

Research, Consultancy and IPR Policy

of

KLE TECHNOLOGICAL UNIVERSITY

2015

As approved in the 3rd BoG held on 24 December, 2015

(Established under Karnataka Act No.22, 2013)



KLE Technological
University

Creating Value

Leveraging Knowledge

PUBLISHED BY KLE TECHNOLOGICAL UNIVERSITY, HUBALLI

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First printing, 2016

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Part I
Research Policy

Chapter 1

Introduction and purpose

1.1 Introduction

This document provides the Research Policy of KLE Technological University, Hubballi, and is based on the statute and regulations of the University. This document provides policies and practices, to support and enhance research activities. This document should be read in conjunction with the relevant Ordinances and Regulations, and any other policies, procedures or guidance as may be issued by the University from time to time. This document shall be kept under review by the Research Council of the University. The Research Council shall be the Principal Research Body of the University and shall formulate the research policies and research programs of the University as prescribed under Section-27 of the Act.

In the present context of the globalized world, the role of research in an academic institution is significant for its sustainability and development. It is imperative to have knowledge-driven growth based on innovation. The quest for knowledge is the basic principle behind the research. The quality of research work directly translates to the quality of teaching and learning processes in the academic institution, thereby benefits the students, the society, and the country at large. The promotion of research in a huge and diverse country like India will help the nation evolve as a knowledge reservoir in the international arena

However, not many institutes have mandatory research goals for individual faculty, and most do not have adequate systems or infrastructure to support quality research. The lack of an encouraging academic environment, ill-equipped libraries, inadequate labs and equipment, poor infrastructure, lack of funds, faculty crunch, etc. are some of the factors contributing to the dismal picture of research in a typical Indian academic institution. To have research universities that can interact with the top universities in the world, these universities need to be given adequate support to enable them to partake in the global knowledge economy at the same level as that of the top universities. Interaction among world-class universities entails international student mobility, faculty exchanges, research, and teaching programs that require a globally competent academic labor force.

Thus, one needs to emphasize on the necessity of research-oriented teaching. Educators engaged in research are updated with the latest developments in their chosen subjects apart from all that is mentioned in the reference books. Thus, educators familiar with research-based teaching can help students to undertake research activities. This commitment to research is aligned with the national imperative to encourage more postgraduate studies, to increase the production of traditional research outputs (as defined by research articles, books, book chapters, and conference proceedings) and to expand the pool of researchers that can contribute to knowledge production and innovation in our society.

In view of the prevailing academic scenario, the purpose of this Research Policy Document is to;

- present a policy framework for the management, support and development of research at the KLE Technological University,
- provide a strategy for achievement of the research goals.

This policy document is expected to address the issues of both applied and basic research, Innovation and Technology development. The policy outlines strategic plan, the guiding principles regarding the management, support and development of research for all those involved in research activities at KLE Technological University. It is applicable to all the temporary, fixed term contract and permanent employees as well as registered students of the University.

The aim of the research policy is to

- a Provide a framework for the promotion of research and development;
- b Provide resources for continued high-level, effective and efficient support for research and affirm research as a priority;
- c Provide eco-system for innovation and entrepreneurship.
- d Ensure effective communication (internally and externally) about the principles and policies on which the research activities of the University are founded with the responsible conduct in research
- e Provide support for consultancy, collaboration and outreach (Extension) activities to enhance the research culture.
- f Integrate support for both undergraduate and postgraduate research into the main stream research.

1.2 Organisation

The Part I provides details of Research Policy, Part II provides Consultancy Policy and Part III gives the details of IP policy of the university. The first four sections in Part I, describe introduction and overview of the university, strategic plan to promote the research activities, the structure of the research and development activities, and code of conduct of research. Sections 5 to 10 provide different policies and schemes for a research promotion, resource mobilization, Innovation eco-system, research publications, consultancy, collaborations and outreach (Ex-

tension) activities. The last section provides formats and different guidelines for the operational aspects of research and development activities.

The structure and process of research policy document will be reviewed and revised by the Research Council during its ongoing regular meetings. The Research Council will review and amend these policies and guidelines as it deems necessary and appropriate, and implement the same with the approval of Board of Governors (BoG).

1.3 Formats and Guidelines

The formats and guidelines for the various R&D activities as envisaged in the aforesaid provisions made in this document shall be prepared and approved by the competent academic bodies of the University from time to time. The approved guidelines are shared with the faculty time to time.

Chapter 2

Strategic plan

The times have changed, and the higher educational institutions need to continually innovate to maintain and enhance their relevance to meet the ever changing demands of global economies. Apart from delivering good quality education, the institutions are expected to develop their capacity in research and innovation. They also need to undergo a fundamental transformation in terms of their role in the society, mode of operation, and economic structure and the scale at which they operate.

The strategic themes are evolved from the university's primary commitment to outstanding learning and student experience, impactful research, and societal engagement. These three interwoven strands of a triple helix; teaching, research and engagement that shape and reinforce one another, define our aspirations and focus. The second theme of Impactful research is provided in this document.

The proposed strategic plan comprises the identification of the strategic research goals and also the resources and actions required to achieve the stated goals. It serves to give effect to the Research Mission statement and the concomitant core value. The proposed strategy has been informed by a range of imperatives both external and internal to the university, and is described within the framework of the National R&D Strategy.

2.1 Goal impactful Research

As the institutional goal, KLE Tech will actively nurture and organize its research efforts and creative endeavors to enhance regional, national and global impact and reputation as a research-intensive University.

Performance improvement in terms of various standard research metrics is a necessary step for obtaining credibility and resources needed to elevate KLE Tech in the Indian higher education system. A greater part of the research effort will be aligned / concentrated in the areas of national interest. The plan is to build on these areas to develop substantial research strength by selective strategic

investments, research leadership and support. This selective strategic investment will be provided to inter-disciplinary and disciplinary areas.

2.2 Focus

Develop substantial research strengths by aligning the areas of present strengths and areas of national interest by selective strategic investments, leadership and support

- a Evolve strategic research roadmap for each School of the University by identifying research focus areas (RFAs) that build on present strengths and future opportunities.
- b Implement an integrated and coherent University-wide approach to planning, delivering, managing, rewarding and funding research across all the Schools.
- c Enhance research active faculty.
- d Establish metrics to measure and reflect research output and impact using a range of measures at individual and institutional level.

2.2.1 Interdisciplinary Research Centers

Build strategic aggregations of people and programs to strengthen inter-disciplinary areas of research & development, that will enable KLE Tech to compete successfully for large funding opportunities and provide the ability to create innovative solutions to societal needs.

- a Promote and support interdisciplinary research and development centers, that leverage breadth of our expertise to address the complex problems faced by our nation and the world.
- b Ensure that these centers give priority to problems/opportunity-focused projects/products that demonstrate successful interdisciplinary collaboration and address the market needs.

2.2.2 Funding

Foster a supportive environment for research by facilitating access to internal grants and providing strategic expertise to maximize external grants.

- a Build University Research Fund for providing internal support to Schools and Centers to enhance their research profile.
- b Establish appropriate process to provide seed funding for research projects that can be leveraged in obtaining external grants.
- c Seek funding from governments, research agencies and industries to sustain the research initiatives and enable specific research projects.
- d Drive the commercialization of research and technology transfer, through mechanisms such as licensing, patents, creating spin-off companies and supporting external entrepreneurs.

2.3 Programs

Enhance quality and relevance of the doctoral research programs to emerge as an institution of choice for researchers.

- a Continue to invest in research capacity development to attract and support more number of doctoral students in disciplinary and interdisciplinary RFAs.
- b Strengthen the interconnectivity between research and teaching/learning, including the participation of undergraduate and postgraduate students in the University research programs.
- c Evolve innovative enrollment strategies to recruit and support full time researchers and personnel from industry

Chapter 3

Structure of R & D

The research promotion and development activities of the university is supported and managed by the Research and Development (R & D) center of the university and headed by Dean R & D. The cell provide administrative and managerial support for the operation of sponsored research, consultancy and related activities of the Institute. The Cell facilitates interaction with external agencies, both at national and international levels. It also promotes and manages Institute-Industry interactions and all externally funded research and development projects as well as patents. The Cell acts as a liaison between the Institute and funding agency to undertake sponsored projects.

3.1 Research Council

The Research Council is the regulatory body of the university to formulate policies, guidelines and effectively responding to the challenges of the university towards enhancing research activities.

Research Council, which is the principal research body of the University, shall formulate the research policies and research programmes. Research Council shall review and supervise implementation of research strategies and policies. Research Council shall seek the approval of the Executive Council in all matters. Objectives of Research Council is to;

- a Guide the strategic orientation required to advance research profile of the University.
- b Advise Schools, Departments and Centers to evolve their strategic research roadmap.
- c Review policies and regulations to enhance quality of Ph.D./M.Tech. programs
- d Regularly review research progress of Schools/Departments in terms of appropriate parameters.

The Research Council shall consist of the following

- i The Vice-Chancellor - Chair Person
- ii The Pro Vice Chancellor - Member
- iii Head of the Department of Innovation - Member
- iv Deans of all Faculties – Members and

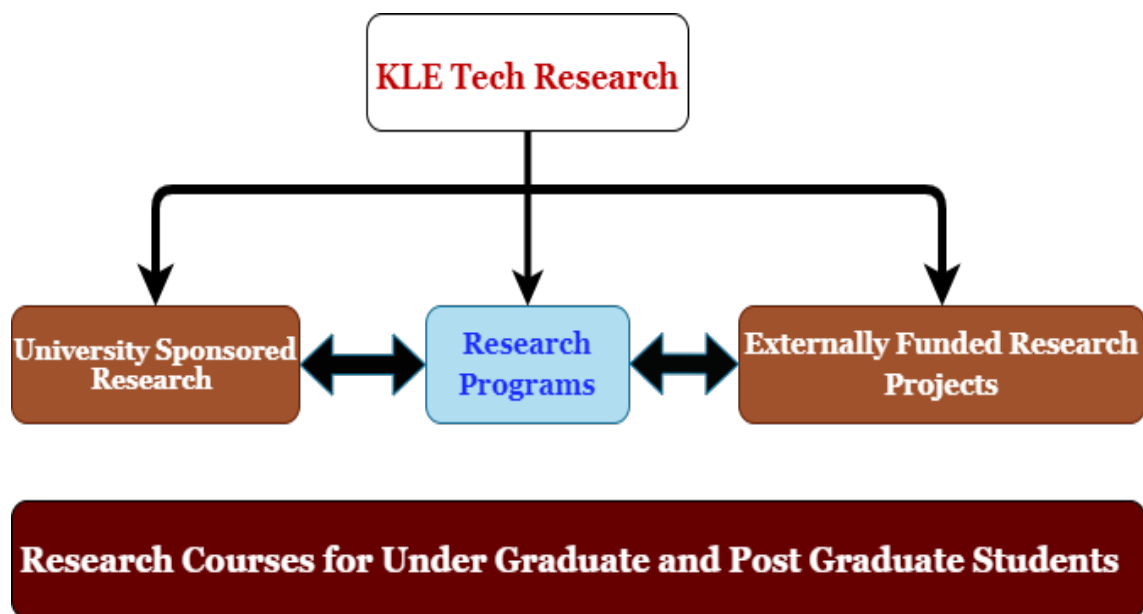
- v Such other members as may be specified in the Statutes.
- vi The Dean of Research – Member Secretary

3.2 Funding policy of R & D activities

KLE Tech shall provide 5% of total revenue for R & D activities as approved by the Board of Governors (BoG 3.3). According to the BOG approved research policy various activities under research promotion schemes are carried out by the R & D Cell as per the approved process.

3.3 Components of R & D

Research at KLE Tech is carried out under 3 different components (i) University sponsored research, (ii) Research programs, and (iii) Externally funded projects. Figure shows the components of R & D activities.



- i **University Sponsored research:** University promotes the research at individual faculty level, group of faculty at the department or inter-department research. Every year University identifies, reviews and funds are sanctioned to carry out research at individual faculty level, research groups, research clusters, product design and development groups, etc. The details of these are provided under initiations to promote research.
- ii **Research programs:** The schools/departments/centers offer research programs. Research Center Research Centre encompasses the research activities at the school/department level. There can be multiple areas of research pertaining to the disciplines based on the faculty expertise available in the department. These centers will also focus on offering of formal degree

like MS and PhD. They will also contribute towards imparting research experience for UG and PG students via programs like Research Experience for Undergraduates (REU).

- iii **Research Courses for Students:** This involves the introduction of research Courses for undergraduate students to enhance the research culture. A number of research courses are offered to the students of undergraduates. All these courses are six credits, and Students of B.E. program may register for these courses in place of 2 electives.
- iv **External funded projects:** The University has set rules to carry out external funded research and consultancy projects. The faculty as a Principle Investigator (PI) can write and get the external funded research and consultancy projects.

Chapter 4

Initiations to promote R & D activities

This section provides the details of challenges faced to enhance the research culture, objectives to promote research culture, and initiatives and research promotion schemes of the university to enhance the research culture. The details of courses offered to undergraduate students to enhance the research output is also presented.

4.1 Challenges

As per the strategic plan of the University the university has taken number of initiatives to promote and enhance research culture for faculty, group of faculty and students. These initiatives and research promotion schemes are reviewed by the research Council every year and appropriate recommendations are provided.

The research initiatives are necessary to address the following challenges

- Lack of Synergy in research initiative
- Lack of visibility to attract funding
- Lack of experience of funded projects
- No tradition of research and
- Inadequate support facility
- No reward for research

4.2 Objectives

The objectives of initiating R & D activities are to enable focused research, attract funding, IP generation, productisation, start-up support, and synergise the efforts of faculty and students to gain greater recognition for the University at National and International level. The initiation of different research promotion schemes are given in the Section Research Promotion Schemes. The university also has taken an initiative to provide **seed money** to individual faculty and group of faculty through different research promotion schemes.

4.3 Guidelines

The identification of faculty groups for research will be based upon need of the University, talent, passion and the ecosystem. The different faculty groups are: Research Groups (RG), Research Clusters (RC), Product Design and Development Groups (PDDG), Faculty Student Start-up Groups (FSSG). These groups eventually lead to recognition as CoEs and/or Startups.

1. Human resource for each research group may recruit Research Associates (junior or senior) to carry out the research activities of the cluster/group.
2. Each research group needs to provide roadmap for 3 years. Fund release for the first year is subject to the acceptance of the roadmap. However, subsequent fund release depends on the success of the roadmap.
3. Faculty or group of faculty applying for PDDG can recruit research associates and the group needs to provide roadmap for 3 years.
4. Fund release for the first year is subject to the acceptance of the roadmap. However, subsequent fund release depends on the success of the roadmap.
5. The budget for each RC/RG or PDDG faculty group is Rs.30L to 50L and can be revised as per the recommendations of the university rules.

4.4 Research Promotion Schemes

To promote research in emerging and high impact areas, the University has undertaken initiatives to identify and nurture research clusters/research groups (RC/RGs), Faculty student Startup groups (FSSG) and provide funds for Product Design and Development initiatives. The aim is to develop these clusters/groups to a level of competency that makes them further emerge as Centers of Excellence (CoE).

The Following research promotion schemes are initiated since 2015. Every year the call for proposals are sent to all faculty inviting applications from a faculty or group of faculty to the different internal funding schemes of the University. The review committee reviews these proposals and approves the funding. This fund is for one year and faculty or group needs to write fresh proposal for continuation or new proposals. Following are the types of activities which are funded.

- Capacity building projects
- Research Groups and Clusters
- Facility creation for Product design
- Incentive for R & D activities

The following section give brief details about these activities.

4.4.1 Capacity Building fund

Capacity Building fund is the seed money provided to the individual faculty to initiate the new areas of research and grow the research activity in an area aligned with focus areas of School/Department through Capacity Building Projects.

The objectives of these projects are

- To enhance the research capability of the faculty and research center/cluster/group.
- To provide the experience of carrying out a research project.
- To facilitate the process of applying for funds from external funding agencies.

4.4.2 Research Cluster (RC)

Under the RC proposal a group of faculty get seed money for the focused research work, faculty group can be from the same department or inter-disciplinary in nature. Research Cluster is theme centered, e.g. energy, material science, ESDM, CVG, data analytics, etc. These centers synergize the efforts and expertise of faculty across the departments and create a platform towards building higher levels of inter-disciplinary research/development /technology-translation/productivity. The aim is to get recognition and visibility in a chosen theme.

4.4.3 Research Group (RG)

Under the RG proposal a group of faculty get seed money for the focused research work. This is similar to RC, wherein collaborating faculty can be from the same department or across departments. Research Group leads to initiation of research clusters in the collaborating area over a period of time.

4.4.4 Centre of Excellence (CoE)

Under the RG proposal a group of faculty get seed money for the focused research work, which has shown significant outcomes in the last few years. The identification of RCs/RGs will be based upon the needs of the University, talent, passion and the ecosystem, which will sustain to evolve into Centres of Excellence (CoEs). This will help to identify the clusters of competence, which then go through two phases before emerging as CoEs. In Phase-1, RCs define roadmap, orient research and build capacity. In Phase-2, RCs contribute towards publications, funded research and consultancy projects, patents, etc. before elevating to a CoE. The CoEs will collaboratively work with University's innovation and entrepreneurship center (CTiE), and product design and development centers (CIPD).

4.4.5 Product Design and Development Grant (PDDG)

The Product Design and Development Grant (PDDG) is given to a faculty or a group of faculty who involve in product innovation, design and development

activity of the University and supports start-ups and industry. These faculty groups bring together the skill set and expertise of multidisciplinary group of researchers from Schools, Departments, RCs/RGs and industry towards technology translation, design and development activity of a product

4.4.6 Faculty student start-up grant (FSSG)

This grant is given to faculty or group of faculties who involve with the startup and students towards a product development and deployment.

4.5 Research Courses for Students

Introduction of a research Courses for undergraduate students to enhance the research culture. Number of research courses are offered to the students of undergraduates. All these courses are 6 credits and Students of B.E. program may register for these courses in place of 2 electives.

4.5.1 Research Experience for Undergraduates (REU)

This course has the following details

Objectives

- To provide real-world, hands-on research experience for students.
- To provide an opportunity to work directly with a faculty member on a bonafide research project.
- To work in research groups in the industry to solve local problems in an innovative way.

Faculty Supervisors

Faculty with doctoral degree individually or in a group can submit the research group proposal in the format given by the university.

Process of REU

During this course the UG students shall work on a research topic which reflects substantial understanding of the courses and capability to apply the same. At the end of the work the candidate shall submit a dissertation and will be evaluated by a committee of 3 members consisting of Head of the department, guide and an external examiner.

4.5.2 Institute research projects (IRP)

Institutional research projects are approved by the university R&D center. Typically IRP projects are identified in 3 categories, and goals are defined for 1 to 3

years with objectives for each year. Students are allowed to take projects under these categories.

- Institute research projects (IRP): R& D center identifies and provides funding for IRPs and students are allowed to take these projects.

During this course the UG students i team shall work on a research project identified by the university R&D center. At the end of the work the Students team shall submit a report and will be evaluated by a committee of 3 members consisting of Head of the department, guide and an external examiner.

- Institutional Sponsored Projects (ISP): Institutional approved projects for funding by the university R&D center. Typically ISP proposals have short term goals for an year and need institutional support.

During this course the UG students in team shall work on a research project identified by the university R&D center. At the end of the work the Students team shall submit a report and will be evaluated by a committee of 3 members consisting of Head of the department, guide and an external examiner.

- Sponsored Research Projects (SRP): The research projects which have received external funding. The goals and objectives are as per the accepted project proposals.

During this course the UG students in team shall work on a research project objective given by the PI of the external funded project. At the end of the work the Students team shall submit a report and will be evaluated by a committee of 3 members consisting of Head of the department, guide and an external examiner.

4.6 Financial assistance for Conference

In order to encourage the faculty, to enhance the research culture and collaborations, KLE Technological University provides financial assistance towards organizing and attending conferences and Faculty development programs. KLE Tech has a process for the review of the policies regarding financial assistance. The faculty who wish to avail financial assistance under this scheme should submit their proposal to the R&D office. The review committee reviews the proposals and recommends. The Funds once released/sanctioned for organizing a particular activity cannot be utilized for any other Programme.

4.6.1 Organizing and attending Conference

The financial assistance is provided for organizing Conferences at National and International level in various fields of Technical Education. It intends to promote high standards in Technical Education by providing a forum to the academicians and working professionals for sharing their knowledge, experiences, innovations and inventions. Preference shall be given to topics of interdisciplinary nature, emerging and thrust areas in Technical Education.

KLE Tech provides financial support for both students and faculty to present their paper/s in the conferences held within India and outside India. KLE Tech has policy towards attending conference within and outside India. Faculty are also encouraged to apply for external agency for financial support in attending conferences.

4.6.2 Organizing and attending Faculty Development Programs (FDPs), and Staff Development Programs (SDPs)

KLE Tech provides financial assistance to conduct and attend FDPS and SDPs. FDPs and SDPs facilitate up-gradation of knowledge, skill and also to provide opportunities for induction training to teachers and staff of the university. The objective of this grant is to enhance the teaching and other skills of the faculty, to make them aware about modern teaching tools and methodologies and to help them acquire knowledge about current technological developments in relevant fields.

4.7 Resource Mobilization

The university has a transparent and well-planned financial management system in which Government and Management are the main sources of funds. The resource mobilization policy focuses on achieving the goals and target of the institution ensuring accountability and transparency.

Chapter 5

Award for Quality Research Activities

The University aims to improve overall research performance and promote research activities undertaken by various departments, faculty members and students. The Research Incentive Scheme (RIS) provides the means to assist with research activities or reward to faculty for successful quality publication or presentation of research outputs. The University awards incentives for various research activities like quality publications, successful completion of external funded research projects and successful guidance to the doctoral students. The following points give the details about awards.

5.1 Guidelines

5.1.1

Research Incentive Scheme guidelines are reviewed and revised during Research Council meeting if necessary or the guidelines are continued until the revised guidelines are provided for every academic year.

5.1.2

The application process is also presented in the guidelines, and the information regarding guidelines and formats are shared with all the stakeholders after the research council meeting.

5.1.3

The application process includes, the submission of the award application by a faculty who wishes to apply for the awards in the format given by the R & D office.

5.1.4

All the award applications are reviewed by the Incentive Committee and the awards/incentives are recommended.

5.2 Award Categories

The awards are provided in the following categories;

5.2.1 Awards for Quality publications

In order to encourage the faculty of KLE Technological University towards making high-quality scientific publications, financial incentives will be provided. Authors of International Journal papers, books or book chapters are provided with incentives as per the guidelines of the university.

5.2.2 Awards for External funded research projects

To encourage and enhance the applications to the external funded research projects, the university has the award scheme for PIs (Principle Investigators) of the external funded projects. The PIs shall apply for the award after the successful completions of external funded research project and submission of the utilization certificate.

5.2.3 Award for supervising the doctoral students

To encourage faculty with doctoral degree to supervise the doctoral students, University provides awards and incentives to the supervisors of doctoral students, doctoral students need to be working as a faculty in the University. The supervisors can apply after the successful completion and award of doctoral degree to their doctoral students.

5.2.4 Award for supervising the doctoral students

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Chapter 6

Code of Research and Ethics

6.1 Code of Research and Ethics

The code of research includes two closely related notions scientific integrity and research ethics. The idea of responsible conduct in research refers to the whole range of behaviors which characterize how professionals in a given field conduct themselves. It is intrinsically linked to behaviors their ethics and standards command in the context of their professional activities. The responsible conduct in research goes to the very heart of what research is. The values most closely associated with research ethics are honesty, trust, justice, integrity, intellectual probity, respect, responsibility and benevolence. Responsible conduct in research requires that these values be adhered to and promoted by the scientific community as a whole. The expectations that derive from these values apply to all research activities and concern all relevant actors. They form the backbone of a research ethos which allows different actors to agree, communicate, and collaborate on the advancement of knowledge while reaching pinnacles of research excellence. To reach the latter, one must actually cultivate these values in research environments so that responsible conduct may take root and flourish. However, research actors can at times find themselves in situations where other values come into conflict with research ethics and imperil responsible conduct. This policy wishes to reaffirm the primacy of those values associated with the responsible conduct in research and support researchers, students and the research communities in the pursuit of research excellence.

A statement of the purpose of the Research Code of Conduct and the University's commitment to integrity in research. The University is committed to maintaining the highest standards of rigor and integrity in the conduct of its research. The University expects all those involved in research to observe these standards and to embed good practices in all the aspects of their work, including the training of new researchers. The University also requires that all the students and members of staff conducting research to adhere to the highest levels of research conduct. The University Research Code of Conduct lays out the standards expected from all those carrying out research under its auspices. The Code covers areas such as

- 1 Approval procedures

- 2 Publication and Authorship
- 3 Research Data
- 4 Reviewing research for journals or funding bodies or internal purposes
- 5 Supervision and management of students' or researchers'
- 6 Intellectual property (to be read in conjunction with the IP policy)

6.2 Principles and Application

1. University expects all research carried out at the University or in its name to be conducted to the highest standards of integrity. This Research Policy provides a framework for the governance of all research throughout the University. It requires all those undertaking and/or contributing to research to adhere to the highest standards of performance and ethical conduct, and embed good practice in all aspects of their work. They must operate honestly and openly in respect of their own actions and in response to the actions of others involved in research.
2. University requires all Staff, Emeritus Professors, Honorary Staff, Visiting Staff and all Registered Students (whether undergraduate or postgraduate) involved in research to abide by this Code. Where any other individual who collaborates in research with KLE Tech Staff and Registered Students is not bound by an equivalent Code through their Employer or other organisation, the individual shall be expected to abide by this Code when working with the University unless otherwise agreed. References hereafter to 'researcher or workers' include all Staff (including Emeritus Professors, Honorary Staff and Visiting Staff), Registered Students and external research collaborators who are involved with research in connection with or as part of the University.
3. This Code is linked to and operates in conjunction with conditions of employment for the relevant Staff groups and other related University policies and procedures. Failure to abide by this Research Policy may lead to the matter being considered under the University's disciplinary procedures.
4. Any alleged breach of this Code shall be handled in accordance with the appropriate University disciplinary procedures.
5. The Research Policy and its implementation will be reviewed by the University's Research Committee on an annual basis in consultation as appropriate with relevant individuals or groups. The review will take into account changes and recommendations from external research funders, Acts of Parliament and other regulations. Where any proposed change to this Research Policy would affect Staff Terms and Conditions of Service the University will follow the appropriate normal procedures of consultation and/or negotiation.
6. All research workers undertaking or involved in research must familiarise themselves with this Research Policy. Heads of Schools/Department/Centers have a responsibility to seek to ensure compliance with the Research Policy. The University will draw attention to the Research Policy in its induction processes for newly appointed Staff and Registered Students. Supervisors

of Registered Students will seek to ensure compliance with the Research Policy on the part of students. The University will draw attention to relevant training and development modules to ensure that all research workers are aware of best practice requirements.

7. The University recognizes and protects the principle of academic freedom in its Ordinances.

6.3 Integrity and Accountability

1. Everyone involved in research in the University owes a duty of accountability to the University, to all participants in their research, and to their research funders commensurate with their involvement in that research. Individuals must accept responsibility for their own conduct of their part in any research and for providing direction for the activities of any Staff or Registered Student under their supervision.
2. The Primary Researcher or Principal Investigator in any research should identify clear roles and accountabilities for all those involved in any research project, and should ensure that all involved are informed of their responsibilities. Areas of accountability include
 - 1 the ethical basis of the research and the research design
 - 2 the safety of all involved in the research,
 - 3 the probity of financial management of all projects and for seeking to provide the optimum value for the public or private funders who have invested in them,
 - 4 effective project management to agreed project plans and appropriate quality standards, including timely delivery of any scheduled, tangible outcomes,
 - 5 management of research data in accordance with the Data Protection Act (DPA), 1998 and university legal provisions,
 - 6 seeking to ensure timely and wide dissemination of research findings,
 - 7 as appropriate undertaking professional development relevant to the research and ensuring that all others involved in the research have received relevant training,
 - 8 maintaining personal records of research progress, including authorised laboratory books, to the recommended or required standards,
 - 9 maintaining confidentiality in order to achieve protection of intellectual property rights where appropriate,
 - 10 ensuring research participants participate in a voluntary way, free from any coercion and are properly informed of any risks, the broad objectives and of the identity of any sponsors of the research,
 - 11 using all best endeavors to avoid unnecessary harm to participants, other people, animals and the natural environment, having taken due account of the foreseeable risks and potential benefits of the research,
3. When peer reviewing research proposals or results (including manuscripts submitted for publication), research workers must protect the confidentiality of information provided and disclose any conflicts of interest and any

areas of limited competence, and must not misuse or misappropriate the content of the material being reviewed.

4. Research workers must be honest and lawful in respect of their actions relating to research and in response to the actions of other research workers. This applies to the whole range of research activity, outputs and deliverables, including applying for funding, experimental design, generating and analysing data, publishing results and acknowledging the direct and indirect contribution of colleagues, collaborators and others.
5. Where a research worker has concerns about whether the obligations of accountability as set out in clause 2.2 can be met or is in doubt about the applicability of provisions of the Code to their part in any research, or about the appropriate course of action to be adopted in relation to it, advice should be sought from a member of the relevant Ethical Review Committee or the Research Governance and Ethics Committee of the Research Committee. All responses from the Committee will be in writing and will be retained for future access as appropriate. A Registered Student who has any questions about this Research Policy should in the first instance raise these with their immediate supervisor.

6.4 Research Data

1. Research workers must keep clear and accurate records of the research procedures they followed and the results obtained, including interim results.
2. Research data must be recorded in a durable and auditable form, with appropriate references so that it can readily be recovered.
3. Unless already regulated by legislation or confidentiality agreements, or where there are valid ethical reasons for not doing so, primary research data and research evidence must be accessible in confidence to other authorised researchers for verification purposes for reasonable periods after completion of the research; data should normally be preserved and accessible for ten years, but for projects of clinical or major social, environmental or heritage importance for 20 years or longer. These periods are in accordance with current University guidelines.
4. Unless there are particular reasons, including any legal or regulatory requirements (including without limitation the requirements of a research ethics committee), for not doing so, data should be stored in their original form. Storage media such as tapes and disks should not be erased and/or reused, but should be stored securely.
5. It is the duty of the Principal Investigator in any research project to comply with the DPA. The DPA applies to all processing of personal data.
6. Some central issues for research workers in relation to personal data include
 - all Staff and Registered Students using personal data in research have a duty of confidentiality to the individuals concerned,
 - unless there are ethically or legally justified reasons for doing otherwise, research workers must ensure that they have each study participant's explicit informed written consent to obtain, hold and use their

- personal data,
 - data security arrangements must be sufficient to prevent unauthorised breaches of confidentiality or unauthorised disclosure of personal data,
 - The University, through the Colleges, will develop and implement procedures for complying with the University's Data Protection Policy and the University's Records Management Policy. As appropriate affected groups and individuals will have input to the development of the procedures. Once approved by the University, Heads of Colleges have responsibility to ensure that these procedures are made known to all Staff and Registered Students.
7. The University is responsible for establishing appropriate procedures for security and retention of research data in a form which would enable retrieval by an authorized third party, subject to any limitation imposed by the confidentiality of personal data.
 8. Specific arrangements should be made to protect the security of research data where there is a contractual requirement to do so.
 9. Research data related to publications should be available for discussion with other research workers, except where confidentiality provisions prevail. Confidentiality provisions relating to publications may apply in circumstances where the University of Birmingham or the researcher has made or given confidentiality undertakings to third parties, including research subjects, or confidentiality is required to protect intellectual property rights. It is the duty of the Principal Investigator to familiarise him/herself with any provisions of confidentiality relating to any particular research grant or contract and to inform research workers under his/her supervision of their duties with respect to these provisions. Advice on individual grant or contract terms may be obtained from Research & Commercial Services.
 10. The Principal Investigator should also ensure that third-party Intellectual Property rights are not breached.

6.5 Publications

1. Publication is the dissemination of the outcomes of scholarship and research not only in conventional paper form but also in other media, including electronic media. The University encourages its Staff and Registered Students to disseminate the findings of their research through appropriate and timely publication. In this context publication may be taken to include, inter alia, books, chapters, articles, conference proceedings, reviews, patents, catalogues, compositions, the production of creative arts, software and databases.
2. Ethical considerations apply to the production of all categories of publication and external communications, including web-sites, e-bulletins, press releases, media briefings or other events. The University of Birmingham expects research workers to abide by the University's core principles of openness, transparency and accountability and adopt appropriate ethical

and professional standards and responsibilities in their publications as set out below.

3. Good practice requires that all University Staff include the details of their research outputs in the relevant University research publications databases according to the relevant procedures for recording that information. Staff and Registered Students should also help to ensure wide dissemination of their publications and therefore cooperate in requests from the University to include their outputs in a publicly accessible repository where appropriate.
4. There is a fundamental ethical obligation on authors to acknowledge and attribute external sources of information. Citation of sources should be carried out in accordance with the Harvard referencing system which has been adopted as standard by the University, or in accordance with the house style of the relevant publisher and/or the normal practices of the discipline concerned. Citation not only gives credit to the work of others, but also enables readers to identify elements in the text and therefore recognize the contribution of the author or authors in the context of previous work. Failure to cite sources could, inter alia, constitute plagiarism and may be subject to disciplinary procedures.
5. The KLE Tech cannot endorse citation arrangements which are contrary to academic conventions (such as citation clubs or the unnecessary use of self-citation). Guidance will be provided by the Research Committee as to acceptable use of self-citation. Membership of Citation Clubs may be regarded as misconduct
6. It is in the interests of faculty, Registered Students and the University that good practice in the matter of co-authorship is disseminated, understood and followed.
7. A publication must contain appropriate reference to the contributions made by all those who have made what might reasonably be regarded as a significant contribution to the relevant research. Any person who has materially contributed through conceiving, executing or interpreting at least part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research. Accepting the status of co-author implies a full commitment to having one's name and reputation fully associated with the content of the publication.
8. There is a general ethical obligation that the contributory efforts of persons who have helped in the work being reported in a publication should be identified and acknowledged in it. It may, therefore, be appropriate to identify those who have assisted substantively in the work presented in a publication. This may include financial sponsors, colleagues within and outside the University who have given advice and any others who have facilitated the collection of material or data on which the publication is based or who have assisted in producing the publications. Those identified should be approached for permission if it is intended to acknowledge their assistance in the publication, and they should be offered the opportunity of seeing the publication.
9. A publication which is substantially similar to other publications derived

from the same research must contain an appropriate reference to the other publications. A researcher must disclose to a publisher at the time of submission (a) substantially similar work which is being submitted to another publisher at the same time or (b) work which has been previously published.

10. Authors should be aware that in contract and collaborative research it may be necessary to seek permission for publication from all parties to the contract in advance of submission of the work to a publisher.

6.6 Sponsored research

6.6.1 Sponsored Research Projects

Sponsored project refers to one in which the PI does not charge honoraria/consultation fee. Amount may be used by the PIs as approved in the respective budget head by the funding agency. A faculty may like to approach various national and international funding agencies and industries for sponsored projects in the areas of the desired research interests. For a project sponsored by a government agency, no honorarium in any form can be claimed. The guidelines of the sponsoring agency are used to execute the project.

6.6.2 Collaborative Research Projects

Faculty may also participate in collaborative projects with other domestic or foreign partners. In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the Institute. The summary statement provided to the Institute should be based primarily on the portion to be done by the Institute. The Institute will treat this like any other sponsored project.

6.6.3 Project execution Guidelines

1. Project responsibility The sanctioned projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (co- PIs)/ Administrative PI (to operate the project, in case PI is out of station) and the deliverables are the responsibility of the PIs.
2. For each sponsored project, the entire expenditure for the operation of the project is required to be met out of funds provided by the sponsoring agency. The responsibility for operation of the project lies solely with the PI.
3. Preparation and Submission of the Proposal The project proposal should be formulated according to the format prescribed by the concerned funding Agency and submitted to the R & D Cell of the University for further processing. No proposal shall be submitted by the PI directly to the funding agency without the information to the R & D cell.
4. Ethics/ (Intellectual Property Rights) IPRs Funding agencies are concerned with ethical issues of the scientific experimentation on humans, animals, etc.

PIs are responsible for upholding academic integrity, Non-Disclosure Agreements (NDA), MoU guidelines of the funding agency and the University Research Policy during the execution of the projects. PIs are responsible for the submission of progress reports, statement of expenditures and utilization/completion certificates of the project.

6.7 Ethical Review

The KLE Tech requires that all Staff and Postgraduate Registered Students' research projects undergo an ethical self-assessment and, where further scrutiny is required, an ethical review by an Ethical Review Committee of University or external ethical review committee as suggested by the university regulatory committees. Software tools are used for plagiarism check and is followed by all the researchers.

6.8 Additional Requirements

Any special standards of work performance or conduct imposed by law or by the KLE Tech in relation to particular categories of research are deemed to be included in this Code in its application to persons engaged in that research in the University.

6.9 Adverse Events

Research workers have a duty to monitor and report any Adverse Events occurring in the course of the research and each School/dept/center must have systems in place to ensure that all such Adverse Events are recorded and, if appropriate, investigated. In this context, an Adverse Event is an event which results in harm to the researcher, the research participants, or the environment.

6.10 Misconduct

1. Misconduct in research is a failure to comply with the provisions of this Code and, without limiting the generality of the foregoing provisions, is taken to include Fabrication, Falsification, Plagiarism, Misrepresentation, Mismanagement of Data and/or Primary materials etc., and general Misconduct.
2. Researchers and other members of Staff have a duty to report any breach of this Code where they have good reason to believe it is occurring, to the Head of College or some other person in authority.
3. The University considers an accusation of research misconduct to be within its remit and suitable for consideration according to its relevant disciplinary procedures.

Chapter 7

Research Extension and Collaboration activities

7.1 Research Extension and Collaboration activities

University has s strategic theme for the Societal Engagement. The details are;

7.1.1 Goal

KLE Tech will actively seek out strategic opportunities to contribute to the socio-economic development and benefit of the people of the region. Societal engagement, and regional development, will be a distinctive feature of learning and research endeavors at KLE Tech. The university will strive hard to enhance quality of life in the region by contributing its expertise, experience and leadership. A more intimate engagement with society will not only enrich the community but will benefit our students as well. It will offer additional opportunities for research, for experiential learning, technology translation, and for development of values of citizenship and social service. We will pursue this agenda through sustained partnership with public, private, non-governmental, professional bodies.

Universities form an important pillar in the competitiveness of the regions in which they are situated. They should create economic value by serving as magnets of talent, as engines of innovation and as incubators of new products, technologies, and ideas. Our work in driving innovation and entrepreneurship in our region will be grounded on a strong entrepreneurial culture amongst our faculty, students, alumni, and industry.

7.2 Student – Society

Integrate civic engagement and service learning into student learning experience, wherein students can understand and connect to societal needs.

7.2.1

Create educational experiences wherein students develop a greater understanding of social issues and take responsibility to evolve innovative solutions to address them.

7.2.2

Encourage and support the students to take up projects that have distinctive features of community engagement, and benefit the local and regional communities.

7.2.3

Encourage and support students to take up entrepreneurial initiatives of relevance to society

7.3 Institute-Society

Actively engage in advancement of the region through leadership role in the community and emerge as a model for university-society partnership.

7.3.1

Be a leader in a strong network of local and regional organizations, government entities, educational institutions and private foundations that link the university to external communities so as to create a positive and meaningful impact.

7.3.2

Address the needs, challenges, and perspectives of the region with services, applied research and collaborations with appropriate organizations.

7.3.3

Support educational institutions and students in the region through outreach programs and services to enhance quality of education.

7.4 Entrepreneurship

Create an entrepreneurial ecosystem driven by innovation and collaboration for the growth of industries and employment opportunities in the region.

7.4.1

Provide and support formal and informal opportunities to students and faculty to participate in entrepreneurial activities leading to start-up company creations and employment.

7.4.2

Engage entrepreneurial communities to create vibrant entrepreneurial ecosystem in the campus and in the region.

7.4.3

Promote and support technological innovation and research by students and faculty leading to solutions that address wide range of societal needs and also create value for the new enterprises.

Part II

Consultancy policy

Chapter 8

Consultancy policy

8.1 MoUs

The University has established technological ecosystem for promoting research consultancy and collaboration with other Institutions/Industries of repute operating under various MoUs.

8.2 Consultancy policy

To develop outreach activity, the consultancy is one of the activities. In this regard the faculty of KLE technological University has the potential to carryout consultancy. Hence it is proposed to give permission to carry out consultancy and any financial gain out of this may be shared between the institution and faculty & the staff involved. It is proposed that there can be three levels of categories depending upon the financial involvement of institution and the share of distribution of financial gain can be different for different categories

8.2.1 Category I

Here faculty / staff uses the infrastructure like building, electricity, water etc. along with materials for testing, prototyping, material preparation etc.

8.2.2 Category II

Here faculty / staff uses the infrastructure like building, electricity, water etc. only.

8.2.3 Category III

Here faculty visits outside, uses intellectual developments due to the developments in the Institution and gets a duty leave. Depending upon the categories it is proposed to have the following distribution of financial gain

- * The internal distribution shall depend on the project and agreement on case by case basis.

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Category / party	Category I**	Category II ****	Category III
Institution	50%	30%	20%
Faculty/ Staff*	43%	60%	70%
Administrative cost	7%	10%	10%

- ** In special cases the share may be different depending upon the agreement
Administrative cost Head of the Institution, Head of Department /School/ office staff*

Part III
IP Policy

ABOUT THE IPR BOOK

The University IP Policy states the procedure to be followed in the administration of inventions which result from teaching, research, and other intellectual activity performed under University auspices. The University has developed IP review and IP filing process which aids inventors to protect their IP rights. The policy is reviewed annually and revised as per the requirements and developments of the University and IP rules and regulations of India.

IP policy also eludes to various agreements to transfer, share and monetize IP rights. The following documents are part of the IP policy

- i Non-Disclosure Agreement (NDA)
- ii Technology Transfer Agreement
- iii Joint IP Agreement
- iv Invention Disclosure Form

Dr. Uma M
Dean R& D
KLE Technological University

Chapter 9

Part A- IP Policy Preamble

This policy concerning Intellectual Property of KLE Tech is aligned to the vision and mission of KLE Technological University.

KLE Tech acknowledges the role of numerous stakeholders in the creation of its Intellectual Property (IP), namely the government, public, researchers, faculty, staff, postdoctoral fellows, research students, postgraduate and graduate students, guest researchers, sponsors, technology transfer units and the national IP offices. Being a public educational institute, interests of the various stakeholders have been attempted to be taken care of.

KLE Tech recognizes the importance of innovations and assists in translating them into products, processes and services for both commercial benefits and achieves the widest public good. The features of this IP Policy aim to meet such needs and enable KLE Tech to achieve its vision. KLE Tech's IP policy is designed to identify, protect, and leverage the bouquet of IPs that is generated from research – patents, copyrights, design rights and trademarks amongst others, that serve the purpose of knowledge diffusion and commercialization.

The IP policy of KLE Tech is segregated into two primary sub policies relating to (a) “inventions” and (b) “expressions” associated activities at the KLE Tech. The main IP policy presents the generic position of KLE Tech. The Inventions related IP Policy relates to patent, design, layout, trademark, bio-diversity and related rights whilst the Expressions related IP Policy provides direction for the Copyright and related rights. Various forms that explain in detail the sub processes, various situations and required documentation will be included as part of the implementation of this policy.

Chapter 10

Part B- The KLE Tech Hubballi Intellectual Property (IP) Policy

10.1 IP Policy

This policy is applicable to all the KLE Tech Personnel—students, faculty, staff, researchers, project engineers, research assistants, interns, visiting scholars and CTIE staff members. Entrepreneurs, industry and external parties should be aware of KLE Tech’s IP policy if they are working with KLE Tech to generate IP, share or license IP or any other IP related activity. Ownership of IP when external parties are involved is also addressed in this policy.

KLE Tech personnel are entitled to decide if the results of any research undertaken by them in the course of their employment/ engagement with the KLE Tech shall be disseminated through publications or disclosed as they wish in accordance with normal academic practice. However, the concerned parties should be aware of the various Intellectual Properties that get created in the course of their research, collaborations and teaching that has potential for increased productiveness or break through development/inventions and creative activities as a means of effective communication and dissemination.

Under situations where a particular invention /development come under both the sub policies of Inventions vis-à-vis Expressions, the IP Inventions Policy will supersede. The KLE Tech’s decision to grant waivers to the creators from non-application of the IP policy is delegated jointly to the Dean Research and Development (Dean R&D) and Vice Chancellor of KLE Tech OR to IP Steering committee of KLE Tech which includes VC and Dean R&D.

- I **Ownership** The IP policy has to be accepted and signed by all KLE Tech Personnel. KLE Tech owns all the Intellectual Property (IP) that is produced by all KLE Tech personnel and external stake-holders who use significant resources of KLE Tech. Refer to the detailed relevant IP Inventions Policy (Part C) and Expression Policy (Part D) for exceptions. KLE Tech reserves

the right to apply for IP protection in India/throughout the world/specific countries for suitable protection of the IP generated. KLE Tech will also decide about the continued maintenance of the IP.

The policy also addresses scenarios where KLE Personnel are working with external parties when IP is generated jointly. The following scenarios exist

I-A) When IP is generated using KLE Tech's research facilities (significant resources) (Labs, workshops, software and computing systems) jointly by external party and KLE Tech personnel. In this case the IP rights are mutually agreed upon by KLE Tech and external party - before the start of the collaboration. IP rights shall be jointly filed by KLE Tech and external party. An agreement (Annexure 5) is signed regarding sharing of monetized value of IP.

I-B) When IP is generated by external party using research facilities (significant resources) of KLE Tech. In this scenario IP rights are mutually agreed upon by external party and KLE Tech - before the start of the collaboration, and an agreement (Annexure 5) is signed regarding sharing of monetized IP value. IP rights can be filed jointly by KLE Tech or a third party.

I-C) IP rights can be waived by KLE Tech when KLE Tech students and personnel generate IP while working with an external party and using their research facilities (significant resources) during the period of engagement with the external party. However, if the external party has no IP policy of its own and does not insist on IP rights, KLE Tech students and personnel can protect the IP generated by them during this period by filing for IP rights through KLE Tech and avail the benefits of the policy. If the external party insists on joint IP rights point I-B above can be applied.

Annexure 1 Gives an explanation of what constitutes significant resources.

II Disclosure KLE Tech 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 KLE Tech and external stake-holders in the course of their KLE Tech related activities. KLE Tech 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 KLE Tech to appropriately protect and disseminate the research activities occurring at KLE Tech. All

requests/claims for IP must be routed through the office of Dean R&D, and appropriate approvals taken before-hand.

Annexure 2 Details the process of disclosure and protection of KLE Tech's Intellectual Property. All such disclosures are considered to be confidential.

III IP Licensing and Agreements KLE Tech understands the legitimate commercial needs and the security required in the form of IP especially for breakthrough technologies. KLE Tech strives to balance this critical requirement against the primary goal of academic and research dissemination leading to a practical usage of the technologies being developed. The licensing is done by KLE Tech by considering the evaluation, marketing, negotiations and licensing of the entire KLE Tech owned IP (Refer Annexure 4 for details and Annexure 5 for information on Agreements). In certain cases, KLE Tech 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 KLE Tech IP Policy.

IV Licensing Types The type of license provided will depend on the nature of the invention/innovation. KLE Tech, being an academic institute, encourages non-exclusive licensing towards wider deployment of innovations being developed at KLE Tech. Under certain exceptions, KLE Tech 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, KLE Tech 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, KLE Tech reserves the right to extend, modify or terminate the type of existing license provided.

- a) **License Exemptions** In case of both the inventor(s) and external party(ies) requesting for the license of the same KLE Tech 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, KLE Tech retains the right for research exemption and experimental use for patents, design rights and under fair use of copyrights and trademarks on an KLE Tech 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 KLE Tech Personnel under lien/sabbatical/visit/internship, KLE Tech exercises the right to the accesses 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.

V Technology License/ Transfer Options KLE Tech recognizes the inventor(s)/creator(s) as a key component for successful commercialization process. KLE Tech 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. KLE Tech reserves its march-in rights in the case of assigned IP. Any licensing done by KLE Tech will be on an as is where is basis.

1 **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 KLE Tech inventor(s) will be distributed as per the separate inventors' agreement entered into between the inventors. In the case of multiple KLE Tech inventors, the default inventors' royalty share is done on an equal basis in the absence of an alternate revenue sharing agreement. Details of royalty sharing are given in Annexure 3. Salient features of the licensing include the following

i Preferred mode is Non Exclusive licensing. Exceptions to this will be based on the funding of the project and any other relevant requirements.

ii 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.

2 **Incubation through Center of Technology Innovation and Entrepreneurship (CTIE)** KLE Tech inventors and community interested to incubate the technologies developed have an opportunity through CTIE. Salient features for CTIE incubation model include the following

- i Nature of license (exclusive, non-exclusive or transfer of know how) will be based on the nature of the technology developed and on any prior contract governing the IP to be licensed.
- ii Exit time review of the earlier license provided would determine the future mode of license.
- iii Exclusive licensing provided after exit from CTIE will be subject to periodic review based on various measures.
- iv For IP involving multiple inventors, a No-objection Certificate (NoC) from all the inventors concerned is a necessity for an exclusive license to be considered. In the absence of NoCs from all concerned, a non-exclusive license ONLY will be provided to the requester(s).

V Licensing through agents In some cases, KLE Tech might utilize the services of third party licensing agents and mechanisms for effective deployment of the technology developed. Salient features for third party licensing agents include the following

- i The nature of the licensing would be generally non-exclusive.
- ii Exclusive licensing will be subject to periodic review based on various measures. For an IP which has not been licensed to any party, the creator(s) may also contact potential licensee(s) on their own initiative, maintaining confidentiality and taking all necessary care so as not to affect the value of the IP, through appropriate agreements such as Non-Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions. If KLE Tech has not been able to commercialize the creative work in a reasonable time frame, the creator(s) may approach the Dean R&D for the assignment of rights of the invention(s) to them.

VI Infringements, Damages, Liability and Indemnity Insurance KLE Tech shall, in any contract between the licensee and KLE Tech, seek indemnity from any legal proceedings including without limitation manufacturing defects, production problems, design guarantee, upgrades, debug obligations and the content created. The policy also supports the need to indemnify KLE Tech personnel built into the license agreements for Sponsored research and consultative work. KLE Tech shall retain the right to engage in any litigation concerning its IP and license infringements.

VII Conflict of Interest The inventor(s) are required to disclose potential conflict of interest while undertaking any IP related activity. If the inven-

tor(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. A KLE Tech license to a company in which the inventors also have a stake and management role shall be subject to the approval of the Dean R&D taking the above consideration into fact. All KLE Tech Personnel shall be bound by the conflict of interest related policy/ guidelines of KLE Tech as applicable from time to time.

VII Dispute Resolution In case of any disputes between KLE Tech and the inventors/ creators regarding the implementation of the IP policy, the aggrieved party may appeal to the Vice Chancellor of KLE Tech, and/or the IP Steering Committee. Efforts shall be made to address the concerns of the aggrieved party through the appointment of a committee of experts and the verdict of the Vice Chancellor is final.

IX Jurisdiction All agreements to be signed by KLE Tech will have the jurisdiction of the court in Karnataka and shall be governed by appropriate laws of India.

10.2 The Inventions IP Policy (Patents, Trademarks, Design rights and related)

1 Applicability & Requirements

This policy is applicable to all KLE Tech personnel as defined in the overall IP policy and their range of activities such as, but not limited to, teaching, research, distance education and modules, continuing education programme, consultancy, sponsored work, collaborative research (internal and external) and the range of inventions includes patentable subject matter, trademark/service mark, geographical indicators, design registrations, integrated circuits layout, plant varieties, materials transfer and other related necessary Confidential Information.

Evaluation of academic work associated with IP creation will be subject to KLE Tech 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 KLE Tech to the said agency.

The applicability of the IP policy will be covered through appropriate forms to be filled by the KLE Tech personnel.

2 Relevant inventions and Ownership

Under this policy, title to such inventions including software where applicable, designs and integrated circuit layouts and patentable subject matter that are created in KLE Tech with the use of significant KLE Tech resources are assigned to and owned by KLE Tech, regardless of the source of funding, if any. In case the funding agency insists on IP rights, it shall be discussed before the start of the research and IP rights shall be shared with mutually agreed ratio.

All inventors/creators are required to ensure that an “inventor’s agreement” is filled at the time of submission of an invention disclosure to KLE Tech. This agreement would among other aspects, include ratio of sharing any revenue received from commercialization of the said technology amongst the KLE Tech inventors/ creators. Absence of such an agreement will be considered as equal sharing amongst the KLE Tech inventors/ creators.

3 Ownership exemption The possibility of exemption to ownership is given in the following cases and KLE Tech reserves the right to revise these exemptions on a case to case basis.

- i If the inventor / creator is not related with KLE Tech.
- ii If the inventor/creator has not used significant resources of KLE Tech. The inventor(s)/creator(s) are to submit the lack of using significant resources (as described in Annexure 1) for exemption purposes.
- iii If KLE Tech is not interested to take forward the disclosed invention/creation towards IP protection or through prior specific agreement.

In case of KLE Tech not protecting an IP, the inventor(s)/ creator(s) are provided with the permission to protect the same in countries of their choice.

4 Externally 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 KLE Tech 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 assigned by KLE Tech, the following scenarios are envisaged

- i KLE Tech is the sole owner of the IP generated from the funding provided.
- ii The IP generate disowned jointly with the collaborative partner having the first rights of refusal towards commercialization.
- iii 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 mutually agreed IP agreement in such cases, KLE Tech follows its IP policy.
- iv KLE Tech can assign the IP generated, to the funding agency based

on the nature of the technology, funding and specific applications.

Under all circumstances, KLE Tech always reserves the right to use the IP generated for its academic and research purposes.

5 Design Rights

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

6 Trade Mark(s)/ Service Mark(s)

The logo of KLE Tech would be the trade mark of the KLE Technological University. It is to be noted that the logo of KLE Tech cannot be used on any of the private communication of any of the KLE Tech personnel. Official activities that are part of the officially recognized bodies of KLE Tech, web pages hosted on the KLE Tech domain, project websites and reports in which KLE Tech is a project member, student thesis are allowed by default to have the KLE Tech logo. The usage of the KLE Tech logo, KLE Tech name in full or partial for all other activities has to get due approval of KLE Tech.

7 Material Transfer Agreements (MTAs)

This agreement is of relevance to activity which requires a physical material access for research. KLE Tech follows a material transfer agreement aligned with its academic and research needs. The MTA is used for both KLE Tech 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 KLE Tech for all materials transferred to and from external agencies.

* * End of Inventions related IP Policy* *

10.3 The Expressions IP Policy (Copyrights related)

1 Applicability & Requirements

This policy is applicable to all KLE Tech personnel as defined in the overall IP policy and their range of activities during their engagement with KLE Tech such as, but not limited to, teaching, research, distance education, continuing education, consultancy, sponsored work, collaborative activity

(internal and external), KLE Tech designated or sponsored work (academic, cultural) and the range of creations includes copyright able 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 KLE Tech refers only to the literary work of the thesis.

Evaluation of academic work associated with IP creation will be subject to KLE Tech 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 KLE Tech to the said agency.

2 Relevant inventions 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 KLE Tech with the use of significant KLE Tech resources under this policy are assigned to and owned by KLE Tech.

KLE Tech 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 KLE Tech. 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.

3 Ownership exemption

Exemption to ownership is given in the following cases and KLE Tech 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 KLE Tech personnel’s activities. The copyright ownership is treated separately for the various creations identified.

Teaching/ Course material

- ¹ KLE Tech acknowledges that the author is the owner of teaching

- materials created for teaching purposes during author's engagement with/stay at KLE Tech.
- 2 As most of the course content is created cumulatively and in order to enable a wider usage and distribution of the teaching materials created, KLE Tech 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.
 - 3 KLE Tech 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.

Thesis

- 1 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.
- 2 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.
- 3 The supervisor(s) is (are) required to sign off at the time of the thesis submission, indicating the commercial/potential commercial/no commercial value of the work concerned.
- 4 KLE Tech reserves the right to identify potential IP generated through the submitted thesis and protect such identified IP before displaying the thesis in public domain. KLE Tech gets a non-exclusive, non-commercial license for the display and use of the thesis for academic and research purposes.
- 5 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 KLE Tech will be applicable by default in such cases.
- 6 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.
- 7 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 KLE Tech towards the resolution. The Vice Chancellor of KLE Tech authorizes the formation of a panel under the Dean R&D for a resolution process.

- 8 Irrespective of any agreement, KLE Tech reserves the right to use the thesis for educational and research requirements. KLE Tech may not prefer the use of NDA for its thesis evaluation.
- 9 KLE Tech gets an automatic right to display the thesis in soft and hard forms

Books, articles and related literary works

KLE Tech encourages its personnel to spread knowledge and books, technical articles etc. are ways in which this vision can be achieved. In this respect, KLE Tech does not claim ownership of copy right on books authored by KLE Tech personnel. In cases where the books are related to the multiple research groups / faculty teaching the course in the KLE Tech, it is expected that the interested author shall get the relevant on objection certificate from co-authors/ other contributors.

Use of KLE Tech logo on any personal publications by the faculty/staff/student is prohibited. In cases of KLE Tech designated works and other works like the content development programme, the ownership rests with KLE Tech.

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 Dean R&D -KLE Tech.

* * End of Expressions related IP Policy* *

10.4 Annexure

Annexure 1

Defining parties concerned and significant usage

In addition to faculty and staff (including project staff), the provisions of the KLE Tech's IP policy will extend to all students, research scholars and post-doctoral fellows, non- employees who participate or intend to participate in research projects at KLE Tech (including visiting faculty, industry personnel, visiting students, fellows, etc.) either in a direct or indirect relationship with KLE Tech or through any related activity.

- 1 Use of library facilities, internet connectivity, and occasional use of office equipment and office staff will not be considered “significant use” of KLE Tech facilities and equipment. In addition, the following are accepted as no significant usage of KLE Tech resources
- 2 The inventor does not use any KLE Tech provided funds or KLE Tech. administered funds in connection with the activity resulting in generation of IP.

Prior disclosure by the inventors of any intellectual property that closely resembles a specific research project at the KLE Tech, together with an explanation that such intellectual property did not arise through use of KLE Tech resources.

The KLE Tech requires the individual to provide supporting documentation towards the claim of no significant use of the KLE Tech resources and reserves the right to grant appropriate waivers. It is to be noted that in the event of further development or modifications to an earlier individual work by making significant use of KLE Tech facilities, resources and related funding, KLE Tech may assert further rights in accordance with its IP policies.

Access to facilities for external registered students is limited to their related research and is bound by the IP policy of KLE Tech.

Annexure 2

Disclosure, Assessment and Protection

For all invention(s) produced at KLE Tech University, the inventor(s) who are KLE Tech Personnel are required to disclose the creative work to the IP Coordinator or Department IP representative at the earliest date using an Invention Disclosure form (IDF) of the KLE Tech. Disclosure is a critical part of the IP protection process and it formally documents claims of inventorship, the date of the invention and other details of the invention. The inventor(s) shall assign the rights of the disclosed invention to KLE Tech.

For sponsored activity, the provisions of the contract pertaining to disclosure of creative work are applicable. For IP generated collaboratively with an external agency disclosure process can be adopted, however the IP rights shall be mutually agreed upon.

All KLE Tech personnel and non-KLE Tech personnel associated with any activity of KLE Tech shall treat all IP related information which has been disclosed to the KLE Tech and/or whose rights are assigned to KLE Tech, or whose rights rest with KLE Tech personnel, and/or whose rights are jointly owned as confidential. Such confidentiality shall be maintained till the date as demanded by the relevant contract, if any, between the concerned parties unless such knowledge is in the public domain or is generally available to the public.

In order to expedite and complete the procedural and legal formalities of IP protection, all inventors / creators of KLE Tech are required to sign such identified documents and provide assistance to empower and enable KLE Tech to complete these statutory requirements within stipulated time.

Assessment of Inventions /Innovations for protection

The KLE Tech shall assess the patentability of the invention and make one of the following recommendations

- 1 KLE Tech shall take the responsibility of protection of the IP, in which case, KLE Tech will initiate appropriate processes.
- 2 In the event of KLE Tech not taking up the responsibility of protection of the IP, the inventor/creator(s) may then choose to protect the IP on their own. However the ownership rights shall remain with KLE Tech. In such cases, the cost and revenue sharing will be governed by a separate agreement between KLE Tech and the inventor / creator(s).
- 3 Filings of IP Applications in foreign countries Within a reasonable

period of filing the complete IP application in India, KLE Tech shall, based on available information decide on the suitability of protection of the invention in foreign countries.

- 4 If KLE Tech opts not to undertake such protection in any specific country requested by the inventor(s), the creator(s) may then choose to protect the creative work on their own. However the ownership rights shall remain with KLE Tech. In such cases, the cost and revenue sharing will be governed by a separate agreement between KLE Tech and the inventor /creator(s).

Renewal of IP Rights

A decision on the annual renewal of IP rights will be taken by the KLE Tech. If KLE Tech decides not to renew the IPR in any country, then it may assign the rights of the IP in that country to the creator(s) based on a request to that effect from the creator(s) and an internal review. In all cases where IP rights in any specific country have been reassigned to the inventor(s), KLE Tech shall not claim any share of proceeds earned through that IP in that country excepting for the costs already incurred by KLE Tech.

Annexure 3

Revenue Sharing

Net earnings from the commercialization of IP owned by KLE Tech would be shared as follows

- 1 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 KLE Tech at the time of disbursement.
- 2 The revenue sharing ratio between the inventor team and KLE Tech will be a fixed 70 30 in favor of the inventor team. IP protection costs will be part of the license revenue sharing agreement between KLE Tech and inventor(s).
- 3 Where applicable and when KLE Tech reassigns the rights of the IP to its creator(s) for any country, the cost and revenue sharing will be governed by a separate agreement between KLE Tech and the inventor / creator(s).
The inventors may at any time by mutual consent revise the distribution of IP earnings agreement.

Annexure 4

Role of Dean R&D

Dean R&D KLE Tech provides guidance, support and resources to all KLE Tech personnel and facilitates protection and deployment of intellectual property. In achieving this goal, Dean R&D creates awareness about the importance and role of IP Rights, implements the IP policy, ensures transparency and fairness of implementation processes, solicits feedback regarding the fulfillment of the IP policy and periodically reviews the Policy to improve upon any shortcomings, strengthens the infrastructure and resources for protection and exploitation of IP and makes available expert inputs.

Issues of ownership, confidentiality, disclosure, patentability, technology transfer, revenue sharing, and conflict of interest among others play a very important role in any IP management and workshops/meetings are conducted by the KLE Tech to enhance awareness on related issues. Dean R&D also provides templates and guidelines for the contracts, agreements and MOUs governing the effective exploitation of the IP produced by KLE Tech. All such agreements and matters relating to claims, filing, confidentiality, infringements, damages, liabilities and compliance are administered by Dean R&D.

Annexure 5

Contracts and Agreements

All agreements including but not limited to the following categories, for activities undertaken by any KLE Tech personnel need to be approved by KLE Tech.

- 1 Non-disclosure Agreement
- 2 License Agreement
- 3 Technology Transfer Agreement
- 4 Collaborative MOU with University / Organisation

Dean R&D acts as the final signing authority in all categories of agreements listed above. Dean R&D facilitates the process of framing such agreements by way of providing templates and services through professional consultants.