership of organizing committee International Conferences and Workshop. The conferring this award will be decided by the committee on the basis of level of recognition of the conference.	Rs. 2500/-
Meritorious award for contribution in science by the recognized national / International body	Rs. 1000/-
Any other award as considered deemed fit by the recommending body of the university	Certificate for scientific contribution.

# **GUIDELINES FOR CONDUCTING EVENTS & CONFERENCES**

## **1. Preamble**

DIT University Dehradun, acknowledges that the academic or scholarly work or professional standing of a staff member may involve them, from time to time, in the organization of significant academic conferences, symposia, seminars and other professional meetings/events.

While organizing such events which are academic in nature, the convener and the associated staff members must ensure that the values of DIT University, Dehradun are followed. The basic aim to provide the guidelines is to streamline the process and provide a framework for organizers to lead the academic events successfully, thereby culminating in possible desired outcomes.

DIT University understands that while organizing or convening the academic events, be it conferences, symposia, seminars etc. staff members have a responsibility to manage the outcomes and ensure that the driven process is smooth. The protocol shall help the organizers to ensure that the events are operating within university policies, encouraging maximum external participants, optimal utilization of available resources, seeking advice and support from within the University, wherever appropriate.

## **2. Scope**

The policy document covers the conferences and events organized at DIT University, and in which, facilities, funds, or resources (including staff time) are used and/or which are endorsed by or held in the name of the University and may include conferences and events convened by staff on behalf of and in the name of external organizations. Such events include important national and international conferences/seminars/lectures which are academic in nature, and to which, dignitaries from outside the University may also be invited.

## **3. Objectives**

- To foster academic research and professional excellence.
- To embrace a culture of continuous learning.
- To promote strategic and responsible stewardship amongst academic fraternity.

## **4. Conference Policy**

- 1) All HoDs to prepare and submit comprehensive tentative plan in accordance with the pre-approved annual Departmental Budget for all conferences, events, seminars & workshops to be conducted in subsequent financial year. The same shall be reviewed and approved by the Competent Authority.
- 2) In case, the tentative cost of event, workshop, seminar or conference exceeds the approved budget, the same should be pre-approved by the Competent Authority for such additional budget.

All national and international conferences and events to be convened in the name of the University or on behalf of and in the name of an external organization, must be approved by the Competent Authority.

### **4.1 Responsibility of the Convener**

The convener needs to keep some of the basic points in view:-

- Profile of the Chief Guest/Guest of Honor/Keynote Speaker be shared well in advance with the office of Chancellor/Vice Chancellor.



- While selecting the venue, the expected gatherings and nature of conference should be taken into consideration.
- Duration of inaugural and valedictory function shall be in accordance with the timeline, it is advisable to keep it between 45 to 60 minutes. Also, any integration of keynote speech / plenary lecture / any long speech with inaugural and valedictory function be strictly avoided.
- The name of the Chief Patron and Patron should be available on all promotional material and in all communication pertaining to the academic event.
- The invitation to the University authorities shall be sent in advance to avoid last minute mismanagement, they should be escorted to the venue by the team members of organizing committee.
- All communications for the event are to be done from official e-mail id as approved by the Competent Authority and same to be used for all sorts of promotion/sharing of any other information specific to event.

#### 4.2 Timeline for submission of proposal

Proposals for the approval of an academic event should normally be submitted at least 6 months prior to an international event, at least 3 months prior to a national event and 2 months prior to a local event.

#### 4.3 Branding and Publicity

All branding, marketing, publicity, and public relation activity, pertaining to the conference / event should be conducted in accordance with requirement of the event and ensuring consistency with university brand, standards, and styles. The marketing team of the university may be consulted as per need for ensuring consistency. Promotional material should be pre-approved by the Registrar, before initiation of such branding, marketing, publicity, etc.

#### 4.4 Conference Proposal and Approval

##### 4.4.1 Guidelines

Sl. No	Description
1	The names of the conference / event convener The Title of the conference
2	The nature of the event, date(s), time and locations, its aims and objectives, intended segment or target audience and anticipated benefits to DIT University, Dehradun and to the community
3	The names of the Conference / Seminar / Event Coordinator/ Convener and Core Committee staff members
4	The intended participating bodies, organizers and sponsors Nature of University involvement Foreshadowed external sponsorship Foreshadowed VIP / Dignitaries visits / involvement

5	<p>Project Plan</p> <p>Operational Management:-</p> <p>Scheduling, Booking of facilities and facilities management</p> <p>Marketing, Publicity and Public Relation</p> <p>Requirement of Administrative support</p> <p>Registration method, Invoice, Receipt generation, payment, refunds</p> <p>Technical infrastructure &amp; support (Audio-visual, computer, internet)</p> <p>Equipment to be hired if any</p> <p>Registration desk, Nametags, Souvenirs etc.</p> <p>Security, Catering, Cleaning; Signage</p> <p>Accommodation, parking, and transport</p>
6	<p>A draft budget in detail showing the following:-</p> <ul style="list-style-type: none"> <li>• All items of expenditure</li> <li>• Fees to be charged, if any and projected attendance</li> <li>• Sponsorships or sources of bridging finance</li> </ul>
7	Theme of the event and design details
8	Formation of organizing committee, meeting dates with timeline, roles and responsibilities of the members
9	<p>Detailed profile of the Chief Guest / Guest of Honor / Key Note Speaker to be shared.</p> <p>Once confirmed, same to be communicated to the office of Chancellor and Vice Chancellor</p>
10	Reporting details with supporting documents along with an audited statement of expenditure incurred during the event, to be submitted on completion of the event by the Convener duly after verified by the concerned HoD.

## 5. Financial Support

Prior to finalization of conferences / events, all estimated expenses and estimated income need to be discussed with Head-Finance & Accounts and arrive at the deficit / surplus. In case of estimated deficit, University can augment the same from its budget. The maximum financial support from the University can be provided as per the policy laid down by University from time to time in a particular financial year (National Conference Rs 50,000/- as proposed and for International Conference, Rs 1,00,000/- as proposed).

### 5.1 Sponsorships

All sponsorship details must be supported by MoUs, duly signed by Registrar, post approval.

### 5.2 Collection of Funds

All types of fees to be collected for workshop, event, seminar, conference, etc., (for-example membership fees, sponsorship amount etc.) is to be mandatorily remitted directly to University's designated bank accounts. There should not be any direct collection in cash or any other mode by faculty or student. Please note that University will accept all types of fees in CASHLESS mode only. Hence, the participants should have Debit Card / Credit Card/ Net banking facilities. Event coordinator

should collect transaction references, UTR numbers from all participants and inform Finance Department regularly before commencement of event and final collection details must be submitted within 2 days from the completion of event for proper accounting.

### **5.3 Procurement & Purchase**

The organizers of the event need to ensure that all kinds of procurements are in accordance with University's purchase policy. The vendor payments will be settled directly by DIT University on submission of original invoices through NEFT / RTGS. There should not be any direct settlement of vendors' bills by organizer or any organizing committee member.

The University Authorities may direct the concerned to procure goods by forming a spot buy committee in special / urgent cases, if required.

***The University reserves right to modify the above guidelines as deemed fit from time to time.***

# **THE ORDINANCES RELATING TO CONSULTANCY**

## **RULES**

## I PREAMBLE

DIT University considers Consultancy Projects as an important means for extending benefit of scientific research of the University to various sections of the industry and governance, thus broadening the experience base of the University community and as a tool for contributing to the country's industrial and economic growth. Consultation services are encouraged in specialized areas where the University has exclusive competency, and not in the areas of routine work. Appropriate consultancy projects, in addition to providing much needed service to the industry, also benefits the concerned faculty members and the University in several ways. They enrich the professional experience and knowledge of faculty members and thus make them better educators. Consultancy projects provide first-hand knowledge of the current problems of industry which is very helpful in tuning the curriculum to the present needs. While the University encourages the faculty members to undertake Consultancy projects, it is expected that the time spent by a faculty member on Consultancy projects will not exceed one day per working week. The faculty members, while undertaking such projects, are expected to uphold the reputation and prestige of the university at all times.

## II DEFINITIONS

- (i) **University** means DIT University, Dehradun.
- (ii) **Department** means the Academic Department of the University.
- (iii) **Vice Chancellor** means the Vice Chancellor of DIT University.
- (iv) **Dean of Research and Consultancy (Dean R&C)** means Dean of Research and Consultancy of DIT University.

## III TYPES OF CONSULTANCY PROJECTS

- (i) Type-I Consultancy Project means a Consultancy Project which does not use laboratory facilities of the University.
- (ii) Type-II Testing Project means a project which utilizes the laboratory facilities of the University or repetitive jobs needing marginal intellectual input. Such projects will cover testing of material/ equipment in laboratory, wherein only the testing results are to be communicated.

**IV PRINCIPAL INVESTIGATOR (PI)** means a faculty member of the University with necessary expertise and competence to conduct a consultancy work. Normally, the faculty who submits the project proposal and negotiates with the client sponsor and is instrumental in getting the project is the PI. PI is responsible for the deliverables to the client. PI shall decide involvement of other investigators and sharing of consultation fees.

- (i) **Co-Investigator (CI)** means a person from amongst the faculty co-opted by the Principal Investigator to work jointly with him/her on the project.

**V ASSIGNMENT OF CONSULTATION:** The consultancy projects will be assigned as under: -

- (i) **Individual:** In this case the project is received in the name of an individual or individuals. (Dean R&C) will nominate one faculty member as PI. The PI shall have overall responsibility of the project.
- (ii) **Department:** In this case the project comes to the Department. The Head of the respective Department shall assign a PI for the project in consultation with (Dean R&C).
- (iii) **University:** In this case the project comes to the University and (Dean R&C) shall assign PI for the project.

## **VI CONSULTATION TIME:**

- (i) While the University encourages the faculty members to undertake Consultancy projects, it is expected that the time spent by a faculty member on Consultancy projects will not exceed one day in a working week and shall also not disturb the normal teaching or other duties of the university. In case of traveling for consultation purpose Academic Leave rules will be applicable. No extra Academic Leave is admissible for consultation.
- (ii) The consultancy work shall be considered to be over and above all other duties assigned.

## **VII GENERAL**

- (i) Individuals or Departments may take up Consultancy work only after taking approval of the (Dean R&C) through the Head of the concerned Department.
- (ii) The report of Consultancy Projects will be signed by the respective Investigator(s) the Head of the Department.
- (iii) All payments in connection with Consultancy Projects shall be received in the name of the Registrar, DIT University, Dehradun.
- (iv) In case of multi-disciplinary/ inter-departmental projects, a single project can be divided into sub-projects on mutually agreed terms, by the consenting departments/laboratories.
- (v) Report(s) and data collected/ originated out of consultancy project are the joint Intellectual Property of the University and the investigators. If the client needs a different agreement, such agreement shall be entered into with the prior approval of the Dean R&C who will decide in consultation with the Vice Chancellor.
- (vi) All types of agreements shall be legally got vetted through the Registrar of the University.
- (vii) The responsibility of the successful completion of the project, maintenance of Standard Operating Procedures (SOP) and ethical standards lies with the PI.
- (viii) As far as possible, 50% of the fund shall be requested from the awardee/sponsor to be disbursed in advance to the University.

## **VIII EXPENDITURE NORMS**

- (i) Student Assistants: The Investigator(s) may engage the University Students (who may or may not be getting fellowship) as Student Assistants with the approval of Dean R&C for consultancy and testing work on payment of Rs.100/-per hour subject to a maximum of 50 hours per month. The expenditure on this account can be booked under manpower charges/ contingency.
- (ii) Hospitality: Expenses incurred on reasonable hospitality not exceeding Rs.400/- per head per meal and Rs.150/- per head for snacks etc. in connection with the consultation work can be charged as expenses. The expenses towards hospitality may be with reference to the rate prescribed in the rate contracts of the University.
- (iii) Travel: The most expeditious and convenient mode of travel should be used to minimize period of absence from the University. There will be no restriction placed by the University on the mode of travel. Actual boarding & lodging expenses will be paid on production of receipt. Expenses on local travel by taxi will be reimbursed against cash receipt as per actuals. All these expenses will be met out of the consultancy project funds. All the claims shall duly approved by the Dean R&C.

**IX SHARING OF CONSULTANCY FEES:**

- (i) **Individual Consultancy Projects or Type – I Projects:** For Consultancy work without use of Laboratory facilities, the norms for calculation of various percentages for distribution of the total money received from client (excluding service tax) will be as follows:
- a) Total money received from client = G
  - b) Service Tax = L
  - c) Total contracted amount T = G-L
  - d) Amount of University overhead F = 0.20 T
  - e) Total Expenditure on the project = E
  - f) Remaining Amount S = (T-F) – (E)

Amount S shall be distributed between the University and Investigators as given in point 9.3 below.

- (ii) **Testing projects involving use of laboratory facilities (Type-II):** For Consultancy work involving use of Laboratory facilities, the norms for calculation of various percentages for distribution will be as follows:
- a) Total money received from client = G
  - b) Service Tax = L
  - c) Total contracted amount T = G-L
  - d) Amount of University overhead F = 0.30T
  - e) Total expenditure on the project = E
  - f) Remaining Amount S = (T-F) – (E)

- (iii) Amount S shall be distributed between the University and Investigators and other staff in the following ratio :-
- a) In case the project is brought with the efforts of the faculty members the S amount shall be shared in the ratio of 35:65 between University and the Investigators respectively.
  - b) In case the project comes the University the S amount shall be shared in the ratio of 50:50 between University and the Investigators respectively.

Distribution of remuneration shall normally take place at the completion of the project. However, for large projects interim disbursements shall be allowed on recommendation of PI and approval of Dean R&C. Distribution of remuneration among the partners of a project shall be the prerogative of the PI. If any consultation amount remains unclaimed after the employee ceases to work at the University the entire amount shall be treated as University overhead.

- (iv) **Utilization of the University Share:** The University share shall be utilized in fostering and nurturing excellence in research. The amount received from projects will be kept in two funds, one for the University and the other for the concerned Department. The main purpose of the fund will be to renew and modernize the laboratory facilities. The equipment used frequently for testing purposes will be maintained from this fund. In addition, the fund shall be available to faculty members/Departments/Schools of the University for attending conferences, scientific meetings, national and international visits, shortfall funding for equipment etc. as per priority of the University. The Departmental fund shall be utilized as per the discretion of the Department. The distribution shall be:

Type of Fund	Percentage
University Development Fund	80%
Department Development Fund	20%

- (v) **Total remuneration from consultancy/ testing works:** The total annual gross remuneration to be received from consultancy projects including departmental consultancy and testing during a financial year by an individual will be limited to the gross salary (Basic+GP+DA) drawn by the concerned person.

#### **X BUDGETARY NORMS FOR CONSULTANCY PROJECTS**

- (i) **Total Charges:** The total agreed charges of a Consultancy project will consist of the actual expenses, University overheads and share from the surplus and the remuneration to be distributed to the faculty and staff. The actual expenses should cover the following costs related to the project:
- a) Permanent equipment to be procured / fabrication of equipment or models.
  - b) Consumable materials.
  - c) Travel expenses in connection with the project work.
  - d) Computational or other charges the Investigator(s) may have to pay to the University or any other outside agency in the course of the execution of the work.
  - e) Charges to be paid for the use of specific equipment in the departments or central facilities.
  - f) Contingency expenses to cover cost of supplies, preparation of report, typing, word processing, drawing, drafting, stationery, reproduction, literature (books, journals, membership fee for professional societies), postage, courier, FAX and telephone (including rental and STD/ ISD call bills of telephone at residence or mobile phones), cost of insurance of personnel/ equipment being used for the project and medical reimbursement on duty (excluding major ailments) for staff etc.
  - g) Expenses for work to be carried out on payment basis, remuneration to student assistants.
  - h) Any other costs considered appropriate.
- (ii) While preparing proposal, provision for Service Tax, as applicable, shall be made over and above the total contracted amount. The service tax will be applicable as per prevailing government rates.
- (iii) While making allocations to the different heads of expenditure of the project the budgetary provision should be kept in view by the Investigator(s).
- (iv) The Investigator(s) while seeking approval of expenditure from Project funds should specifically mention the project budget head to which that expenditure will be debited.
- (v) While incurring expenditure, it shall be the responsibility of the Investigator(s) to ensure that the expenditure being incurred is within the approved budget limits and the funds are available against the respective head.
- (vi) All expenses shall be committed and expenditure is incurred after due approval of the Dean R&C and in consultation with the Finance Officer.

#### **XI CONSULTANCY FEE**

There are no rigid norms for calculating the Consultation fee. This depends upon several factors such as the time spent, the importance of the advice and the experience of the faculty, etc. While estimating the Consultancy fee chargeable to the client, the Investigator(s)/Head of the Department should keep in mind that only part of the total fee is available for distribution among the faculty, staff, and students. The remuneration will be paid to the faculty / staff as per norms and on the recommendation of the Investigator/Head of the Department. Saving from the Consultancy charges will be divided between the University and the faculty/ staff after taking into consideration all expenses as per norms for the purpose.

#### **XII BUDGETARY NORMS FOR TESTING JOBS**

The University may undertake testing services by charging a standard fee as approved by the University. The testing report will be prepared by the Lab In-charge and countersigned by the Head of the Department.



**POLICY FOR SANCTION OF FINANCIAL ASSISTANCE TO ATTEND CONFERENCE / SEMINAR / SHORT TERM COURSE / WORKSHOP / FACULTY DEVELOPMENT PROGRAM / REFRESHER COURSES / PERSONALITY DEVELOPMENT PROGRAM/ MANAGEMENT DEVELOPMENT PROGRAM/TRAINING ETC. IN INDIA / ABROAD**

The faculty members, other Academic & Scientific staff conduct research in their core areas of teaching and produce research papers, articles or reports and share them with the academicians, industry representatives, policy makers, experts and students at national and international levels. Participation in national and international conferences/seminars/ workshops/symposia provide a platform to them.

DIT University would like to encourage its academic community to present its research based papers and the University intends to fund their travel and other expenses to the possible extent. For this purpose the following guidelines will apply:

1. All the faculty members should obtain pre approval from HoD/ Dean(RNC)/ Director of respective faculty to attend any of the events by submitting details on the prescribed format duly recommended by their respective HOD/Dean/Director.
2. Each faculty member is eligible for only two national level travels in a financial year and one international travel during a period of 3 financial years.
3. Out of the two national level participations, at least one should be a paper presentation which shall be subsequently published in a reputed journal.
4. The international participation should be essentially research paper presentation.
5. Financial assistance from DIT University will be provided subject to availability of funds. However, faculty will be encouraged to apply to other funding agencies like DST, CSIR etc.
6. All approvals for one of this events / programs will be accorded along with duty leave.
7. Partial Grants / lump sum amount approvals may also be accorded depending upon financial position / assistance being given by organizers.
8. In case there is fully sponsored invitation, the Director/VC may allow the faculty member to participate in the conference/seminar with no financial commitment from the Institute.
9. The Non-teaching staff would be eligible for one national level participation in a financial year and one international participation 5 years depending on funds availability.
10. In exceptional cases, the Director / VC may allow to exceed the number of participation on shared cost basis up to 50% if the paper has been accepted / invited by reputed organizers.

**Application for financial assistance to attend conference/Seminar/Short term Course/ Workshop/Faculty Development Program/Refresher Courses/Personality Development Program/ Management Development Program / Training etc. in India / Abroad.**

1.	Name	
2.	Designation & Department	
3.	Name and address of the Institute /University/ Course Organizer (To be visited)	
4.	Purpose of Visit	FDP/FIP/QIP/Workshop/Conference/Seminar/Other.....
5.	Name of the Event / Title of the paper to be presented.	
6.	Authors (for Conference / Seminar)	
7.	Date of the Event	
8.	Financial Assistance offered by the hosting / organizing institution.	Waiver of Conference / workshop fee: TA/DA : Local Hospitality :
9.	Financial Support Needed from DIT University (Give Breakup)	Yes / No ..... .....
10.	No. of Conferences/ Workshop/ Courses attended last academic year (Give details if yes)	
11.	Arrangements for Class/ Exam duty During your absence	
12.	Recommendations of HoD	
13.	Recommendations of Dean R&C / Dean, Academic Affairs	
14.	HR Recommendation on eligibility through Registrar	
15.	Fund cleared by Finance Officer	CCTR .....GL A/c ..... Fund cleared for Rs . ..... out of Budget head.  Finance Officer

Recommendations of: \_\_\_\_\_ Approved/Not Approved

Director – Engineering/Pharmacy/Architecture \_\_\_\_\_ Vice Chancellor, DIT University

- Enclosures:**
- Attach Letter of invitation / acceptance of the paper including the terms & conditions of the host institution on financial assistance offered etc.
  - Tick marks the check list overleaf.

# **INNOVATION, INCUBATION AND START-UP POLICY FOR STUDENTS, FACULTY AND STAFF**

## Introduction

Centre of Innovation, Incubation, Entrepreneurship & Start-ups (CIIES), is set up to promote innovation and entrepreneurship among the Faculty, Staff, Research Scholars, Students at DIT University and start-up from vicinity. To accomplish its goal, CIIES runs and manages a Centre of Innovation and Technology Business Incubator at DIT University, Dehradun. This policy will also facilitate Intellectual Property ownership management, technology licensing and institutional Start-up policy, thus enabling creation of a robust innovation and Start up ecosystem across DIT University. The policy is subject to periodical review and amendments.

### 1. Strategies and Governance

- A. Entrepreneurship promotion development will be one of the major dimensions of the DIT University strategies. To facilitate development of an entrepreneurial ecosystem in the DIT University and nearby area, specific objective and associated performance indicator will be periodically defined for assessment.
- B. Implementation of entrepreneurial vision in DIT University will be achieved through mission statements rather than stringent control system. The entrepreneurial agenda will be responsibility of the Director, CIIES to bring in required commitment and well understood by the Top Management. However, promoting entrepreneurship requires a different type of mindset as compared to other academic activities. Therefore, Director, CIIES will have large industry and business exposure.
- C. Resource mobilisation plan will be worked out at the DIT University level for supporting innovation, pre-incubation, incubation infrastructure and facilities. A sustainable financial strategy will be defined in order to reduce the organizational constraints to work on the entrepreneurial agenda.
  - i. Investment in the entrepreneurial activities will be a part of the institutional financial strategy. Minimum 1% fund of the total annual budget of the institution will be allocated for funding and supporting innovation and start-ups related activities through creation of separate 'Innovation fund'.
  - ii. The strategy will also involve raising funds from diverse external funding sources through government (state and central) such as DST, DBT, MHRD, AICTE, TDB, TIFAC, DSIR, CSIR, BIRAC, NSTEDB, NRDC, Start-up India, Invest India, MeitY, MSDE, MSME, etc. and non-government sources.
  - iii. To support technology incubators, DIT University will approach private and corporate sectors to generate funds, under Corporate Social Responsibility (CSR) as per Section 135 of the Company Act 2013.
  - iv. DIT University will also raise funding through sponsorships and donations. We will actively engage alumni network for promoting Innovation & Entrepreneurship.
- D. For expediting the decision making, hierarchical barriers will be minimized through empowering the CIIES team and individual autonomy and ownership of initiatives will be promoted.

- E. Importance of innovation and entrepreneurial plan will be known across the DIT University and will be promoted and highlighted at University Academic Calendar programs such as conferences, convocations, workshops, etc.
- F. Action plan will be formulated at DIT University level, having well-defined short-term and long-term goals.
- G. DIT University will develop and implement innovation and entrepreneurship strategy and policy for the entire university in order to integrate the entrepreneurial activities across various centre for excellence, departments, faculties, career services within the University, thus breaking the silos.
- H. Product to market strategy for start-ups can be developed by the DIT University on case to case basis.
- I. Development of entrepreneurship culture should not be limited within the boundaries of the University.
  - i. DIT University will be the driving force in developing entrepreneurship culture in its vicinity (regional, social and community level). This shall include giving opportunity for regional start-ups, provision to extend facilities for outsiders and active involvement of the University in defining strategic direction for local development.
  - ii. Strategic international partnerships should be developed using bilateral and multilateral channels with international innovation clusters and other relevant organizations. Moreover, international exchange programs, internships, engaging the international faculties in innovation and entrepreneurship will also be promoted.

## **2. Start-ups Enabling DIT University Infrastructure**

Pre-incubation and incubation facilities for nurturing innovations and start-ups will be created. Incubation and Innovation can be organically interlinked and effort will be to link Innovation to Enterprises to Financial Success.

- A. DIT University will create Centre of Innovation, Incubation, Entrepreneurship and Start-up under which Centre of Innovation, Technology Business Incubator and Student Innovation and Entrepreneurship Club will be working by mobilizing resources from internal and external sources.
- B. Pre-Incubation/Incubation facility will be accessible 24x7 to students, staff and faculty of all disciplines and departments across the University including start-up from vicinity.
- C. Pre-incubation facilities will be managed by DIT Incubation Foundation, which will be a separate entity, registered under Section-8 of Company Act 2013. This will allow more freedom to Technology Business Incubators in decision making with less administrative hassles for executing the programs related to innovation, IPR and Start-ups. Moreover, they will have better accountable towards investors supporting the incubation facility.
- D. Technology Business Incubator (TBI) will offer mentoring and other relevant services through Pre-incubation/Incubation process in-return for fees, equity sharing and (or) zero payment basis. The modalities regarding Equity Sharing in Start-ups supported through TBI will depend upon the nature of services offered.

### 3. Nurturing Innovations and Start ups

- A. DIT University will establish processes and mechanisms for easy creation and nurturing of Start-ups/enterprises by students, staff (including temporary or project staff), faculty, alumni and potential start up applicants even from outside the institutions.
- B. Technology Business Incubator will define their processes and will ensure to achieve the following:
  - i. Incubation support: Pre-incubation & Incubation facility to start-ups by students, staff and faculty for mutually acceptable time-frame.
  - ii. DIT University will be allowed to take IPR license on the developed technology on easy term, either in terms of equity in the venture and/ or license fees and/ or royalty to obviate the early stage financial burden.
  - iii. DIT University may allow their students / staff to work on their innovative projects and setting up start-ups (including Social Start-ups) or work as intern / part-time in start-ups (incubated in any recognized Incubators) while studying / working with due approval of competent authority. Student Entrepreneurs may earn credits for working on innovative prototypes/Business Models. DIT University will develop clear guidelines to formalize this mechanism. Student inventors may also be allowed to opt for start-up in place of their mini project/ major project, seminars, summer trainings. The area in which student wants to initiate a start-up may be interdisciplinary or multidisciplinary. However, the student must describe how they will separate and clearly distinguish their ongoing research activities as a student from the work being conducted at the start up.
- C. Students who are under incubation, but are pursuing some entrepreneurial ventures while studying will be allowed to use their address in the institute to register their company with due permission from the Director(CIIES) and Pro-Vice Chancellor, DIT University.
- D. Student entrepreneurs will be allowed to sit for the examination, even if their attendance is less than the minimum permissible percentage, with due permission from Director (CIIES) and Pro-Vice Chancellor, DIT University.
- E. DIT University will allow their students to take a semester/year break (or even more depending upon the decision of review committee constituted by the University) to work on their start-ups and re-join academics to complete the course. Student entrepreneurs may earn academic credits for their efforts while creating an enterprise. DIT University will set up a review committee for review of start up by students, and based on the progress made, it may consider giving appropriate credits for academics.
- F. DIT University will explore provision of accommodation to the entrepreneurs within the campus for some period of time.
- G. DIT University may allow faculty and staff to take off for a semester / year (or even more depending upon the decision of review committee constituted by the University) as sabbatical/ unpaid leave/ earned leave for working on start-up and come back. University may consider allowing use of its resource to faculty/students/staff wishing to establish start up as a fulltime effort. The seniority and other academic benefits during such period may be preserved for such staff or faculty.

- H. DIT University will start start-up and entrepreneurship subject for students. However, in long term University may decide to start part-time/full time MS/ MBA/ PGDM (Innovation, entrepreneurship and venture development) program where one can get degree while incubating and nurturing a start-up company as per guideline issued by AICTE.
- I. DIT University will facilitate the start-up activities/ technology development by allowing students/ faculty/staff to use University infrastructure and facilities, as per the choice of the potential entrepreneur in the following manners:
- i. Short-term/ six-month/ one-year part-time entrepreneurship training.
  - ii. Mentorship support on regular basis.
  - iii. Facilitation in a variety of areas including technology development, ideation, creativity, design thinking, fund raising, financial management, cash-flow management, new venture planning, business development, product development, social entrepreneurship, product costing, marketing, brand-development, human resource management as well as law and regulations impacting a business.
  - iv. University may also link the start-ups to other seed-fund providers/ angel funds/ venture funds or itself may set up seed-fund once the incubation activities mature. Further, necessary incentive in terms of resources, infrastructure, finance, time and support for students and faculties will be provided as per need basis.
  - v. License institute IPR as discussed.
- J. In return of the services and facilities, Technology Business Incubator may take 2% to 9.5% equity/ stake in the start-up/company, based on brand used, faculty contribution, support provided and use of institute's IPR (a limit of 9.5% is suggested so that University has no legal liability arising out of start-up. The University will normally take much lower equity share, unless its full-time faculty/ staff have substantial shares). Other factors for consideration should be space, infrastructure, mentorship support, seed funds, support for accounts, legal, patents etc.
- i. For staff and faculty, institute can take no-more than 20% of shares that staff / faculty takes while drawing full salary from the University; however, this share will be within the 9.5%cap of company shares, listed above.
  - ii. No restriction on shares that faculty / staff can take, as long as they do not spend more than 20% of office time on the start-up in advisory or consultative role and do not compromise with their existing academic and administrative work / duties. In case the faculty/ staff holds the executive or managerial position for more than three months in a start-up, then they will go on sabbatical/ leave without pay/ earned leave.
  - iii. In case of compulsory equity model, Start-up may be given a cooling period of 3 months to use incubation services on rental basis to take a final decision based on satisfaction of services offered by the TBI.
- K. The TBI will also provide services based on mixture of equity, fee-based and/ or zero payment model. So, a start-up may choose to avail only the support, not seed funding, by the TBI on rental basis.
- L. TBI could extend this start-up facility to alumni of the University as well as outsiders.



- M. Participation in start-up related activities needs to be considered as a legitimate activity of faculty in addition to teaching, R&D projects, industrial consultancy and management duties and must be considered while evaluating the annual performance of the faculty. Every faculty may be encouraged to mentor at least one start-up.
- N. Product development and commercialization as well as participating and nurturing of start-ups would now be added to a bucket of faculty-duties and each faculty would choose a mix and match of these activities (in addition to minimum required teaching and guidance) and then respective faculty are evaluated accordingly for their performance and promotion.
- O. University might also need to update/change/revise performance evaluation policies for faculty and staff as stated above.
- P. DIT University and TBI ensure that at no stage any liability accrues to it because of any activity of any start-up.

#### **4. Product Ownership Rights for Technologies Developed at DIT University**

- A. When DIT University facilities / funds are used substantially or when IPR is developed as a part of curriculum/ academic activity, IPR is to be jointly owned by inventors and the DIT University.
  - i. Inventors and DIT University could together license the product / IPR to any commercial organisation, with inventors having the primary say. License fees could be either / or a mix of
    - 1. Upfront fees or one-time technology transfer fees
    - 2. Royalty as a percentage of sale-price
    - 3. Shares in the company licensing the product
  - ii. DIT University will not hold the equity as per the current statute, so DIT Incubation Foundation will hold equity on their behalf.
  - iii. If one or more of the inventors wish to incubate a company and license the product to this company, the royalties would be no more than 4% of sale price, preferably 1 to 2%, unless it is pure software product. If it is shares in the company, shares will again be 1% to 4%. For a pure software product licensing, there may be a revenue sharing to be mutually decided between the DIT Incubation Foundation and the incubated company.
- B. On the other hand, if product/ IPR is developed by innovators not using any DIT University facilities, outside office hours (for staff and faculty) or not as a part of curriculum by student, then product/ IPR will be entirely owned by inventors in proportion to the contributions made by them. In this case, inventors' can decide to license the technology to third parties or use the technology the way they deem fit.
- C. If there is a dispute in ownership, a minimum five member committee consisting of two faculty members (having developed sufficient IPR and translated to commercialisation), two of the DIT University industry experts /alumni (having experience in technology commercialisation) and one legal advisor with experience in IPR, will examine the issue after meeting the inventors and help them settle this, hopefully to everybody's satisfaction. DIT University can use alumni/ faculty of other institutes as members, if they cannot find sufficiently experienced alumni / faculty of their own.

- D. DIT University Centre of Innovation or Technology Business Incubator will only be a coordinator and facilitator for providing services to faculty, staff and students. They will have no say on how the invention is carried out, how it is patented or how it is to be licensed however in specific case, clarifications can be sought. When DIT University is paying for patent filing, University will constitute a committee which can examine whether the IPR is worth patenting. The committee should consist of faculty who have experience and excelled in technology translation. If inventors are using their own funds or non-university funds, then they alone should have a say in patenting.
- E. DIT University decision-making body with respect to incubation / IPR / technology-licensing will consist of faculty and experts who have excelled in technology translation.
- F. Interdisciplinary research and publication on start-up and entrepreneurship will be promoted by the DIT University.

## **5. Organizational Capacity, Human Resources and Incentives**

- A. DIT University will recruit staffs that have a strong innovation and entrepreneurial/ industrial experience, behaviour and attitude. This will help in fostering the Innovation and entrepreneurial culture.
  - i. Some of the relevant faculty members with prior exposure and interest should be deputed for training to promote innovation and entrepreneurial.
  - ii. To achieve better engagement of staff in entrepreneurial activities, DIT University policy on career development of staff should be developed with constant up skilling.
- B. Faculty and departments of the DIT University will work in coherence and cross-departmental linkages will be strengthened through shared faculty, cross-faculty teaching and research in order to gain maximum utilization of internal resources and knowledge.
- C. Periodically some external subject matter experts such as guest lecturers or alumni can be engaged for strategic advice and bringing in skills which are not available internally.
- D. Faculty and staff will be encouraged to do courses on innovation, entrepreneurship management and venture development.
- E. In order to attract and retain right people, DIT University will develop academic and non-academic incentives and reward mechanisms for all staff and stakeholders that actively contribute and support entrepreneurship agenda and activities.
- F. The reward system for the staff may include sabbaticals, office and lab space for entrepreneurial activities, reduced teaching loads, awards, trainings, etc.
- G. The recognition of the stakeholders may include offering use of facilities and services, strategy for shared risk, as guest teachers, fellowships, associateships, etc.
- H. A performance matrix will be developed and used for evaluation of annual performance.

## **6. Creating Innovation Pipeline and Pathways for Entrepreneurs at DIT University Level**

- A. To ensure exposure of maximum students to innovation and pre incubation activities at their early stage and to support the pathway from ideation to innovation to market, mechanisms will be devised at DIT University level.
  - i. Spreading awareness among students, faculty and staff about the value of entrepreneurship and its role in career development or employability will be a part of the DIT University entrepreneurial agenda.
  - ii. Students/ staff will be taught that innovation (technology, process or business innovation) is a mechanism to solve the problems of the society and consumers. Entrepreneurs will innovate with focus on the market niche.
  - iii. Students will be encouraged to develop entrepreneurial mindset through experiential learning by exposing them to training in cognitive skills (e.g. design thinking, critical thinking, etc.), by inviting first generation local entrepreneurs or experts to address young minds. Initiatives like idea and innovation competitions, hackathons, workshops, boot camps, seminars, conferences, exhibitions, mentoring by academic and industry personnel, throwing real life challenges, awards and recognition will be routinely organized.
  - iv. To prepare the students for creating the start up through the education, integration of education activities with enterprise-related activities will be done.
- B. DIT University will link their start-ups and companies with wider entrepreneurial ecosystem and by providing support to students who show potential, in pre-start-up phase. Connecting student entrepreneurs with real life entrepreneurs will help the students in understanding real challenges which may be faced by them while going through the innovation funnel and will increase the probability of success.
- C. DIT University will establish Institution's Innovation Councils (IICs) as per the guidelines of MHRD's Innovation Cell and allocate appropriate budget for its activities. IICs should guide institutions in conducting various activities related to innovation, start-up and entrepreneurship development. Collective and concentrated efforts should be undertaken to identify, scout, acknowledge, support and reward proven student ideas and innovations and to further facilitate their entrepreneurial journey
- D. For strengthening the innovation funnel of the DIT University, access to financing must be opened for the potential entrepreneurs.
  - i. Networking events must be organized to create a platform for the budding entrepreneurs to meet investors and pitch their ideas.
  - ii. Provide business incubation facilities: premises at subsidised cost. Laboratories, research facilities, IT services, training, mentoring, etc. will be accessible to the new start-ups.
  - iii. A culture needs to be promoted to understand that money is not FREE and is risk capital. The entrepreneur must utilize these funds and return. While funding is taking risk on the entrepreneur, it is an obligation of the entrepreneur to make every effort possible to prove that the funding agency did right in funding him/ her.

- E. DIT University must develop a ready reckoner of Innovation Tool Kit, which must be kept on the homepage on University website to answer the doubts and queries of the innovators and enlisting the facilities available at the University.

## **7. Norms for Faculty Start-ups**

- A. For better coordination of the entrepreneurial activities, norms for faculty to do start-ups will be created by the DIT University. Only those technologies will be taken for faculty start-ups which originate from within the DIT University.
  - i. Role of faculty may vary from being an owner/ direct promoter, mentor, consultant or as on-board member of the start-up.
  - ii. DIT University will work on developing a policy on 'conflict of interests' to ensure that the regular duties of the faculty don't suffer owing to his/her involvement in the start-up activities.
  - iii. Faculty start-up may consist of faculty members alone or with students or with faculty of other institutes or with alumni or with other entrepreneurs.
- B. In case the faculty/ staff hold the executive or managerial position for more than three months in start-up, they will go on sabbatical/ leave without pay/ utilize existing leave.
- C. Faculty must clearly separate and distinguish on-going research at the DIT University from the work conducted at the start-up/ company.
- D. In case of selection of a faculty start up by an outside national or international accelerator, a maximum leave (as sabbatical/ existing leave/ unpaid leave/ casual leave/ earned leave) of one semester/ year (or even more depending upon the decision of review committee constituted by the DIT University) may be permitted to the faculty.
- E. Faculty must not accept gifts from the start-up.
- F. Faculty must not involve research staff or other staff of DIT University in activities at the start-up and vice-versa.
- G. Human subject related research in start-up should get clearance from ethics committee of the DIT University.

## **8. Pedagogy and Learning Interventions for Entrepreneurship Development**

- A. Diversified approach should be adopted to produce desirable learning outcomes, which will include cross disciplinary learning using mentors, labs, case studies, games, etc. in place of traditional lecture-based delivery.
  - i. Student clubs/ bodies/ departments will be created for organizing competitions, boot camps, workshops, awards, etc. These bodies will be involved in DIT University strategy planning to ensure enhancement of the student's thinking and responding ability.
  - ii. DIT University will start annual 'INNOVATION & ENTREPRENEURSHIP AWARD' to recognize outstanding ideas, successful enterprises and contributors for promoting innovation and enterprises ecosystem within the University.

- iii. For creating awareness among the students, the teaching methods will include case studies on business failure and real-life experience reports by start-ups.
  - iv. Tolerating and encouraging failures: Our systems are not designed for tolerating and encouraging failure. Failures need to be elaborately discussed and debated to imbibe that failure is a part of life, thus helping in reducing the social stigma associated with it. Very importantly, this will be a part of DIT University philosophy and culture.
  - v. Innovation champions will be nominated from within the students/ faculty/ staff for each department/ stream of study.
- B. Entrepreneurship education will be imparted to students at curricular/ co-curricular/ extracurricular level through elective/ short term or long-term courses on innovation, entrepreneurship and venture development. Validated learning outcomes will be made available to the students.
- i. Integration of expertise of the external stakeholders will be done in the entrepreneurship education to evolve a culture of collaboration and engagement with external environment.
  - ii. In the beginning of every academic session, DIT University will conduct an induction program about the importance of Innovation and Entrepreneurship, so that freshly inducted students are made aware about the entrepreneurial agenda of the DIT University and available support systems. Curriculum for the entrepreneurship education will be continuously updated based on entrepreneurship research outcomes. This will also include case studies on failures.
  - iii. Industry linkages will be leveraged for conducting research and survey on trends in technology, research, innovation, and market intelligence.
  - iv. Sensitization of students will be done for their understanding on expected learning outcomes.
  - v. Student innovators, start-ups, experts must be engaged in the dialogue process while developing the strategy so that it becomes need based.
  - vi. Customized teaching and training materials will be developed for start-ups.
  - vii. It must be noted that not everyone can become an entrepreneur. The entrepreneur is a leader, who would convert an innovation successfully into a product, others may join the leader and work for the start-up. It is important to understand that entrepreneurship is about risk taking. One must carefully evaluate whether a student is capable and willing to take risk.
- C. Pedagogical changes need to be done to ensure that maximum number of student projects and innovations is based around real life challenges. Learning interventions developed by the DIT University for inculcating entrepreneurial culture will be constantly reviewed and updated.

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

- A. Stakeholder engagement will be given prime importance in the entrepreneurial agenda of the DIT University. DIT University will find potential partners, resource organizations, micro, small and medium sized enterprises (MSMEs), social enterprises, schools, alumni, professional bodies and entrepreneurs to support entrepreneurship and co-design the programs.

- i. To encourage co-creation, bi-directional flow/ exchange of knowledge and people will be ensured between institutes/ organisations such as incubators, software technology parks of India and science parks, etc.
  - ii. DIT University will organize networking events for better engagement of collaborators and will open up the opportunities for staff, faculty and students to allow constant flow of ideas and knowledge through meetings, workshops, space for collaboration and lectures etc.
  - iii. Mechanism will be developed by the DIT University to capitalize on the knowledge gained through these collaborations.
  - iv. Care will be taken to ensure that events don't become an end goal. First focus of the Technology Business Incubator will be to create successful ventures.
- B. DIT University will develop policy and guidelines for forming and managing the relationships with external stakeholders including private industries.
- C. Knowledge exchange through collaboration and partnership will be made a part of DIT University policy and University will provide support mechanisms and guidance for creating, managing and coordinating these relationships.
- i. Through formal and informal mechanisms such as internships, teaching and research exchange programmes, clubs, social gatherings, etc., faculty, staff and students of the DIT University will be given the opportunities to connect with their external environment.
  - ii. Connect of the DIT University with the external environment must be leveraged in form of absorbing information and experience from the external ecosystem into the University environment.
  - iii. Single Point of Contact (SPOC) mechanism will be created in the DIT University for the students, faculty, collaborators, partners and other stakeholders to ensure access to information.
  - iv. Mechanisms will be devised by the DIT University to ensure maximum exploitation of entrepreneurial opportunities with industrial and commercial collaborators.
  - v. Knowledge management will be done by the DIT University through development of innovation knowledge platform using in-house Information & Communication Technology (ICT) capabilities.

## **10. Entrepreneurial Impact Assessment**

- A. Impact assessment of University entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education will be performed regularly using well defined evaluation parameters.
- i. Monitoring and evaluation of knowledge exchange initiatives, engagement of all departments and faculty in the entrepreneurial teaching and learning will be assessed.
  - ii. Number of start-ups created, support system provided at the University level and satisfaction of participants, new business relationships created by the DIT University will be recorded and used for impact assessment.
  - iii. Impact will also be measured for the support system provided by the DIT University to the student entrepreneurs, faculty and staff for pre-incubation, incubation, IPR protection, industry linkages, exposure to entrepreneurial ecosystem, etc.

- B. Formulation of strategy and impact assessment will go hand in hand. The information on impact of the activities will be actively used while developing and reviewing the entrepreneurial strategy.
- C. Impact assessment for measuring the success will be in terms of sustainable social, financial and technological impact in the market. For innovations at pre-commercial stage, development of sustainable enterprise model is critical.

Commercial success is the only measure in long run.

# **POLICY FOR INTELLECTUAL PROPERTY RIGHTS**



## Contents

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## **Introduction**

DIT University, Dehradun recognizes the importance of innovations, research, and findings translating them into products, processes and services for commercial benefits through Intellectual Property Right (IPR) protection. In order to achieve this, Intellectual Property Rights Policy Document (hereinafter referred to as the Policy) of the DIT University, Dehradun was developed. It includes proper guidance to faculties, staff, students, scholars, and others on the practices and the rules of DIT University, regarding intellectual property rights (IPR) and obligations which include the nature of intellectual property (IP), its ownership, exploitation, technology transfer and confidentiality requirements. The IP policy includes two primary sub policies- one relating to the inventions/innovations and the other related to the expressions of these inventions/innovations. Forms consisting detail of sub processes, situations and documentation was included as part of implementation of this policy.

## **Objectives**

- To provide guidance to the students regarding the ongoing/future projects, or Idea.
- To provide guidance and consultancy to the students during their research to pursue their projects in the direction of Patent/ IPR.
- To encourage faculty members and students to engage in applied innovative research and development of products/process that can be transferred to the benefit of society at large.
- To enable the transfer of these innovations to application for public benefit and commercial use, through transparent operations.
- To provide incentives to the faculty and students to participate in the creation of inventions, IPR protection and commercial licensing activities.

## **Functions**

- To create an awareness about IPR for faculties and students of the DIT University.
- To impart training on future endeavours regarding patent filing processes.
- To conduct workshops, seminars and training course on IPR.
- To promote better understanding of IPR and to identify more IPs

## **Responsibilities of Faculty, Students and Supporting Staff**

- As per IPR Policy inventors are full partners in the IPR protection and commercialization processes, including but not limited to exercising the following responsibilities:
- Proper documentation of research data and record keeping at departmental level shall be enforced by Head of Departments and Identify to the IPR Cell those applied research developments which may have practical benefit to the society.
- It will be per-requisite for faculty members/students to do IPR search while preparation of projects/synopsis in order to generate quality research products. Before submission/disclosure of results or go for publication, they will also see the patentability aspects of their work.
- Patent /protection is granted if the information is not in public domain.
- Cooperate with the IPR Cell in documenting Inventions on forms prescribed by funding agencies and made available by the IPR Cell.
- Cooperate with the IPR Cell in drafting the patent applications to be filed with the competent government agencies.

- Cooperate with the IPR Cell in identifying personal and corporate contacts in the private sector that would be candidates for licensing of disclosed Inventions.
- Cooperate with the IPR Cell in completing intellectual property reports to funding agencies.
- Serve as a technical resource to the IPR Cell in the process of negotiating a license agreement for a respective Invention.

### Definitions

The intellectual properties can be broadly categorized under these terms:

- 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.
- Copyright:** is an exclusive right given to the author of the original literary, architectural, dramatic, musical and artistic works; cinematograph films; and sound recordings.
- 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 colours.
- Industrial Design:** means only the features of shape, configuration, pattern, ornament or composition of lines or colours 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.
- 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.
- New Plant Variety:** a plant variety that is novel, distinct and shows uniform and stable characteristics.
- Biotechnology Inventions:** include recombinant products such as vectors, nucleotide sequences and micro-organisms.
- 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.
- Geographical Indications:** means an indication which identify such 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.

### IPR Committee, IT University, Dehradun

This committee will be constituted for matter related to IPR policy implementation, approval and resolution of dispute.

S.No	Members
1	Vice-Chancellor
2	Pro Vice-Chancellor
3	Dean, Research and Consultancy
4	Dean, Academics Affairs
5	Director, CIIES

6	Head, CIIES
7	Head, IPR and IIC
8	Respective Departmental/Faculty Representative
9	Outside IPR experts
10	Industrial/ Alumni IPR Experts
11	Legal Representative

## DESCRIPTIONS

### Inventions

#### *Applicability & Requirements*

Evaluation of academic work associated with IP creation will be subject to DIT University norms as applicable from time to time. Any agreement with an external agency, which requires delay in public disclosure for the purpose of IP protection, should usually not have effect for longer than three months from the time of notification by DIT University, Dehradun to the said agency. Invention Disclosure Form with suitable write up need to be submitted to the IIC by personnel of DIT covered under this policy.

#### *Relevant inventions and Ownership*

Under this, title to such inventions including software where applicable, designs and integrated circuit layouts and patentable subject matter that are created in DIT University, Dehradun with the use of significant DIT University, Dehradun resources are assigned to and owned by DIT University, Dehradun, regardless of the source of funding, if any. All inventors / creators are required to ensure that an inventor's agreement form is filled at the time of submission of an invention disclosure to DIT University, Dehradun. This agreement would among other aspects, include ratio of sharing any revenue received from commercialization of the said technology amongst the DIT University, Dehradun inventors / creators. Absence of such an agreement will be considered as equal sharing amongst the DIT University, Dehradun inventors / creators.

#### *Ownership exemption*

- The possibility of exemption to ownership is given in the following cases and DIT University, Dehradun reserves the right to revise these exemptions on a case to case basis.
- If the inventor / creator is not related with DIT University, Dehradun. If the inventor / creator has not used significant resources of DIT University, Dehradun.
- If DIT University, Dehradun is not interested to take forward the disclosed invention / creation towards IP protection or through prior specific agreement.
- In case of DIT University, Dehradun not protecting an IP, the inventor(s) / creator(s) are provided with the permission to protect the same in countries of their choice.

#### *External Funded / Collaborative Development*

For the relevant invention(s) including software, designs and integrated circuit layouts, produced during the course of a sponsored and / or collaborative activity (internal / external), specific provisions related to IP made in contracts governing the collaborative activities are to be referred along with this policy. Cases where confidential data and results are to be used by the Institute for its academic and research work, exclusive access to the relevant project members have to be provided. Relevant faculty, students and researchers who would contribute in such projects are to be duly notified of potential delay in approval for publication, academic and research related activities before accepting such

project proposals. Based on such agreements as signed by DIT University, Dehradun, the following scenarios are envisaged:

- DIT University, Dehradun is the sole owner of the IP generated from the funding provided.
- The IP generated is owned jointly with the collaborative partner having the first rights of refusal towards commercialization.
- In the case of a collaborative / multiple consortium-based IP generation, the IP terms of such agreement is to be considered along with the policy. In the absence of any specific IP agreement in such cases, DIT University, Dehradun follows its IP policy.
- DIT University, Dehradun can assign the IP generated, to the funding agency based on the nature of the technology, funding and specific applications.

Under all circumstances, DIT University, Dehradun always reserves the right to use the IP generated for its academic and research purposes.

#### *Design Rights*

The design right for a created component (physical or graphic, any dimension) follows the IP inventions policy as indicated in this section.

#### *Trade Mark(s) / Service Mark(s)*

Logo of DIT University, Dehradun would be the trademark of the DIT University. It is to be noted that the logo of DIT University, Dehradun cannot be used for personal communication by any personnel. Official activities of DIT University, Dehradun can be utilized DIT logo and not limited to web pages, websites, projects, reports, publications, promotions advertisement, student thesis and other relevant activities. The usage of the DIT University, Dehradun logo to any other purpose, with due approval of DIT University, Dehradun can be considered after explaining suitability of reasons. Further any application to creative trademark/service mark can be considered after due approval of committee.

#### *Material Transfer Agreements (MTA)*

This agreement is relevant to any such activity, which requires a physical material access for innovation and research. DIT University, Dehradun follows a material transfer agreement aligned with its academic needs for innovation and research. The MTA is used for both DIT University, Dehradun to provide a material (typically biological) to any other external party and also to request any material from external agency. Such agreements are to be finalized in consultation with committee constituted by Honourable Vice Chancellor, Registrar including Head, IPR Cell, DIT University, Dehradun for all materials transferred to and from external agencies.

### **Expressions**

#### *Applicability & Requirements*

This policy is applicable to all DIT University, Dehradun personnel as defined in the overall IP policy and their range of activities during their engagement with DIT University, Dehradun such as, but not limited to, teaching, research, distance education, continuing education, consultancy, sponsored work, collaborative activity (internal and external), Institute designated or sponsored work (academic, cultural) and the range of creations includes copyrightable works and related necessary confidential information. This sub policy is limited to the literal component of any deliverable and patentable / inventions- related content will be under the purview of the IP inventions policy. As an example, thesis under the copyright policy of DIT University, Dehradun refers only to the literary work of thesis. Evaluation of academic work associated with IP creation will be subject to Institute norms as applicable from time to time. Any agreement with an

external agency, which requires delay in public disclosure for the purpose of IP protection, should usually not have effect for longer than three months from the time of notification by DIT University, Dehradun to the said agency.

#### *Relevant creations and ownership*

Title to such creations including literary works, software, music, cinematography, sound and other rights covered under the Copyright Act of India, 1956 and amendments thereof, where applicable, that are created in DIT University, Dehradun with the use of significant DIT University, Dehradun resources under this policy are assigned to and owned by DIT University, Dehradun. DIT University, Dehradun is the owner to the administrative and other documents created as part of designated work. Examples include course outline documents, question papers, answer sheets, grade ranking sheet, and other such creations. All the creations are required to ensure that the inventors agreement is filled at the time of submission to DIT University, Dehradun. This agreement would among other aspects, include ratio of sharing of any revenue received from commercialization of the said creation. Absence of such an agreement will be considered as equal sharing amongst the creators.

#### *Ownership exemptions*

Exemption to ownership is given in the following cases and DIT University, Dehradun reserves the right to revise these exemptions on a case to case basis. Copyright being present by default on any material being created, the policy provides the following ownership exemptions to the various creations that occur as part of DIT University, Dehradun personnel activities. The copyright ownership is treated separately for the various creations identified.

#### *Teaching / Course material*

- DIT University, Dehradun acknowledges that the author is the owner of teaching materials created for teaching purposes during authors engagement with / stay at DIT University, Dehradun.
- As most of the course content is created cumulatively and in order to enable a wider usage and distribution of the teaching materials created, DIT University, Dehradun by default gets a license to the copyright and all other rights of the content created by the creator for fair dealing under academic and research context.
- DIT University, Dehradun is not liable for any of the copyright violations by its personnel for the content created. The author is expected to carry out due diligence in the course of content creation.

#### *Continuing Education Programme (CEP)*

CEP course materials and academic course materials have different copyright clearances.

- The content and the materials created will be owned by the course creator. Note that that the course creator, course instructor and course coordinator could be the same individual or independent.
- The course creator is expected to get the relevant copyright clearances for the course materials used.
- DIT University, Dehradun owns the course structure, course outline and promotional materials created for any of the CEP courses for any application or use.
- DIT University, Dehradun is not liable for any of the copyright violations by its personnel for the content created. The author is expected to carry out due diligence in the course of content creation.

#### *Quality Improvement Programme (QIP)*

Copyright of QIP course materials will be governed by the rules of the QIP scheme. In absence of any specific guidelines in this regard, the CEP policy will be applicable.

#### *Thesis*

The student is the original creator of the thesis, fine-tuned with relevant contribution of the supervisor(s) and the copyright authorship rests with the student creator.

- The ownership is jointly held by the student creator and the supervisor(s) concerned. The supervisor(s) can waive off their joint ownership if desired. Relevant forms will be made available for such waivers.
- The supervisor(s) is required to sign off at the time of the thesis submission, indicating the commercial / potential commercial / no commercial value of the work concerned.
- DIT University, Dehradun reserves the right to identify potential IP generated through the submitted thesis and protect such identified IP before displaying the thesis in public domain. DIT University, Dehradun gets a non-exclusive, non-commercial license for the display and use of the thesis for academic and research purposes.
- In the case of a thesis resulting from external funding, the joint ownership of the thesis extends to the external supervisor(s). Pending any specific agreement, the IP and Copyright policy of DIT University, Dehradun will be applicable by default in such cases.
- Both the student and the faculty supervisor(s), where applicable, have the right to first refusal for any further adaptations and other derivative work that is intended to be done by either of the parties. They are given three months time from the day the official request submitted, to exercise their right to refusal. The official request should include at the minimum the adaptations identified.
- Failure to respond within the time duration of three months will be deemed to be an acceptance of the proposal presented. Either party can approach DIT University, Dehradun towards the resolution. The Vice Chancellor of DIT University, Dehradun authorizes the formation of a panel under the resolution process including IIC, Head.
- Irrespective of any agreement, DIT University, Dehradun reserves the right to use the thesis for educational and research requirements. DIT University, Dehradun may not prefer the use of non-disclosure agreement (NDA) for its thesis evaluation.
- DIT University, Dehradun gets an automatic right to display the thesis in soft and hard forms.

#### *Books, articles and related literary works*

DIT University, Dehradun does not claim ownership of copyright on books authored by DIT University, Dehradun personnel. In cases where the books are related to the multiple research groups / faculty teaching the course in the Institute, it is expected that the interested author shall get the relevant no objection certificate from co-authors / other contributors.

- Use of DIT University, Dehradun logo on any personal publications by the faculty / staff / student is prohibited.
- In cases of Institute designated works and other works like the content development programme, the ownership rests with DIT University, Dehradun.
- Students who wish to publish their thesis, prior to submission for an academic degree, as a book or any other type of publication are required to seek a prior written approval from DIT University, Dehradun.

#### *Ownership*

The IP policy has to be accepted by all DIT University, Dehradun Personnel. DIT University, Dehradun owns all the Intellectual Property (IP) that is produced by all DIT University, Dehradun personnel. DIT University, Dehradun reserves the right to apply for IP protection in India / throughout the world / specific countries for suitable protection of the IP generated.

#### *Disclosure*

DIT University, Dehradun encourages timely disclosure of all potential IP / Inventions / Innovations generated (conceived or reduced to practice in whole or in part) by members of the faculty or staff (including research staff, doctoral students, students and visiting scholars) of the Institute in the course of their Institute related activities. DIT University, Dehradun identifies the relevant statutory and other mechanisms not limited to Patent, Copyright, Trademark, Design Rights, Integrated Circuit, Plant Varieties and rest towards registration. Disclosure enables prompt action by DIT University, Dehradun to appropriately protect and disseminate the research activities occurring at DIT University, Dehradun.

### *Conflict of Interest*

The inventor(s) are required to disclose potential conflict of interest while undertaking any IP related activity. 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. An DIT University, Dehradun license to a company in which the inventors also have a stake and management role shall be subject to the approval of the Vice Chancellor, Registrar and Head, IIC of DIT University, Dehradun taking the above consideration into fact. All DIT University, Dehradun Personnel shall be bound by the conflict of interest related policy / guidelines of DIT University, Dehradun as applicable from time to time.

### **Licensing and Agreements**

The licensing is done by DIT University, Dehradun through Industrial Research and Consultancy Centre (IRCC), which handles the evaluation, marketing, negotiations and licensing of the entire institute owned IP. In certain cases, DIT University, Dehradun might use the services of a third party for licensing the technology developed, under mutually agreed terms and conditions with such party, within the framework of the DIT University, Dehradun IP Policy.

### *Licensing Types*

The type of license provided will depend on the nature of the invention / innovation. DIT University, Dehradun, encourages non-exclusive licensing towards wider deployment of innovations being developed at the Institute. Under certain exceptions, DIT University, Dehradun might consider exclusive licensing. In case of platform wide use of inventions / innovations and or where significant resources / effort have to be invested by the licensee in using the IP, the Institute might consider providing an application and / or region specific or a full-scale exclusive license. Due diligence, not limiting to business plan, business model, milestones and usage plan of the IP in discussion and other relevant information as required, would be undertaken, in order to determine the type of licensing to be provided. Licenses are provided to a company and not to an individual. License may be limited to that particular IP in discussion and not to its enhancements or modifications. Licenses provided are subject to periodic review including the working status and accessibility / availability of the IP used. Based on the review of the licensing activities, DIT University, Dehradun reserves the right to extend, modify or terminate the type of existing license provided.

### *License Exemptions*

In case of both the inventor(s) and external party(ies) requesting for the license of the same DIT University, Dehradun owned IP at the same time, preference for licensing may be provided to the inventor(s) based on the nature of technology amongst other considerations. Irrespective of the license provided, DIT University, Dehradun retains the right for research exemption and experimental use for patents, design rights and under fair use of copyrights and trademarks on an institute wide perpetual license towards its basic objective of academics and enhancing research. This will include the right to publish, use of technical data, the method, product and related services that has resulted from earlier research which has been licensed for the activities mentioned earlier. In the case of inventions by its faculty /



students / research scholars / other DIT University, Dehradun Personnel under lien / sabbatical / visit / internship, DIT University, Dehradun exercises the right to the access of such IP created for the sole purpose of academic work and research under research exemption and fair use, being conducted within its jurisdiction. The stakeholders are encouraged to disclose the invention through appropriate invention disclosure form (IDF) of such developments during their external stay.

### **Technology License / Transfer Options**

DIT University, Dehradun recognizes the inventor(s) / creator(s) as a key component for successful commercialization process. DIT University, Dehradun shall use the following options to utilize the IP generated. Licensing may be made either directly to third parties or through incubation or through licensing agents. It is to be noted that the IP generated would preferably be licensed and not assigned. Any licensing done by DIT University, Dehradun will be on an as is where is basis. Technology licensing: This would be as per the current policy and revenues earned will be shared with the inventor(s) in a 70:30 ratio. The 70% due to the DIT University, Dehradun inventor(s) will be distributed as per the separate inventors. Agreement entered into between the inventors. In the case of multiple DIT University, Dehradun inventors, the default inventors, royalty share is done on an equal basis in the absence of an alternate revenue sharing agreement. Preferred mode is Non-Exclusive licensing. Exceptions to this will be based on the funding of the project and any other relevant requirements. Exclusive license will be subjected to periodic review of license not limiting to usage status, application and / or region specific, royalty generation for continuing such license agreement.

### **Commercialization of Institute-owned IP**

Commercialization through licensing of rights by the DIT University, Dehradun need to be obtained. All expenses for obtaining and maintaining statutory rights owned intellectual property will be borne by the DIT University, Dehradun. The DIT University, Dehradun will take steps to commercialize all DIT-University owned property according to the time schedule outlined below:

#### *Date zero*

The creator discloses the nature and particulars of the intellectual property they have created to the Institute in the prescribed disclosure form.

#### *Zero plus one hundred eighty days (six months) or earlier*

If the property is found to be assignable to the Institute and the DIT University, Dehradun wishes to own the property as per section 5.3 (a), the Institute files the patent, or proceeds directly for commercialization through confidentiality agreements with third parties, whichever is practicable. The creator should provide all necessary data and documents for filing the patent within 15 days of the notice served by the Institute intimating its 10 decision to patent. Should the DIT University, Dehradun fail to inform the creator of its decision within the said deadline, the creator, without encumbrance, will hold the rights of the intellectual property.

#### *Zero plus five years*

DIT University, Dehradun reviews the situation if the intellectual property has been commercialized, the subsequent cost of maintaining statutory protection will be met through receipts from the licensee. If the property has not been commercialized, all rights and responsibilities in it will revert to stand a good chance of being commercialized within the next year, in which case the DIT University opts to pay for another year of protection and retains the rights for that year.

### *Zero plus six years*

After the end of the sixth year, if the intellectual property is still not commercialized, all rights and responsibilities in the property will revert to the creator, subject to any contractual agreements with a sponsor, if any, and the DIT University, Dehradun shall no more be liable to pay for statutory protection of the property. At any time during the above process, the DIT University, Dehradun will have the right to revert the rights in the intellectual property to the creator at a mutually agreeable date with notice of three months of its intention to do so. The following guidelines should be followed when dealing with confidential information in the context of third parties such as commercial organizations:

- The amount of information given to prospective licensees before the signing of any confidentiality or secrecy agreement should in no case exceed or fall outside that which is set out in the Technology Profile Form for any particular intellectual property.
- When a third party is interested in commercializing an item of intellectual property on offer after inspecting the relevant Technology Profile, they may apply on the prescribed form and with the deposition of the required fee for transfer of the technology. They will be required to demonstrate their capacity to commercialize the technology to the Institute's satisfaction. The Institute will then require the third party to sign contractual confidentiality or secrecy agreements undertaking to maintain the confidentiality of all information disclosed, before any further disclosure is made. The format of the Bilateral Secrecy Agreement, should be followed.
- Third parties must obtain express authorization writing from the Institute to commercialize/exploit the intellectual property. Confidentiality agreements will continue in force even if the commercialization process is aborted at any stage. However, it is recommended that no disclosure should be made if there is any doubt as to the outcome of the commercialization process.
- If running royalties are to accrue to the Institute and the creator, the licensees must be bound by their contract to take adequate measures to protect that matter from becoming known to others through the licensee's practice, and thereby made available to others whose activities may adversely affect royalty returns.
- Access to areas where Institute-owned intellectual property including confidential information is made available, seen or used, and to confidential documents, records, etc. is to be limited only to those who are creators or are bound by confidentiality agreements.

### **Dispute Resolution**

In case of any disputes between DIT University, Dehradun and the inventors / creators regarding the implementation of the IP policy, the aggrieved party may appeal to the respective committee of IPR of DIT University, Dehradun. Efforts shall be made to address the concerns of the aggrieved party through discussion by committee of experts.

### **Jurisdiction**

All agreements to be signed by DIT University, Dehradun will have the jurisdiction of the court in Dehradun and shall be governed by appropriate laws of India.

### **Product Ownership Rights for Technologies Developed at DIT University**

When DIT University facilities / funds are used substantially or when IPR is developed as a part of curriculum/ academic activity, IPR is to be jointly owned by inventors and the DIT University.

- A. Inventors and DIT University could together license the product / IPR to any commercial organization, with inventors having the primary say. License fees could be either / or a mix of
- Upfront fees or one-time technology transfer fees
  - Royalty as a percentage of sale-price

- Shares in the company licensing the product
- B. DIT University will not hold the equity as per the current statute, so DIT Incubation Foundation will hold equity on their behalf.
- C. If one or more of the inventors wish to incubate a company and license the product to this company, the royalties would be no more than 4% of sale price, preferably 1 to 2%, unless it is pure software product. If it is shares in the company, shares will again be 1% to 4%. For a pure software product licensing, there may be a revenue sharing to be mutually decided between the DIT Incubation Foundation and the incubated company.

On the other hand, if product/ IPR is developed by innovators not using any DIT University facilities, outside office hours (for staff and faculty) or not as a part of curriculum by student, then product/ IPR will be entirely owned by inventors in proportion to the contributions made by them. In this case, inventors can decide to license the technology to third parties or use the technology the way they deem fit.

The inventor (s) / creator(s) share would be declared annually (or as revenues are received) and disbursement will be made to the inventor (s) / creator(s), their legal heir, whether or not the inventor (s) / creators are associated with DIT University, Dehradun at the time of disbursement. The revenue sharing ratio between the inventor/inventor team and DIT University, Dehradun will be a fixed 70:30 in favour of the inventor team. However, any initial cost born by applicant is reimbursed by DIT University, Dehradun within 90 days.

When applicant of patent is DIT University, then patent fees is born by DIT University. However, if, applicant is other than university, then applicant of patent is responsible for any of the fees. Further, any patent born by joint research through collaboration, will sign a mutual agreement of understanding with prior discussion on each aspect.

If there is a dispute in ownership, IPR committee including minimum five member committee consisting of two faculty members (having developed sufficient IPR and translated to commercialization), two of the DIT University industry experts / alumni (having experience in technology commercialization) and one legal advisor with experience in IPR, will examine the issue after meeting the inventors and help them settle this, hopefully to everybody's satisfaction. DIT University can use alumni/ faculty of other institutes as members, if they cannot find sufficiently experienced alumni / faculty of their own.

DIT University Centre of Innovation or Technology Business Incubator will only be a coordinator and facilitator for providing services to faculty, staff and students. They will have no say on how the invention is carried out, how it is patented or how it is to be licensed however in specific case, clarifications can be sought. When DIT University is paying for patent filing, University will constitute a committee which can examine whether the IPR is worth patenting. The committee should consist of faculty who have experience and excelled in technology translation. If inventors are using their own funds or non-university funds, then they alone should have a say in patenting.

DIT University decision-making body with respect to incubation / IPR / technology-licensing will consist of faculty and experts who have excelled in technology translation.

Interdisciplinary research and publication on startup and entrepreneurship will be promoted by the DIT University.

**CENTER FOR INNOVATION, INCUBATION, ENTREPRENEURSHIP AND STARTUPS  
DIT UNIVERSITY, DEHRADUN, UTTARAKHAND, INDIA**

**INTELLECUAL PROPERTY RIGHT**

**For Office Use Only**

Ref. No: \_\_\_\_\_

Date Received: \_\_\_\_\_

Date Approved: \_\_\_\_\_

**Invention Disclosure Form**

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*\*Please complete the questions on this form send the softcopy and hardcopy of this form to the IIC, DIT University, Dehradun*

*\*If there is no answer to a question, please write in "N/A" or "Not Applicable".*

*\*You may forward an electronic version to [edcell@dituniversity.edu.in](mailto:edcell@dituniversity.edu.in) but a signed, witnessed hard copy is important.*

**1. Title of the Invention**

**2. Details of Inventor:**

Full Name:

Title and Department

Affiliation(s):

Citizenship:

Address:

Phone No.:

E-Mail Address:

Nature of Contribution:

**3. Details of Co-Inventor:**

Full Name:

Title and Department

Affiliation(s):

Citizenship:

Address:

Phone No.:

E-Mail Address:

Nature of Contribution:

- 4. State the problem or problems that motivated or required a solution provided by this invention:**
- 5. Abstract of the Invention (Max 250 words)**
- 6. Please provide a short explanation of how this invention solves the problem(s).**
- 7. List out the known ways about how others have tried to solve the same or similar problems? Indicate**
- 8. In addition, please identify any prior art documentation or other material that explains or provides examples of such prior art efforts.**
- 9. Detail Description of the Invention (max. 1500-3000 words)**  
(This description must provide clear detail on every aspect of the invention. Please provide a description of the invention in the space provided below or as an attachment. While you may attach and reference a supporting manuscript(s) or other information, This description may, when required, be provided to sponsoring agencies and thus needs to be sufficiently detailed so that the sponsoring agency can understand the aspects of the invention listed above)
- 10. New Features / Novelty of The Invention (max 500 words)**  
(Please provide the novelty and non-obviousness related to the invention in this section)
- 11. Objectives and Commercial Aspects related to the Invention**  
Objectives:  
Commercial Aspects (max 350 words):
- 12. Are there alternative ways of implementing your invention that are different from what you have disclosed? Specifically, if someone knew of your solution to the problem you solved, would it be easy for them to come up with an alternative solution to the same problem that did not include your invention? Please explain:**
- 13. Describe the Invention In terms of Drawings and Figures**
- 14. Funding / Grant Received For The Invention**  
(Mention the source of Funds obtained in this regard; Describe the details of the agreements made in this regard; If this is sponsored research then describe the details of the sponsor and sponsorship here)
- 15. Claims of Invention**

**FOR APPLICANTS ONLY**

**Signature of Inventor Signature of Co-Inventor (if any)**

Name: Name:

Designation: Designation

Department: Department:

Mob.: Mob.

**FOR IPR OFFICIALS ONLY**  
**(For Further Recommendation)**

Signature of IPR CO-coordinator of DIT University\_\_\_\_\_

Signature of Director CIIES\_\_\_\_\_

Signature of Vice-Chancellor\_\_\_\_\_

# **GUIDELINES FOR PROFESSIONAL DEVELOPMENT ALLOWANCE (PDA)**

## 1. Purpose-

The purpose of these guidelines is to assist employees of DIT University, Dehradun to attend Seminars, Workshops, Conferences, Short Term Courses (STC), Faculty Development Program (FDP), Meetings of Professional Bodies etc., (Event) in India or Abroad.

## 2. Background-

It is acknowledged that employees in the Professional stream are required to maintain the professional standards associated with their classification. This may be through registration with professional bodies, attendance at seminars, conferences, research or maintaining qualifications. As professionals there is an expectation that employees will meet the costs associated with the maintenance of their professional status. PDA provides some financial assistance to enable the employees to keep abreast of the developments within their profession. The PDA is not intended to cover all professional development costs and is not paid as a substitute for agency developmental programs.

## 3. Scope

The amount being spent for professional development every financial year should be utilized only for the following activities:

- a. Professional Membership Reimbursement (PMR) relevant to academics.
- b. For membership fee of professional organizations relevant to one's domain.
- c. For purchase of books relevant to teaching/research.
- d. For payment towards online courses like MOOC, etc., to enhance professional competency, on production of certificate of completion.
- e. To support research scholars/students under the guidance of a faculty against actual work related expense.
- f. Librarian appointed in the pay scale applicable to faculty members.
- g. All University Officials above the rank of Senior Executive and appointed by University / Deputed.
- h. Any other activity enhancing the core competency of the concerned faculty and staff (India / Abroad), with due approval of the Competent Authorities.

## 4. General Conditions

PDA is a reimbursement of an expenditure or payment of financial assistance (as in the case of advance payment) to an employee who has been employed in the Professional stream for the specified qualifying period, to offset professional development costs. The following general conditions apply:

- a. Guidelines for participating in the conferences (within and outside DIT University).
- b. All faculty members below the rank of Professor must present a paper/poster when attending a conference and produce evidence of the same to claim reimbursement.
- c. All papers/posters must carry the name of DIT University along with the name of the author(s).
- d. Faculty members should prefer the reputed / indexed conference organized by premier Institutes / Societies with the aim to contribute in cascading the knowledge to the peer group.
- e. If paper presentation is held abroad then there should be a prior presentation in the Department before the Conference Support Committee (CSC). The constitution of CSC is suggested as appended below:
  - (i) Head of the Department (Convener).
  - (ii) At least one faculty member of the Department above the rank of Associate Professor.



(iii) Dean / Director of the School.

## 5. Procedure of approval of PDA application

- a.** Prior approval of the University is mandatory for attending any such Conference, Workshop etc. to be held inside & outside India. Application in the prescribed format should be filed one-month prior to the event to be held in India and two-month prior to the event to be held abroad. Application submitted in the given format and defined timeline will only be considered. All such applications should be sent to the Registrar through proper channel.
- b.** Faculty members who have not completed one year of service at DIT University, may also apply for presenting the paper in the conference. However, the final approval will be given by the Registrar.
- c.** For attending conferences, workshops, etc., faculty members can avail approximately 75% of the anticipated expenses as advance from the finance section and get approval from the concerned authority which is to be settled within one week from the date of return from the event.
- d.** Faculty should apply for the appropriate leave independently and attach a photocopy of the approval with the leave application.
- e.** The applicant needs to ensure that all the approvals are obtained before the timeline.
- f.** Reimbursement of expenses will be made only on claims which are supported by original vouchers, receipts, and on production of certificate of attendance and post attendance report.
- g.** Submission of a report on paper presentation/participation (paper publication by the faculty in Conference/Seminars/workshop/FDP/STC is compulsory).
- h.** Following the event, the faculty member must present before the peer group of the department. Monthly report (in the prescribed format) has to be submitted to Dean R&C by the HOD regularly, subject to which new applications will be considered from respective department.

**Note: in case the applicant does not attend the event, the information should be provided to Dean R& C by e-mail with copy to HOD.**

# **POLICY FOR SEED RESEARCH GRANT**

DIT University (DITU) is a premier Institute of Higher learning in the country. Over the years, the University has laid emphasis for creating educated and well trained human resource in the country. In addition to strong emphasis to teaching- learning at UG, PG and Doctoral levels, the University supports the novel ideas of our faculty by providing Seed Research Grant.

**Objective:**

The seed grant can be used by young researchers to initiate their research work when they join DIT University. It is one-time grant awarded to a faculty to kick start their research work, so that they can develop a strong research proposal for submission in National/International grant agencies within a year of receipt of the seed grant.

**Nature and Duration of support:**

The grant will cover equipment and consumables, and it would be a one-time career grant for a period of one year.

**Eligibility:**

The applicant should be an Indian citizen. The applicant should hold Ph.D. degree, and he/she is eligible to apply within two years of joining DIT University.

In exceptional cases, a Sr. Faculty members may submit a proposal if it falls in the thrust areas of S&T and/or allied areas as identified by the University for establishing Centre of Excellence.

**Mode of Application and Selection:**

Call for Seed Grant Applications will be notified twice in an academic year through the office of Dean R&C. The application should be submitted online on the prescribed format as given below.

Selection will be based on the recommendations of an Expert Committee constituted recommended by Dean R&C and approved by the Vice Chancellor. The Principal Investigator shall make a presentation before this committee. The number of successful seed grant applications and amount supported may differ from year to year, depending on the budget available.

A project allotment letter on prescribed format as given below will be issued by Dean R&C once the project is approved.

**Deliverables:**

It is expected that the grants provided by the University shall lead to:

1. Publications of research findings in high impact journals
2. Good quality projects by UG/PG
3. Innovative ideas which can be patented in the name of DIT University and the Investigator (s)
4. Setting up state-of-the art laboratories and infrastructure in DITU

**Monitoring:**

Following committee shall review the progress of the project:

- |                                |          |
|--------------------------------|----------|
| 1. Dean R&C (Ex-officio)       | Chairman |
| 2. Head of the Department      | Member   |
| 3. Principal Investigator (PI) | Member   |

The audited statement of the funds and its utilization will be submitted by PI.

The progress cum project completion report (PCR) report on the prescribed format as given below shall be submitted by PI and presented in the Planning & Monitoring Board [PMB].

## Application for Seed Grant

A

Project Proposal

on

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Submitted to

DIT University, Dehradun

Submitted by

---

Department of ----

DIT University, Dehradun

1. Summary of proposal
2. Origin and definition of proposal
3. Literature review (international and national)
4. References, Bibliography
5. Objectives
6. Methodology (6.1 Synthesis, 6.2 Characterizations)
7. Budget

I. Recurring			
Sr. No.	Name of consumable / Equipment	Purpose	Approx. Cost (in lakhs)
		<b>Total</b>	
II. Nonrecurring			
		<b>Total</b>	
		<b>Grand Total</b>	

**Justification for budget**

8. Expected outcomes and future scope
9. Facilities available at DIT university

Sr. No.	Instrument
1	
2	
3	
4	
5	
6	
7	
8	

**10. Facilities to be availed outside DIT university campus**

Sr. No.	Instrument	Institute	Remarks
1		1.	
2		1.	

Submitted by:

Name & Signature

Forwarded by:

Name & Signature

## Project Allotment Letter

**Name of Faculty**

Department of \_\_\_\_\_

**Project Title** : \_\_\_\_\_

**Project No.** : \_\_\_\_\_

Dear \_\_\_\_\_,

Kindly refer to the above captioned project submitted by you for SEED money from the DIT University.

I am pleased to inform you that your proposal has been approved by the Hon'ble Vice Chancellor to funding for one year. The details of the approved budget are as under:

S. No.	Amount sought in Lacs (INR)	Amount Sanctioned in Lacs (INR)
1.	--	--

\* Amount indicated in your initial proposal under the Recurring and Non-recurring heads in your initial proposal.

\*\* Amount to be spent under the Recurring and Non-recurring heads **as per the revised details submitted by you on <<date>> are given below:**

RECURRING			
S No.	Name of Consumable/Equipment(s)	Purpose	Approx. Cost INR (in Lacs)
1.			
		Total	

Non-RECURRING			
S No.	Equipment(s)	Purpose	Approx. Cost INR (in Lacs)
1.			
		Total	
			<b>Grand Total (A+B) = -----</b>

**This amount is to be utilised and the project should be completed by <<date>>.**

All purchases to be made as per DITU policy and you are advised to initiate your work accordingly. Since it may consume some-time in the purchase procedures, you are sincerely advised to start the purchasing your instrument(s)/chemicals etc. without any delay so that your research work may not suffer and you may meet your goals well within the stipulated time.

It is expected that the outcome of the research work will lead to newer ideas and will create good research facilities at the DIT University. It is also expected that quality publications will emerge from the work carried-out through this project. It is further assumed that you will seek support from other funding agencies viz. DST, DRDO, UGC, CSIR etc.

You are further required to submit the progress report on this project to the office of the undersigned on quarterly bases.

Best wishes for the successful completion of this project.

## **Progress cum Project Completion Report (PCR)**

### **A Project Completion Report of Project Proposal**

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**Project No. ....**

**Submitted to**

**Dean R&C, DIT University, Dehradun**

**by**

...

**Department of ..**

**DIT University, Dehradun**

## **PROJECT COMPLETION REPORT**

**Project No. ....**

- 1. Title of the Project:**
- 2. Principal Investigator(s):**
- 3. Implementing other Institution(s):**
- 4. Date of Commencement:**
- 5. Planned date of completion:**
- 6. Actual date of Completion:**
- 7. Objectives as stated in the project proposal:**
  
- 8. Deviation made from original objective if any, while implementing the project and reasons thereof:**
- 9. Experimental work giving full details of experimental set-up, methods adopted, data collected supported by necessary tables, charts, diagrams and photographs:**
- 10. Detailed analysis of results indicating contributions made towards increasing the state of knowledge in the subject:**
- 11. S&T benefits accrued**
  - I. Manpower trained on the project
  - II. Research Scientist or research Associates:
  - III. No. of Ph.D. Produced:
  - IV. Other technical personnel trained:
  - V. Patents taken, if any:
- 12. Publication**



### 13. Financial Position

No.	Financial position/Budget Head	Funds Sanctioned	Expenditure	% of Total
1	Salaries/manpower costs			
2	Equipment's			
3	Supplies & materials			
4	Contingencies			
5	Travel			
6	Other expenses			
7	Others if any			
	Total			

Balance amount if any:

### 14. Procurement/Usage of Equipment:

a.

S.No.	Name of Equipment	Make/Model	Cost Lakhs	Date of Installation	Utilization rate(%)	Remarks regarding maintenance/Breakdown
1						

b. Plans for utilizing the equipment facilities in future

The procured equipment's can be used for:

i.

Name and Signature with date

(Principal Investigator)