



UNIVERSITY PATENT FUNDING, COMPLIANCE AND GOVERNANCE POLICY

(Applicable only for Patents)

1. Purpose and Objectives

This Policy establishes principles and procedures governing institutional funding of patent filing, prosecution, maintenance, and commercialization of intellectual property generated by the University community.

The objectives are to:

- Protect and commercialize University-owned intellectual property
- Ensure responsible and accountable allocation of institutional funds
- Promote innovation and translational research
- Maximize societal and economic impact
- Prevent misuse of funds and legal exposure
- Establish strict compliance and accountability mechanisms

2. Scope and Applicability

This Policy applies to:

- Faculty members
- Researchers and project staff
- Students (where University resources are used)
- Sponsored research projects (subject to funding agreements)
- Joint inventions with external collaborators (subject to written agreements)

3. Ownership

Patent funding shall be considered only if:

- An Invention Disclosure Form (IDF) is duly submitted
- Ownership vests wholly or partially with the University under its IP Policy
- No conflicting third-party claims exist
- Sponsor agreements (if any) permit patent filing
- All contributors submit signed declarations of inventor ship

The University reserves the right to refuse funding where ownership or inventor ship is unclear.

4. Central Patent Evaluation Committee (CPEC)

i. A Central Patent Evaluation Committee (CPEC) shall be constituted by the Vice-Chancellor.

ii. Composition shall include:

- Dean (R&D) – Chairperson
- Dean/Associate Dean/Coordinator National/International Academic Collaborations and Patenting
- University Legal Officer/IP Counsel

- Legal/IP Expert (internal or empanelled)
- Finance Officer nominee
- Senior Faculty Member
- External Technical/Industry Expert (as required)

iii.No patent application shall be funded without written recommendation of the CPEC.

iv.The CPEC shall:

- Conduct technical and commercial evaluation
- Verify inventor ship and contributor assessment
- Review prior art and novelty findings
- Assess financial implications
- Ensure legal and regulatory compliance
- Maintain documented proceedings for audit (minimum 10 years retention)

5. Mandatory Preliminary Screening

i. All applications shall undergo mandatory screening by the TTO/IP Cell prior to Committee consideration.

ii. The screening shall verify:

- Novelty through prior art search
- Absence of prior publication or public disclosure
- Proper identification of contributors
- Compliance with research ethics norms
- Conflict-of-interest disclosures

iii. Applications shall be rejected if the idea is:

- Already patented globally
- Published in any form (journal, conference, thesis, repository, website, preprint, etc.)
- Publicly disclosed before filing
- Substantially similar to an existing invention
- Lacking novelty or inventive step

6. Debarment and Misrepresentation

i.Submission of knowingly non-novel or misleading applications shall result in:

- Immediate rejection
- Debarment from patent funding for up to five (5) years
- Possible disciplinary proceedings

ii. Repeated frivolous submissions may lead to permanent disqualification from patent funding.

ii. False declaration of inventorship or suppression of contributors shall constitute misconduct.

7. Assessment of Contributors

i.All contributors shall be evaluated at the preliminary stage to determine:

- Legal inventorship eligibility
- Level of intellectual contribution
- Conflict of interest
- Compliance with research integrity standards

ii. Inventor ship disputes must be resolved prior to funding approval.

8. Patent Funding Principles

The University shall fund patent applications selectively based on:

i. Patentability

- Novelty
- Inventive step
- Industrial applicability
- Favourable prior art search

ii. Commercial Potential

- Identifiable market need
- Industry relevance
- Licensing feasibility or start-up potential
- National or strategic importance

iii. Technology Readiness

Preferably proof-of-concept validated.

iv. Financial Prudence

- Cost-benefit evaluation
- Long-term maintenance implications
- Portfolio balance considerations

v. Eligibility for full/partial financial support

- All contributors can be from within the University
- Externals co-contributors can be considered only if formal MoU/collaboration document exists with written permission from the University as well as the external agency
- Or formal academic collaboration (continuation of earlier work with a previous colleague, supervisor etc.) can be established

9. Restricted Jurisdictions

i. The University shall not support patent filing in jurisdictions:

- Restricted by Government of India advisories
- Subject to international sanctions
- Identified under export control regulations
- Notified by the University as high-risk

ii. Applications substantially involving collaborators from restricted jurisdictions shall be ineligible for institutional funding.

10. Funding Support under AICTE–KAPILA Scheme

i. The University shall facilitate patent filing support under the **Kalam Program for Intellectual Property Literacy and Awareness (KAPILA)** of the All-India Council for Technical Education (AICTE), subject to the prevailing scheme guidelines.

ii. Under the KAPILA Scheme, financial assistance shall be supported as per AICTE norms.

iii. Where the sanctioned amount under the KAPILA Scheme is insufficient to meet the total patent filing expenses, the University may, upon recommendation of the Central Patent Evaluation Committee (CPEC), provide additional financial support from the University Patent Fund, subject to availability of budget and compliance with this Policy.

iv. All funding under this section shall be subject to applicable AICTE guidelines and University regulations.

11. Stages of Patent Funding

Stage I – Prior Art & Indian Provisional Filing

University may fund:

- Prior art search
- Patent drafting charges
- Filing fees before the Indian Patent Office
- Professional attorney fees

Approval Authority: CPEC

Stage II – Complete Specification (Indian Filing)

Funding contingent upon:

- Technical validation progress
- Market assessment
- Commercialization pathway
- Compliance re-evaluation

Stage III – PCT Filing

Filing under the Patent Cooperation Treaty requires:

- Strong commercialization potential
- Industry interest or start-up formation
- Budget availability
- Fresh Committee approval

Approval at earlier stages does not guarantee support at this stage.

Stage IV – National Phase Entry (Foreign Countries)

Approval requires:

- Evidence of licensing discussions
- Strategic importance
- 5–10 year cost projection
- Risk assessment
- Jurisdictional compliance clearance

Stage V – Maintenance & Prosecution

Continuation subject to:

- Annual review
- Commercial progress
- Revenue vs. cost assessment

The University may discontinue funding if commercially non-viable or legally vulnerable.

12. Termination of Funding and Strict Action

Funding shall be immediately terminated if:

- Any adverse material fact is discovered
- False declaration or misrepresentation is detected
- Plagiarism or duplication is established
- Legal or regulatory non-compliance is identified

- Audit or vigilance objection arises

The University may:

- Recover incurred expenses
- Debar the applicant
- Initiate disciplinary proceedings
- Take appropriate legal action

13. Legal Obligations of Applicants

Every applicant shall:

- Declare originality and completeness of disclosure
- Confirm absence of prior public disclosure
- Disclose all contributors and financial interests
- Maintain confidentiality until filing
- Comply with statutory, sponsor, and export control regulations
- Cooperate fully during prosecution

Breach of obligations shall invite disciplinary and legal consequences.

14. Revenue Sharing

After recovery of patent and legal expenses:

- 70% to Inventor(s)
- 30% to University

Revenue distribution shall be subject to compliance with all University rules and recovery of outstanding liabilities, if any.

15. Financial Accountability

- i. A dedicated Patent Fund shall be maintained under the R&D budget.
- ii. All expenditures shall be subject to audit and financial approval norms.
 - a. Retrospective funding of independently filed patents without prior approval shall not be permitted.

16. Review and Amendment

- i. This Policy shall be reviewed every three years or earlier if required.
- ii. Amendments require approval of the Executive Council/Board of Management.

Submitted for approval to:

Dr. R. K. Pandit

Vice-Chancellor

ANNEXURE – I
INVENTION DISCLOSURE FORM (IDF)

1. General Information

1.1 Title of the Invention:

1.2 Date of Submission:

1.3 Department / School:

1.4 Name of Principal Inventor:

1.5 Designation:

1.6 Contact Details (Email & Phone):

2. Details of Inventor(s) / Contributor(s)

S. No.	Name	Designation	Department/Organization	Nature of Contribution	% Contribution (if applicable)	Signature

3. Description of the Invention

3.1 Field of the Invention:

3.2 Background and Problem Statement:
(Describe the technical problem addressed)

3.3 Detailed Description of the Invention:
(Explain structure, method, system, or process clearly)

3.4 Key Novel Features (What makes it new?):

3.5 Advantages over Existing Technologies:

4. Prior Art and Novelty

4.1 Has a prior art search been conducted?

Yes No

If yes, provide summary and attach report.

4.2 List closest known technologies / patents / publications:

4.3 Has the invention been previously published, presented, or disclosed?

Yes No

If yes, provide details (journal, conference, website, thesis, etc.):

5. Development Status

5.1 Stage of Development:

- Concept
- Prototype developed
- Laboratory tested
- Field tested
- Commercially validated

5.2 Technology Readiness Level (if known):

6. Commercialization Potential

6.1 Potential Application Areas:

6.2 Target Industry / Market:

6.3 Estimated Market Need / Impact:

6.4 Any Industry Partner Interested?

Yes No

If yes, provide details:

7. Funding and Sponsorship

7.1 Was the invention developed under a sponsored project?

Yes No

If yes, provide:

- Project Title: _____
- Funding Agency: _____
- Grant Number: _____

7.2 Were any external collaborators involved?

Yes No

If yes, attach collaboration agreement details.

8. Compliance and Legal Declarations

I/We hereby declare that:

- The invention described herein is original to the best of my/our knowledge.
- All contributors have been properly identified.

- No material information has been suppressed.
- The invention has not been publicly disclosed except as declared above.
- I/We agree to abide by the University Patent Funding, Compliance and Governance Policy.
- I/We agree to cooperate fully in patent prosecution and commercialization activities.

Signature of Principal Inventor:

Name: _____

Date: _____

Signature(s) of Co-Inventor(s):

9. For Official Use Only

Date of Receipt: _____

Application No. (Internal Reference): _____

Preliminary Screening Status:

Accepted for Committee Review

Rejected at Screening Stage

Remarks:

Signature – Dean External collaborations and patenting