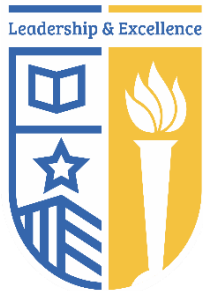


“INNOVATION AND STARTUP POLICY 2023”, Owned by “Sri Eshwar College of Engineering”



Sri Eshwar College of Engineering

Approved by AICTE, New Delhi & Affiliated to Anna University, Chennai



Innovation and Start-up Policy Manual 2023

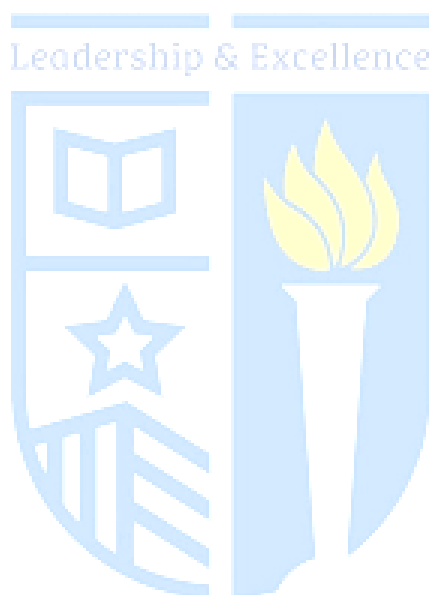


Sri Eshwar
College of Engineering

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Innovation Policy Manual



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Table of Contents

SL.No	CONTENTS	PAGE No.
	Institute Vision and Mission	1
1	Preamble	2
2	Vision	2
3	Mission	2
4	Policy Statement	3
5	Policy Objectives	3
6	List of Abbreviations and Definitions	3
7	Strategies & Governance	6
8	Nurturing Innovation and Start-ups	7
9	Guidelines for Student Start-ups	10
10	Guidelines for Faculty-Led Start-ups	11
11	Pedagogical Approaches for Entrepreneurship Education	12
12	Intellectual Property Rights (IPR) Policy	14
13	Monitoring and Evaluation	14
14	Review	15
15	Annexure-A	16
16	Roles and Responsibility	24
17	Sri Eshwar's Centre for Research and Innovation	24
18	Structure of Centre for Innovation	24



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INSTITUTE VISION :

To be recognized as a premier institution, grooming students into globally acknowledged engineering professionals.

INSTITUTE MISSION :

We will achieve the mission by,

1. Providing outcome and value based engineering education
2. Nurturing research and entrepreneurial culture
3. Enabling students to be industry ready and fulfill their career aspirations
4. Grooming students through behavioral and leadership training programs
5. Making students socially responsible

SRI ESHWAR'S INNOVATION AND STARTUP POLICY FOR THE YEAR 2023

(Designed for the students and staff members of Sri Eshwar College of Engineering)

1) Preamble

In November 2016, the All-India Council of Technical Education (AICTE) introduced a Start-up Policy document tailored for AICTE-approved institutions. The goal was to encourage innovation and instill an entrepreneurial spirit within higher education institutions (HEIs). The policy aimed to provide guidance to AICTE-approved institutions in implementing the 'Start-up Action Plan' outlined by the Government of India.

Following this, in 2018, the Government of Tamil Nadu unveiled the Tamil Nadu Start-up and Innovation Policy 2018-2023 to support and enhance the innovation and entrepreneurship ecosystem within the state. Subsequently, in February 2019, the Ministry of Human Resource Development (MHRD), in collaboration with AICTE and MHRD's Innovation Cell (MIC), released the "National Innovation and Start-up Policy (NISP) 2019," targeting students and faculty of HEIs. Building upon the principles of NISP 2019 and the Tamil Nadu Start-up and Innovation Policy 2018-2023, Anna University established guidelines for faculty, staff, and students to promote a thriving innovation and start-up ecosystem within the university. As a result, Sri Eshwar College of Engineering (Sri Eshwar) has formulated the Sri Eshwar Innovation and Start-up Policy (SEISP 2023) in alignment with these overarching policies, aiming to meet the innovation and entrepreneurial needs of its students and staff members.

2) Vision

To cultivate a culture of innovation and entrepreneurship among the students and staff members leading to the setting up of science and technology-based campus start-ups and nurturing entrepreneurs.

3) Mission

Our dedication lies in nurturing start-ups and entrepreneurs rooted in science and technology. We provide the essential ecosystem including infrastructure, mentorship, financial support, networking opportunities, and relevant processes to facilitate their growth and success.

4) Policy Statement

Offering an excellent eco-system for nurturing innovation and an entrepreneurial mind-set among students and staff members. This initiative aims to encourage the formation of science and technology-driven start-ups that contribute to the betterment of society, the nation, and beyond.

5) Policy Objectives

- a) To encourage students to take up innovation-led entrepreneurship as a preferred career choice and provide assistance for the successful launch of their start-ups.
- b) Facilitating the promotion of start-ups led by staff members to transform ideas and innovations into commercially viable products/processes in accordance with Sri Eshwar Intellectual Property Rights (IPR) policy

6) List of Abbreviations and Definitions

Terminology	Definition
Accelerators	Startup accelerator's structure programs in cohorts, guiding and actualizing innovative business plans with the mentor assistance and various resources available.
Angel Investors	An angel investor is a high-net-worth person who invests capital amount and provides contacts, experiences, and mentorship to a startup in exchange for equity. Angels, typically accredited investors, are deeply interested in the success of the startup, given their financial involvement.
Co-Creation	Co-creation involves the collaborative activity, when used in a business context, it serves as an economic strategy for developing new products, business models, and services in collaboration with trading partners, clients, customers, or other components of the same business or organisation.
Equity	An equity share often known as ordinary shares, signifies a form of partial or fractional ownership wherein a shareholder, acting as a fractional owner, assumes the highest entrepreneurial risk linked to a business venture. Those holding such shares are considered members of the company and enjoy voting rights.

Terminology	Definition
Entrepreneurial culture	A society or culture that promotes the display of values, attributes, behaviors, and beliefs associated with entrepreneurship.
Entrepreneur	A person with an entrepreneurial mind-set who aspires to bring their idea to fruition and achieve success.
Entrepreneurship Education	Entrepreneurship education aims to develop the skills of the aspirants with the knowledge, and mentorship necessary to enrich entrepreneurial success in diverse environments.
Fab Lab or prototype lab	A fab lab is a compact workshop that provides digital fabrication services. It usually features a range of versatile, computer-controlled tools capable of working with different lengths and materials, all geared toward the goal of creating a wide array of items, essentially allowing the creation of "almost anything."
Hackathon	A Hackathon is a codefest event where computer programmers, domain experts, and other professionals in software and Hardware development, collaborate intensely on software and hardware projects.
Incubation	Incubation is a distinctive and adaptable incorporation of human resources, infrastructure, and business development processes, crafted to foster the growth of new, innovative, and small businesses by providing support during their initial phases of development.
Intellectual Property Rights (IPR) licensing	Licensing entails a collaboration between the owner of intellectual property rights (licensor) and an authorized party allowed to utilize those rights (licensee) in return for a mutually agreed-upon payment, which could be in the form of a fee or royalty.
Pre-incubation	It generally signifies the process of working with entrepreneurs who are in the initial phases of establishing their companies. Typically, participants in such programs enter with nothing more than an idea or an early prototype of their product or service.
Prototype	A prototype is an initial version, model, or sample of a product created to evaluate an idea or process.
Seed fund	In the initial phase, seed funding is a one-time security provided by the investor in a start-up firm in return for an ownership stake in the organization.
Start-up	An organization composed of a business plan grounded in innovation, rendering it reliable, replicable, scalable, and self-sufficient.

Terminology	Definition
Staff members / Student Start-up	A start-up initiated by individuals, including faculty members or students, who are enrolled in an academic institution recognized or approved by AICTE.
Technology Business Incubator (TBI)	A Technology Business Incubator (TBI) is an organization that provides essential resources including furnished space, prototyping tools and support to technology-based start-ups, aiding them in their evolution and growth into mature businesses.
Technology and Product Commercialization (TPC)	Technology and product commercialization (TPC) is the procedure of moving technologies/prototype/product from the research laboratory to the outlet.
Technology licensing	A licensing agreement is a pact in which the owner of technological intellectual property (licensor) permits another party (licensee) to utilize, modify, and/or resell that property in exchange for compensation.
Technology Readiness Level (TRL)	<ul style="list-style-type: none"> ○ TRL0: Idea- Concept yet to be validated; not analysed. ○ TRL1: Basic Research- Principles posited and perceived, yet lacking experimental verification of the idea. ○ TRL2: Technology Formulation-The idea and its implementation have been formulated. ○ TRL3: Applied Research-Initial laboratory testing accomplished; feasibility of Concept established. ○ TRL4: Small scale prototype - A laboratory-crafted small-scale prototype, often referred to as an "Ugly" Prototype. ○ TRL5: Large scale prototype - A full-scale prototype experimented in the intended conditions. ○ TRL6: Prototype System tested in intended condition Approaching the anticipated level of performance. ○ TRL7: Demonstration System functioning in an operational environment at a pre-commercial scale. ○ TRL8: First-of-kind commercial system- Resolution of manufacturing challenges. ○ TRL9: Full Commercial application - Technology accessible to consumers.

7) Strategies & Governance

- a) Sri Eshwar's Head Innovation along with Faculty Coordinator will be tasked with fostering innovation, entrepreneurship, and start-ups within the institute.
- b) Sri Eshwar's Head Innovation will oversee and coordinate the various facilities and teams responsible for implementing the SEISP policy and promoting start-ups:
 - i. Entrepreneurship Development Cell (EDC)
 - ii. Sri Eshwar Institution's Innovation Council (Sri Eshwar IIC)
 - iii. Intellectual Property Rights (IPR) Cell
 - iv. Technology Business Incubator @ Sri Eshwar (TBI@ Sri Eshwar) – A Separate entity registered under Society Registration Act 1975.
- c) The Pre-Incubation and Incubation provisions will be available around the clock, ensuring access for students and staff members from all departments and disciplines across the institution.
- d) A viable financial plan of action has been formulated to alleviate organizational restrictions and facilitate focus on the entrepreneurial program.
 - i. Institute must spend at least 1% (under Innovation) of its annual expenditure as the investment for these activities.
 - ii. Strategies will be developed to secure funds from various sources, encompassing external funding through government entities (state and central) such as NRDC, DBT, DST, CSIR, DSIR, TDB, BIRAC, MHRD, AICTE,, TIFAC, NSTEDB as well as non-government sources. The encouragement of external funding from entities like MeitY, MSDE, Startup India, MSME, Invest India, etc., will be emphasized.
 - iii. Sri Eshwar has the option to secure funding through sponsorships and donations. The institution will proactively involve its alumni network in advancing Innovation & Entrepreneurship (I&E) and seek funds from the private and corporate sectors under Corporate Social Responsibility (CSR), following the guidelines outlined in Section 135 of the Company Act 2013.
- e) Sri Eshwar will play a pivotal role in cultivating an entrepreneurial culture at various levels, including community, social, and regional levels. This involves offering chances for regional start-ups, extending facilities for external entities, and actively participating in shaping the approach for local development.

- f) Sri Eshwar will offer guidance and other pertinent services through its Pre-incubation/Incubation units, with compensation arrangements encompassing equity sharing, fees, and/or a zero-payment basis.

8) Nurturing Innovation and Start-ups

a) EDC

- i. Creating awareness among students, faculty, and staff about the significance of entrepreneurship and its role in career development.
- ii. Encouraging entrepreneurship as a feasible career choice and delivering pre-incubation support to innovators/students, leading to the establishment of campus start-ups/new ventures.
- iii. EDC will consist of an Overall Coordinator, Departmental Faculty Coordinators, Departmental Student Coordinators, and student members.

b) Sri Eshwar IIC

- i. Adhering to the annual calendar of activities outlined by the MIC, and fostering innovation-led initiatives.
- ii. Conduct regular seminars, workshops, and interactions with professionals, investors, and entrepreneurs establishing a guidance for student innovators. Additionally, organize Hackathons, idea competitions, mini-challenges, etc., involving the participation of industries.
- iii. Sri Eshwar IIC will consist of key positions including a President, Vice President, Convener, Faculty Coordinator, Innovation Ambassadors, Faculty and Student Coordinators overseeing various activities, along with Departmental Faculty Coordinators and student members.

c) Sri Eshwar will support start-up activities and technology development by granting students and faculty members access to facilities in the institute, accommodating the preferences of promising entrepreneurs in the following ways:

- i. Short-term/six-month/one-year part-time entrepreneurship training.
- ii. Mentorship support on regular basis.
- iii. Providing support in diverse areas such as creativity, ideation, design thinking, technology development, fund raising, financial management, new enterprise planning, business and product development, social

entrepreneurship, product costing, marketing, brand development, human resource management, as well as legal and regulatory aspects affecting a business.

iv. The nurturing process at Sri Eshwar involves providing support to early-stage innovators for prototyping. Sri Eshwar offers two funding schemes to facilitate this support.

- Sri Eshwar student seed money support based on the project required per idea/Team
- Sri Eshwar Travel Grant support as per the below Norms.

Adherence to the guidelines for utilizing Project Fund (Students) and Travel Grant in the context of innovation is followed.

FUND UTILIZATION		
S.No.	Details	Amount (Rs.)
1.	Project Fund per Team	Based on the project requirement
2.	Travel Grants will be provided to students who secure a position in the final round of Major Hackathons, specifically within the Top 10 Teams. These hackathons should be organized by reputable MNCs or government organizations (excluding those events organized by the institutions).	

NORMS TO BE FOLLOWED FOR ON-DUTY	
The count of on-duty days for students engaged in external participation.	Maximum of 7 Days Per Semester
On-duty requirements for internal student engagements	Decided by the HoD Concerned

Note:

1. The Project Fund and Travel Grant must be channeled through the principal, following the route of the Department Innovation Head, Head of Department (HoD), Head (Innovation), and Dean (Research and Innovation).
2. The essential ORIGINAL BILLS/TICKETS must be submitted to the IQAC office/Accounts Section through the Faculty Mentor within 3 working days from the completion of the event. Fund reimbursement will be processed in accordance with the Institute norms.
3. On-Duty (OD) can be taken with the requisite approval from the Department Innovation Head, Head of Department (HoD), and Head (Innovation).

A distinct committee will handle the applications, identify promising and scalable ideas, and oversee the development of approved projects.

- v. Furthermore, to streamline and establish pathways for innovation and entrepreneurship at the institute level, guidance and system initiatives will be undertaken to assist innovators and entrepreneurs in presenting their ideas for various programs such as the EDII Innovation Voucher Program (IVP) and TBI's Nidhi Prayas schemes.
- vi. To fascinate and preserve the right individuals, the institute may provide incentives and reward mechanisms for all faculty who are vigorously involved in contributing to and supporting entrepreneurship agenda and activities.
 - The staff's reward system may encompass sabbatical leave, infrastructure provision for entrepreneurial activities, reduced teaching loads, recognition, training opportunities, and more.
 - The Monitoring Committee will assess annual performance evaluations.
- vii. In exchange for the guidance and facilities, the institute may acquire a stake of 2% to 9.5% equity in the start-up/company. This stake is determined by factors such as the brand used, support provided, faculty contribution, and the utilization of the institute's intellectual property rights (IPR).
- viii. The institute will periodically revise and update performance evaluation policies for faculty and staff in alignment with the innovation policy.

d) TBI@Sri Eshwar

- i. The Technology Business Incubator (TBI) will furnish incubation facilities.
- ii. The TBI will be composed of a Manager, Coordinator, Project Coordinators, and Technical Staff.
- iii. All Facilities within the TBI are accessible to students and staff members around the clock.
- iv. The Prayas Shala/Prototyping Lab will conduct frequent training programs to foster innovation among students and faculty, assisting them in translating their ideas into prototypes.

- v. Technology Business Incubator (TBI) has the option to connect start-ups with other seed-fund providers, angel investors, venture capitalists, or potentially establish its own seed fund once the incubation activities reach maturity.
- vi. Technology Business Incubator (TBI) will offer this start-up facility to both institute alumni and external individuals.

9) Guidelines for Student Start-ups

- a) Students are permitted to establish a start-up, including social start-ups, and engage in part-time work for these ventures while pursuing their studies.
- b) Student entrepreneurs have the opportunity to earn academic credits for their entrepreneurial endeavors. They can earn a maximum of 1 credit for innovative Proof of Concept (PoC) development (during the 5th semester), a maximum of 1 credit for prototype or Minimum Viable Product (MVP) development (during the 6th semester), and a maximum of 1 credit when the student collaborates to establish a company with a business plan in place (during the 7th semester). The evaluation and credit recommendations will be conducted by TBI@ Sri Eshwar and the SEISP committee.
- c) Student inventors have the option to choose a start-up instead of their mini project, major project, seminars, and summer trainings, subject to approval from the Chief Coordinator (Academic), SISP committee, and the head of the institution. Students are allowed to use the start-up idea or prototype development as their major project work to fulfill the academic requirements of the Institute. The chosen area for initiating a start-up may be interdisciplinary or multidisciplinary.
- d) Sri Eshwar will grant students associated with TBI@ Sri Eshwar an exemption to utilize up to a maximum of 20% attendance in any semester. Considering this allowance of 20% attendance, students must achieve the minimum attendance percentage specified by Sri Eshwar in each subject to be eligible for the end semester examination. Prospective student entrepreneurs may be permitted to take the examination, even if their attendance falls below the minimum permissible percentage, provided they have obtained permission from the head of the institution.

- e) Students are permitted to take a semester or year-long break, or more as determined by the institute's review committee (after the sixth semester), to dedicate time to their start-ups. They can subsequently re-join academics to complete their course.
- f) Students who are actively involved in entrepreneurial ventures while under incubation will be allowed to register their company using the institute's address, subject to approval from the head of the institution.

10) Guidelines for Faculty-Led Start-ups

- a) The faculty and departments of the institute must collaborate, with cross-departmental linkages strengthened through shared faculty, cross-faculty teaching, and research, to maximize the utilization of internal resources and knowledge.
- b) Some of the relevant faculty members with prior exposure and interest should be deputed for training to promote innovation & Entrepreneurship.
- c) Faculty and staff are permitted to take a leave of absence for a semester, year, or more (as determined by the institute's review committee) in the form of sabbatical, unpaid leave, casual leave, or earned leave to work on start-ups and subsequently return. Sri Eshwar will consider facilitating the use of its resources for faculty, students, and staff wishing to dedicate their full time to establishing a start-up. Seniority and other academic benefits during this period may be preserved for such staff or faculty.
- d) Faculty start-ups are exclusively eligible to pursue technologies originating from Sri Eshwar:
 - i. The role of faculty may encompass ownership or direct promotion, mentoring, consulting, or serving as an on-board member of the start-up.
 - ii. Sri Eshwar will formulate a 'conflict of interests' policy to safeguard against any compromise to the regular duties of faculty due to their engagement in start-up activities.
 - iii. Faculty start-ups may comprise solely of faculty members or include students, faculty from other institutes, alumni, or other entrepreneurs.
- e) For staff and faculty, Sri Eshwar can obtain up to 20% of the shares acquired by staff/faculty while receiving a full salary from the institution; however, this share will remain within the 9.5% cap of company shares.

- f)** There are no restrictions on the shares that faculty/staff can acquire, provided they do not allocate more than 20% of their office time to the start-up in an advisory or consultative capacity and do not compromise their existing academic and administrative responsibilities. If a faculty/staff member holds an executive or managerial position in a start-up for more than three months, they will be required to go on sabbatical, leave without pay, or earned leave.
- g)** Faculty must distinctly separate and differentiate ongoing research at the institute from the work conducted at the start-up/company.
- h)** A company owned or co-owned by a faculty/staff will typically be obligated to incubate at TBI@ Sri Eshwar. In exceptional cases where the faculty/staff wishes to incubate outside the institute, a compelling justification must be provided for the approval of the Institute. The decision of the Institute is final and binding in such cases.
- i)** Faculty members are not allowed to involve research staff or other institute staff in activities at the start-up, and vice versa.
- j)** Research related to human subjects in the start-up must obtain clearance from the institution's ethics committee.
- k)** If a faculty-led start-up is chosen by an external national or international accelerator, the faculty may be granted a maximum leave (in the form of sabbatical/unpaid leave/casual leave) of one semester, or more as determined by the institute's review committee.
- l)** Engagement in start-up-related activities will be recognized as a legitimate faculty activity alongside teaching, R&D projects, industrial consultancy, and management duties. This involvement will be taken into consideration during the annual performance evaluation of the faculty. Each faculty member is encouraged to serve as a mentor for at least one start-up.

11) Pedagogical Approaches for Entrepreneurship Education

- a)** Faculty are encouraged to adopt a varied approach to attain desired learning outcomes, integrating cross-disciplinary learning through the utilization of mentors, labs, case studies, games, etc., rather than relying solely on traditional lecture-based delivery.

- b)** Students are advised to select courses such as Economics & Management, Entrepreneurship Development, Innovation and Business Plan Development, Product Design and Development, Principles of Management, and Industrial Psychology to enhance their understanding of entrepreneurial practices.
- c)** EDC, Sri Eshwar IIC, and TBI@ Sri Eshwar will partner to conduct idea and design competitions, project expo, networking events, boot camps, workshops, etc., aimed at fostering students' critical thinking and responsiveness. During these activities, the following aspects are to be ensured:
- i.** Ensuring stakeholder engagement is of paramount importance in the entrepreneurial agenda.
 - ii.** Foster an environment that encourages continuous sharing of ideas and knowledge among staff members and students.
- d)** Sri Eshwar will establish Memoranda of Understanding (MoUs) with potential partners, resource organizations, micro, small, and medium-sized enterprises (MSMEs), social enterprises, universities, schools, alumni, professional bodies, and entrepreneurs to facilitate entrepreneurship and collaboratively design programs.
- i.** The institute has implemented a Single Point of Contact (SPOC) mechanism for students, faculty, collaborators, partners, and other stakeholders to ensure easy access to information.
 - ii.** Staff members and students of the institute are encouraged to participate in internships, teaching and research exchange programs, social gatherings, etc., to engage with their external environment.
- e)** Sri Eshwar will institute an annual 'INNOVATION & ENTREPRENEURSHIP AWARD' to recognize outstanding ideas, successful enterprises, and contributors who have significantly contributed to promoting the innovation and entrepreneurial ecosystem within the institute.
- f)** Innovation champions will be identified and nominated from both students and faculty within each department.
- g)** Best Entrepreneur will be identified and nominated by the Alumni cell of Sri Eshwar.
- h)** At the start of each academic session, the Sri Eshwar Innovation & Entrepreneurship Forum will organize an induction program highlighting the significance of Innovation & Entrepreneurship. This ensures that newly enrolled

students and faculty are informed about the institute's entrepreneurial agenda and the available support systems.

- i) Periodic adjustments to the pedagogical approach will be implemented to ensure that a maximum number of student projects and innovations are centered around real-life challenges.
- j) Learning interventions designed to instill an entrepreneurial culture will undergo regular reviews and updates to ensure their effectiveness.

12) Intellectual Property Rights (IPR) Policy

As outlined in Annexure A

13) Monitoring and Evaluation

- a) The head of the institution will appoint a monitoring and assessment committee for SEISP, comprising the SEISP coordinator, senior faculties, and other stakeholders. This committee is tasked with conducting impact assessments and generating reports on SEISP activities.
- b) The impact assessment to gauge success should focus on sustainable social, financial, and technological impacts in the market. Key Performance Indicators (KPIs) will be utilized to measure the attainment levels, aligned with the targets set for every two years.

13.1 Key Performance Indicators (KPIs)

A. Short-term initiatives (one-year duration)

1. Number of students and faculty participating in awareness/training programs organized by Sri Eshwar
2. Number of students and faculty participating in events/programs organized by external agencies
3. Number of ideas generated and innovations created
4. Number of innovative projects acknowledged at the national and international levels
5. Number of ideas, innovations, and start-ups supported through funding by Sri Eshwar/TBI@ Sri Eshwar
6. Number of courses on Innovation, Intellectual Property Rights (IPR), and Entrepreneurship

B. Mid-term initiatives (two-year duration)

1. Number of intellectual properties filed/provisionally granted
2. Number of patents granted
3. Number of technology transfers/commercialization's happened
4. Grant/funds generated/received by the institute to support innovation and start-ups
5. Angel funds /venture funds/investments mobilized to support innovation and start-ups

C. Long-term initiatives (three-year duration)

1. Number of successful innovations converted into start-ups
2. Number of advanced lab infrastructures, pre-incubation, and incubation facilities created on-campus
3. Innovative solutions developed in-house and the level of impact created thus far after being adopted at the institute or in society.

14) Review

This policy will be subject to a review every two years to align with updates in the Ministry of Education (MoE) National Innovation and Start-up Policy for students and staff members along with the startup policies of the Tamil Nadu Government and Anna University applicable to students and staff members.

References

- b)** Atal Ranking of Institutions on Innovation Achievements (ARIIA) ranking frame work. <https://www.ariia.gov.in/>
- c)** Tamil Nadu Startup and Innovation Policy 2018-23, Entrepreneurship Development and Innovation Institute, Chennai. www.editn.in
- d)** Anna University Startup Policy Guidelines for Faculty, Staffs and Students –2020, Centre for Entrepreneurship Development, Anna University, Chennai, Tamil Nadu.
- e)** National INNOVATION and STARTUP Policy 2023 for Students and Faculty-MHRD, GOI. www.mhrd.gov.in / www.mic.gov.in
- f)** Startup Policy–2016, AICTE–New Delhi. www.aicte-india.org

15. Annexure-A
SRI ESHWAR COLLEGE OF ENGINEERING
IPR POLICY

A: Preamble

Sri Eshwar College of Engineering (Sri Eshwar or Institute), an autonomous engineering college, specializes in core areas such as Mechanical, Electrical, Electronics & Communication, and Computer Science Engineering, along with their applications in various domains.

Sri Eshwar's mission is to contribute to the transformation of industry and society through research-led education, innovation promotion, and the cultivation of human values. The Institute recognizes the diverse stakeholders involved in the creation of its Intellectual Property (IP), including the government of Tamil Nadu & India, faculty, staff, research scholars, students, guest researchers, sponsors, technology transfer units, and national IP offices.

Acknowledging the importance of innovation, Sri Eshwar aims to translate research into products, processes, and services for both commercial benefits and the broader public good. The features of Sri Eshwar's IP Policy are designed to identify, protect, and leverage various forms of intellectual property, such as research outcomes, patents, copyrights, design rights, and trademarks. These measures serve the dual purpose of knowledge diffusion and commercialization, aligning with Sri Eshwar's overarching mission.

B: The Sri Eshwar Intellectual Property (IP) Policy

This policy is applicable to all individuals associated with Sri Eshwar, including students, staff members, researchers, and others affiliated with the Institute. Sri Eshwar personnel are obligated to be cognizant of the intellectual properties arising from their research and teaching activities, recognizing the potential for heightened productivity, ground-breaking developments, inventions, and creative endeavors. It is imperative to effectively communicate and disseminate these intellectual properties.

Sri Eshwar personnel should grasp that safeguarding inventions and creative works through Intellectual Property Rights (IPRs) not only serves their personal interests

but also provides commercial advantages to Sri Eshwar. Publishing without considering the possibility of IPR protection, particularly patent protection, may compromise the opportunity to secure IPRs and the associated financial benefits through licensing.

An IPR Committee, appointed by the head of the institution and comprising a minimum of three faculty members, will conduct evaluations for IPR protection. This evaluation takes into account technical and commercial merit, market size and potential, interest from industry partners, as well as novelty and inventiveness, determined through a patentability search conducted by an independent party, such as a patent agent.

Upon assessing the feasibility of IPR protection and either securing protection or obtaining clearance to proceed without it, Sri Eshwar personnel retain the right to decide how the outcomes of their research will be disseminated—either through publications or disclosure, adhering to standard academic practices. In situations where a particular invention or development falls under both sub-policies, the IP Inventions Policy takes precedence. The authority to grant waivers to creators from the non-application of the IP policy is delegated to the head of the Institute.

i. Ownership: All individuals associated with Sri Eshwar are obligated to acknowledge and endorse the IP policy. Sri Eshwar maintains ownership rights over all Intellectual Property (IP) generated by its personnel. The institute reserves the authority to pursue IP protection in India, the US, and other designated countries considered appropriate for safeguarding the IP created by Sri Eshwar personnel.

ii. Funding of IPR costs: If the IPR Committee approves the proposal for IP protection, the institute will cover all related expenses, including government fees, administrative costs, and attorney fees. In cases where the institute decides not to independently pursue IP protection, individual inventors have the option to proceed with patenting at their own expense. However, they are required to acknowledge the institute as a joint applicant and execute an IP assignment agreement outlining the institute's ownership share, which will be determined on a case-by-case basis.

iii. Disclosure: Sri Eshwar encourages the prompt disclosure of any potential Intellectual Property (IP), inventions, or innovations developed by its faculty or staff members, including research staff, doctoral students, students, and visiting scholars, as part of their activities related to the Institute. Sri Eshwar acknowledges various legal mechanisms, including but not limited to patent, copyright, trademark, design rights, integrated circuits, etc., for registration purposes. The act of disclosure enables Sri Eshwar to

promptly take action to safeguard and share the research endeavors conducted at the institute.

iv.IP Licensing and Agreements: Sri Eshwar acknowledges the legitimate commercial needs and security considerations related to intellectual property, especially concerning innovative technologies. The licensing procedures for all IP owned by the institute, including evaluation, marketing, negotiations, and licensing, will be overseen by Sri Eshwar (refer to Annexure 2 for details on agreements). In certain cases, Sri Eshwar may enlist the services of a third party for technology licensing, adhering to mutually agreed terms and conditions within the framework of the Sri Eshwar IP Policy.

v.Technology License/Transfer Options: Sri Eshwar recognizes the crucial contribution of the inventor(s)/creator(s) in the effective commercialization process. Sri Eshwar will explore different avenues to maximize the utility of the generated IP, such as direct licensing to third parties, incubation, or collaboration with licensing agents. It is emphasized that the preference is for licensing over assignment, and in cases where IP is assigned, Sri Eshwar retains march-in rights. Any licensing facilitated by Sri Eshwar will be carried out on an "as is where is" basis.

vi.Technology licensing: This will align with the current policy, and the generated revenues will be distributed between the inventor(s) and Sri Eshwar in a 70:30 ratio. The 70% allocated to the Sri Eshwar inventor(s) will be distributed in accordance with a specific inventor's agreement among the inventors. In cases where there are multiple Sri Eshwar inventors, the default arrangement for sharing royalties is on an equal basis if there is no alternative revenue-sharing agreement. Additional information on royalty sharing is provided in Annexure 1. Essential elements of the licensing process encompass:

- The favoured licensing approach is Non-Exclusive. Deviations from this will be dictated by the project's funding and any other pertinent prerequisites.
- Periodic reviews will be conducted for Exclusive licenses, taking into account factors such as usage status, application and/or region specificity, and royalty generation, to determine the ongoing viability of the license agreement.

vii.Renewal of IP: Sri Eshwar will extend the validity of Intellectual Property (IP) for a duration of five years in all instances where the Institute holds a patent. In cases where the patent has been commercially utilized, the renewal will be contingent upon mutual agreements between the parties. If, within the initial five years, the patent remains commercially inactive, the creator(s) will be responsible for covering the subsequent

renewal fees. In the event that the creator(s) exhibit no interest in these renewals, the Institute reserves the right to withdraw the application for patent protection at its discretion.

viii. Infringements, Damages, Liability and Indemnity Insurance: In any agreement between the licensee and Sri Eshwar, Sri Eshwar will actively pursue indemnity from legal proceedings, encompassing, but not confined to, manufacturing defects, production issues, design guarantees, upgrades, debug obligations, and the created content. The policy also advocates for the inclusion of indemnification provisions for Sri Eshwar personnel in license agreements pertaining to sponsored research and consultative endeavors. Sri Eshwar will retain the right to participate in any legal action concerning its Intellectual Property (IP) and instances of license infringements.

ix. Jurisdiction: All contracts executed by Sri Eshwar will fall under the jurisdiction of the court in Coimbatore and will be subject to the applicable laws of India.

C: The Intellectual Property (IP) Policy for Inventions

i. Relevant inventions and Ownership: Under this policy, Sri Eshwar assumes ownership of inventions, including applicable software, designs, integrated circuit layouts, and patentable subject matter created within Sri Eshwar with significant Sri Eshwar resources, irrespective of the funding source. All inventors/creators must ensure the submission of an inventor's agreement at the time of presenting an invention disclosure to Sri Eshwar. This agreement will address various aspects, including the distribution ratio of any revenue obtained from the commercialization of the technology among Sri Eshwar inventors/creators. Failure to provide such an agreement will be interpreted as equal sharing among the Sri Eshwar inventors/creators.

ii. External Funded/Collaborative Development: In the case of pertinent inventions, such as software, designs, and integrated circuit layouts developed during sponsored and/or collaborative activities, whether internal or external, the applicable contractual provisions concerning intellectual property in agreements governing the collaborative activities must be consulted in conjunction with this policy.

- Sri Eshwar holds exclusive ownership of the Intellectual Property (IP) generated through provided funding.
- The IP produced is jointly owned with the collaborative partner, who holds the first rights of refusal for commercialization.

- In instances of collaborative or consortium-based IP generation, the IP terms outlined in the agreements governing such collaborations are to be considered in conjunction with this policy. In the absence of any specific IP agreement in such cases, Sri Eshwar adheres to its IP policy.
- Sri Eshwar retains the option to assign the IP generated to the funding agency, contingent on the nature of the technology, funding arrangements, and specific applications.

Regardless of the circumstances, Sri Eshwar always maintains the right to utilize the IP generated for its academic and research purposes.

iii.Design Rights: The design rights for any created component, whether physical or graphic and of any dimension, are subject to the regulations stipulated in the IP Inventions Policy presented in this section.

iv.Trade Mark(s) / Service Mark(s): The Sri Eshwar logo functions as the official trademark of the Institute. It is crucial to underscore that Sri Eshwar personnel should refrain from using the Sri Eshwar logo in private communications. The Sri Eshwar logo is permissible in official activities related to recognized Sri Eshwar entities, web pages hosted on the Sri Eshwar domain, project websites, reports where Sri Eshwar is a project participant, and student theses. Approval from Sri Eshwar is mandatory for any other usage of the Sri Eshwar logo or the Sri Eshwar name, whether in full or part.

D: The Expressions related IP Policy

i.Applicability & Requirements: This policy applies to all individuals affiliated with Sri Eshwar, as defined in the comprehensive IP policy. It encompasses their various activities during their association with Sri Eshwar, including but not limited to teaching, research, distance education, continuing education, consultancy, sponsored work, collaborative activities (both internal and external), and Institute-designated or sponsored endeavors (academic, cultural). The spectrum of creations covered by this policy includes copyrightable works and any related essential confidential information.

ii.Relevant creations and ownership: Title to creations, including literary works, software, music, cinematography, sound, and other rights covered under the Copyright Act of India, 1956, and its amendments, when applicable, that are produced in Sri Eshwar with significant Sri Eshwar resources under this policy, are assigned to and owned by Sri Eshwar

Sri Eshwar is the proprietor of administrative and other documents created as part of designated work. Examples include course outline documents, question papers, answer sheets, grade ranking sheets, and other similar creations. All creators are required to complete an inventor's agreement at the time of submission to Sri Eshwar. This agreement will include, among other aspects, the ratio of sharing any revenue received from the commercialization of the said creation. The absence of such an agreement will be considered as equal sharing among the creators.

iii. Teaching / Course material

- Sri Eshwar recognizes the author as the proprietor of teaching materials produced for instructional purposes during the author's association with Sri Eshwar.
- Given that course content is typically developed collaboratively and to facilitate broader usage and dissemination of teaching materials, Sri Eshwar automatically obtains a license to the copyright and all other rights of the content created by the author for fair dealing within academic and research contexts.
- Sri Eshwar is not accountable for any copyright infringements committed by its personnel in relation to the created content. Authors are expected to conduct due diligence during the content creation process

iv. Books, articles and related literary works: Sri Eshwar promotes the sharing of knowledge, understanding that books, technical articles, and similar mediums are instrumental in fulfilling this vision. Accordingly, Sri Eshwar refrains from claiming ownership of the copyright for books authored by its personnel. However, in instances where books involve collaboration among multiple research groups or faculty members teaching a course at the Institute, authors are anticipated to secure a pertinent no-objection certificate from co-authors or other contributors. Moreover, students wishing to publish their theses before submission for an academic degree must obtain prior written approval from Sri Eshwar.

E: Annexure 1.(i) Revenue Sharing

Proceeds from the commercialization of intellectual property owned by Sri Eshwar will be distributed in accordance with the following stipulations:

- The share for the inventor(s)/creator(s) will be announced annually (or upon receipt of revenues), and disbursements will be made to the inventor(s)/creator(s) and their legal heirs, irrespective of their current affiliation with Sri Eshwar.
- The revenue-sharing proportion between the inventor team and Sri Eshwar will be set at 70:30 in favor of the inventor team. The costs associated with intellectual property protection will be incorporated into the license revenue-sharing arrangement between Sri Eshwar and the inventor(s).
- If applicable, in situations where Sri Eshwar transfers the IP rights back to its creator(s) for any specific country, the terms governing cost and revenue-sharing will be outlined in a distinct agreement between Sri Eshwar and the inventor/creator(s).
- The inventors retain the flexibility to amend the agreement on the distribution of intellectual property earnings at any time through mutual agreement.

Annexure 2.(i) Contracts and Agreements

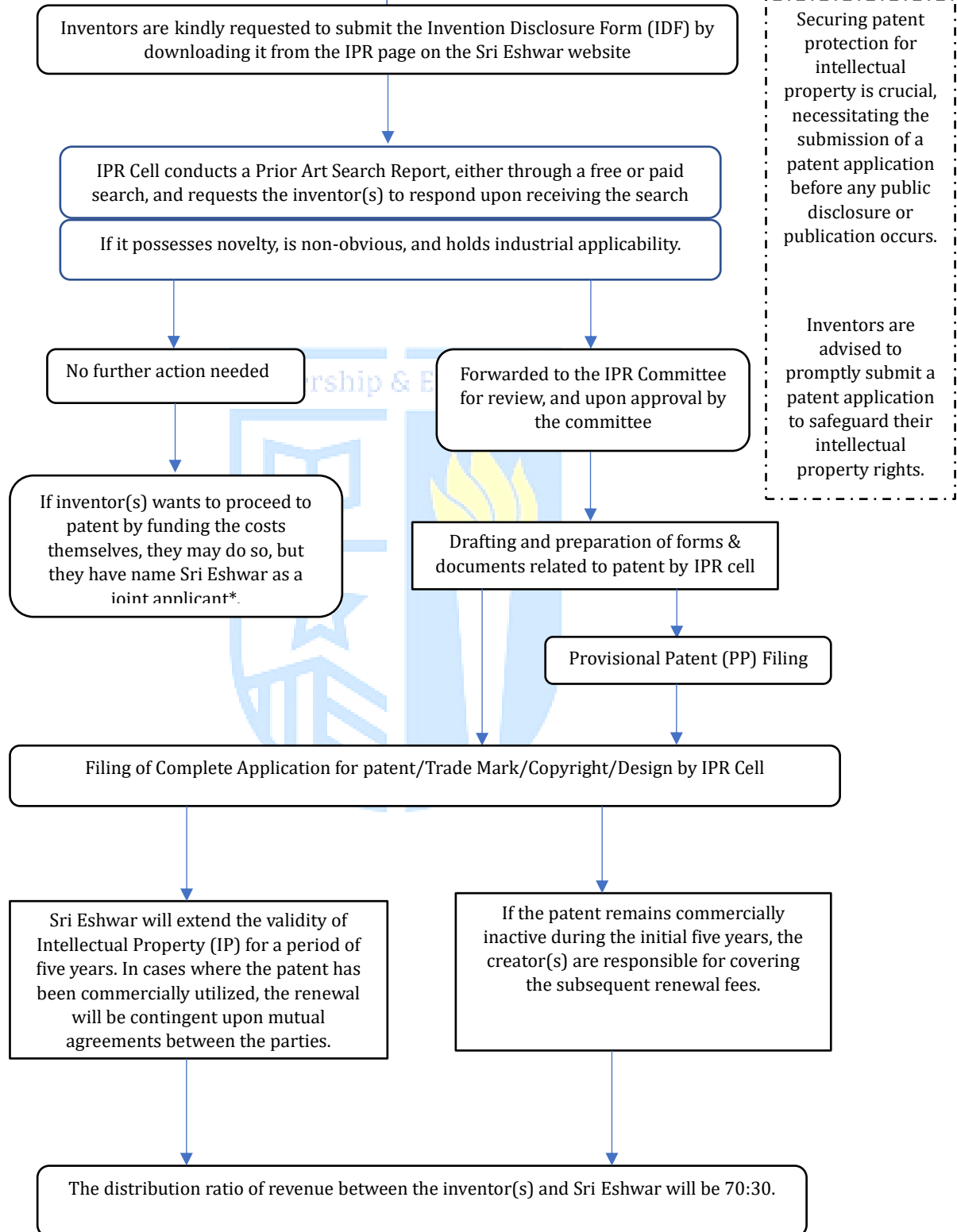
Approval from the head of the institution is mandatory for all agreements involving activities conducted by any personnel associated with Sri Eshwar. This requirement applies to various categories, including but not limited to the following:

- Confidentiality Agreement/Non-disclosure Agreement
- Consultation Agreement
- Evaluation Agreement
- Research and Development Agreement (R&DA/MOU)
- License Agreement
- Technology Transfer Agreement
- Alternative Dispute Resolution Agreement
- Collaborative MOU with University/Organization

The head of the institution acts as the ultimate authority for signing all the aforementioned agreement categories. In facilitating the agreement formulation process, the head provides templates and services.

Outline of the Intellectual Property (IP) filing process

The policy applies to all Sri Eshwar personnel, including students, faculty, staff, researchers, and other affiliated individuals.



16. Introduction

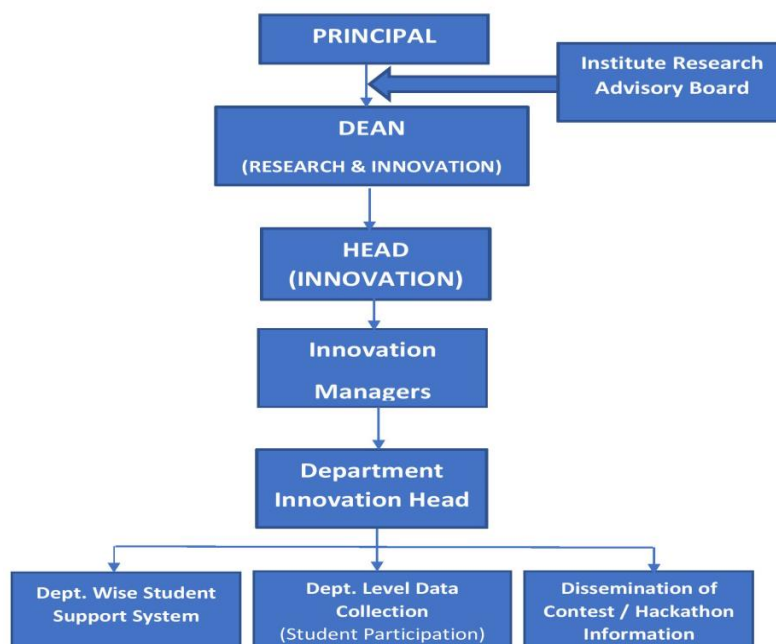
Our institution envisions to become a premier research institution by creating a research culture and nurturing research. It is important for an academic institution to be research focused and create a research culture among its faculty members and students. Research focus of an institution provides a great opportunity to the faculty and students to apply the concepts that they have learned. The purpose of this research policy manual is to clearly articulate the research policy and processes of our institution. This policy manual along with the associated processes will be circulated to the stakeholders for implementation.

17. Sri Eshwar's Centre for Research and Innovation

To achieve our vision of becoming a premier research/innovation institution, we have established Sri Eshwar's Centre for Innovation. This Centre is headed by Dean-Research & Innovation, supported by Research/Innovation Advisory Board, Institutional Research/ Innovation Committee, Research/ Innovation ethics committee, Institutional Head Innovation, Innovation Managers and Department innovation Heads, who will carry out the innovation related responsibilities:

18. Structure of centre for Innovation

A well-defined organization has been constituted as follows to achieve the vision and objectives of CFI.



18.1 Research and Innovation Advisory Board (RIAB) Purpose

To enhance the quality of research and Innovation activities, with input from researchers/Innovators of high experience and reputation, Sri Eshwar has constituted the Research/Innovation Advisory Board.

i. Constitution

The Research/Innovation Advisory Board at Sri Eshwar has been constituted with a mix of researchers/Innovators from various spectrums including academic institutions, industry, and leading research/Innovation organizations. Following is the constitution of Sri Eshwar's Research/Innovation Advisory Board:

- Principal
- Dean-Research and Innovation
- Head Innovation
- Senior Member from a research organization
- Senior academician from a premier institution
- Senior member from R&D Unit of industry

ii. Period of Office for Members

The nominated members of the board will hold office for two years, after which a new set of members will be inducted into.

iii. Responsibilities

The Research/Innovation Advisory Board will play a pivotal role in developing Sri Eshwar into a premier research/Innovation institution, with the following responsibilities:

- Provide input to enhance Sri Eshwar's research/Innovation capabilities.
- Advise on nurturing a research/Innovation culture at Sri Eshwar and strengthening its IPR capabilities.
- Provide Suggestions for setting up appropriate infrastructure for research/Innovation
- Critically review the progress of research/Innovation activities once in 6 months offer suggestions for improvement.
- Suggest internationally reputed researchers/Innovators as visiting faculty for conducting sessions for faculty members and students

iv. Frequency of Meeting

The Research/Innovation Advisory Board will meet at least once in 6 months (June & Jan) to discuss about the existing research/Innovation policy of the institution and suggest refinements to the same, in line with the ongoing global developments in research/Innovation.

v. Outcome of Meeting

Deliberations of the Research/Innovation Advisory Board meeting will be formally recorded in the form of minutes, converted into Actionable Items in the Action Taken Report (ATR) template, monitored and tracked to closure

18.2 Institutional Research/Innovation Committee (IRIC)

i. Purpose

While the Research/Innovation Advisory Board will provide input for enhancing the research and innovation policies in line with global standards, the Institutional Research/Innovation Committee will focus on defining the processes and overseeing the effective implementation of these processes in various research/Innovation activities of the institution.

ii. Constitution

The Institutional Research/Innovation Committee will be constituted with a mix of senior researchers within the institution. Following is the constitution of the Institutional Research/Innovation Committee:

- Dean-Research and Innovation
- Deans of other verticals
- Head Innovation and Head Research
- HODs
- Department Research and Innovation Heads

iii. Responsibilities

The Institutional Research/Innovation Committee will play a key role defining the research/Innovation processes and ensuring the effective implementation of the same, with the following responsibilities:

- Analyse and identify the research/Innovation priorities of Sri Eshwar and come up with a strategic plan to implement the same.
- Review the adequacy of facilities in Research Centre, Innovation Centres and Centre of Excellences provide suggestions to the management
- Provide suggestions for enhancing the quality and quantum of research activities including publications, patents, research proposals and projects and innovation activities including Smart India Hackathon, Mackthon, Product commercialization, IIC activities, Pre-Incubation Process.
- Review and add value to research grant proposals and Innovation funding Proposals.
- Identify training programs for the faculty members in research/Innovation, in line with the current global developments
- Facilitate inter-institution collaboration in research/Innovation for a mutually beneficial proposition
- Facilitate collaboration with international researchers and Innovators and industry for various research and Innovation activities
- Propagate and ensure compliance to code of ethics in research and Innovation activities

iv. Frequency of Meeting

The Institutional Research/Innovation Committee will meet at least once in 6 months (Dec & June) to discuss about the status of the various ongoing research/Innovation activities and provide direction, where required.

v. Outcome of Meeting

Proceedings of the IRIC meeting will be formally recorded in the form of minutes, converted into Actionable Items in the Action Taken Report template, monitored, and tracked to closure.