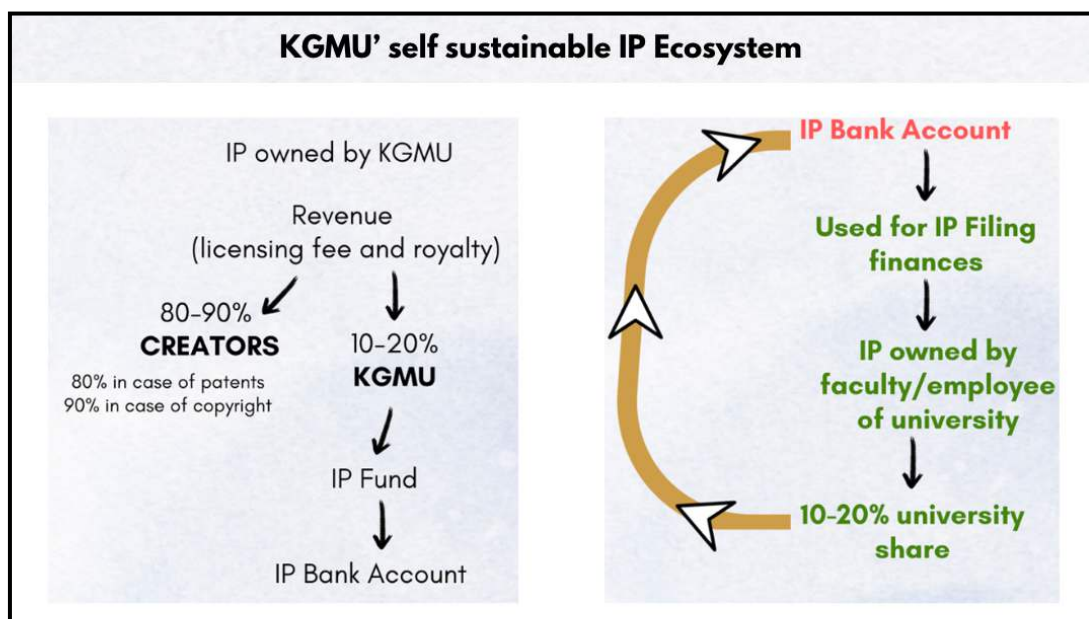
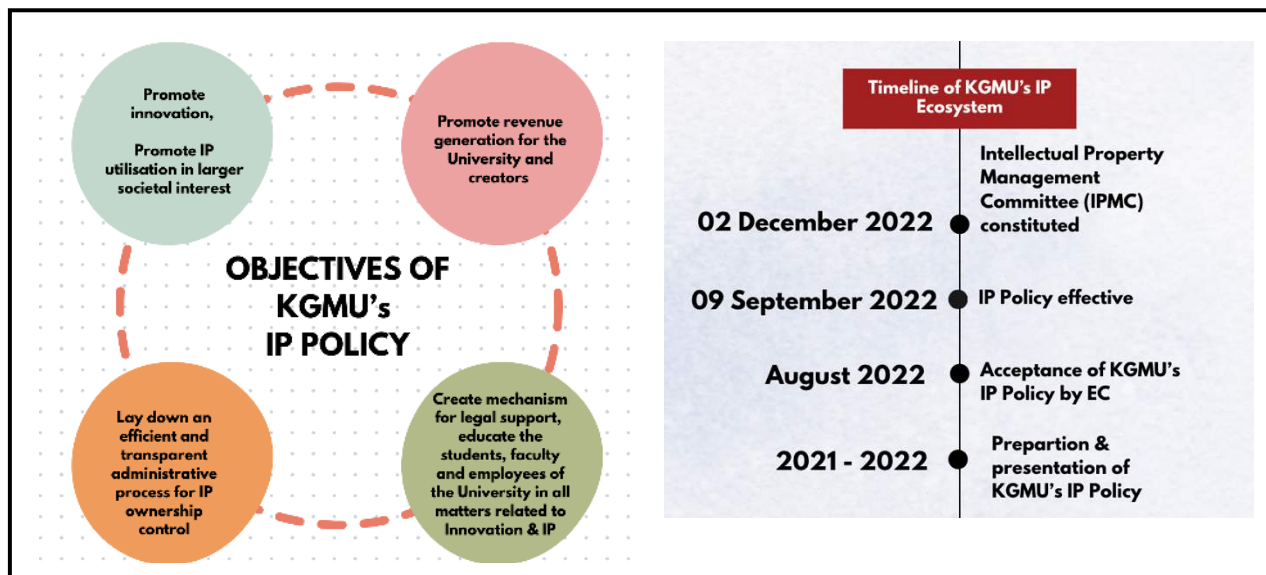




KING GEORGE'S MEDICAL UNIVERSITY

LUCKNOW UTTAR PRADESH INDIA

Innovation Ecosystem at KGMU



Archan
Registrar
King George Medical University
Lucknow



KING GEORGE'S MEDICAL UNIVERSITY

LUCKNOW UTTAR PRADESH INDIA

Link to the University's IP Policy :

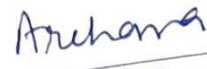
<https://www.kgmu.org/download/KGMU-IP-Policy-21-09-2023.pdf>

Link to SOP and Forms of IP Policy:

<https://www.kgmu.org/download/IP-Filing-SOP-and-Forms.pdf>

Intellectual Property Management Committee:

L.T. GEN. (DR.) BIPIN PURI PVSM, VSM (RETD.) VICE CHANCELLOR लेफ्टिनेंट जनरल (डॉ०) बिपिन पुरी वी०सी०एस०एम०, वी०एस०एम० (सेवाविरुद्ध) कुलपति		KING GEORGE'S MEDICAL UNIVERSITY U.P., LUCKNOW किंग जार्ज चिकित्सा विश्वविद्यालय, उ०प्र० लखनऊ
Ref: No: KGMU/VC/३६९/2022,		Dated: December 02, 2022
<u>CIRCULAR</u>		
An INTELLECTUAL PROPERTY MANAGEMENT COMMITTEE of KGMU comprising of the following members is hereby constituted with immediate effect for the proper and timely implementation of the IP Policy in the University:-		
1-	Vice Chancellor	Chairperson
2-	Prof. Rishi Sethi Department of Cardiology	Member Secretary
3-	Prof. Hardeep Singh Melhotra Department of Neurology	Member
4-	Dr. Pooja Ramakant Department of Endocrine surgery	Member
5-	Dr. Sujeeta Kumar Kar Department of Psychiatry	Member
6-	Representative from BCIL	Member
Ms. Himanshi Singh, Program Manager, SIB-SHLine will manage & maintain the records of Intellectual Property Management Committee (IPMC)		
 (Lt. Gen.(Dr.) Bipin Puri) Vice Chancellor		
<u>Distribution:</u> 1- Above concerned members, KGMU, Lko. 2- Circular Book.		
01 शाहमीना रोड, चौक, लखनऊ, उ०प्र०, भारत-226003 01 Shahmina Road, Chowk, Lucknow, U.P., India - 226003 W: +91-522-2257540, Fax: +91-522-2257539		
 उत्कृष्टता का मानक है, गुणवत्ता का मूल्य है। (कर्म-१०१)		


Registrar
King George Medical University
Lucknow



KING GEORGE'S MEDICAL UNIVERSITY

LUCKNOW UTTAR PRADESH INDIA

Revenue sharing as per IP Policy (Screenshots)

KOMU-IP-Policy-21-09-2023.pdf 23 / 35 100%

writing by the University and the Research Scholar's home institution prior to the tenure at the University, Research Scholars are required to assign to the University any IP created in the course and scope of their appointment at the University or created by making Substantial Use of the University Resources through a deed of assignment. On departure from the University, a Research Scholar must sign and submit to IPMC an Invention Disclosure Form (IDF) disclosing any IP created, as per Section 6.7, whilst at the University.

7. REVENUE SHARING/ INCENTIVE FOR CREATORS

For University-owned IP, the Creator(s) shall get 80% and the University shall get 20% of the revenue earned out of licensing fee and royalty after the deducting the expenses incurred for registration and maintenance of the IP. Out of the University's share of 20%, 50% shall go to the IP Fund of the University; 50% goes to the concerned department for the development of R&D infrastructure and to the IPMC to meet its revenue/capital expenditure. The allocation of funds to various departments of the University shall be decided by the IPMC. The

21

Programs / Sessions on IPR

Activities Conducted

LET. GEN. (DR.) RUPIN PURI
VICE CHANCELLOR
सचिव (वि.) विद्यापीठ
संयोजक, प्रशासनिक विभाग

KING GEORGE'S MEDICAL UNIVERSITY
U.P. LUCKNOW
विनोद बिहारी विश्वविद्यालय, २०१०
लखनऊ

Ref. No. KOMU/VCZ/22/2023 Date: May 22, 2023

CIRCULAR

This is to inform that Intellectual Property Management Committee (IPMC) of the university is organizing an IP Awareness Meeting - Presentation on KOMU's IP (Intellectual Property) Policy by Prof. Rishi Sethi, Department of Cardiology as per following schedule:

Date : 01st June, 2023 (Thursday)
Time : 12:00 Noon
Venue: Brown Hall, Admin. Block, KGML, Lucknow.

AGENDA: BRIEFING ON IP POLICY WITH QUESTION/ANSWER SESSION

Time stamp	Details
12:00 - 12:10	Opening Remarks by Hon. Vice Chancellor
12:10 - 12:30	Introduction to KOMU's IP Policy by Prof. Rishi Sethi
12:30 - 12:55	Question and Answer Session
12:55 - 01:00	Thank you note by Prof. Rishi Sethi

All Faculty members, scholars, and employees of King George's Medical University are required to attend the above presentation in Brown Hall. If any faculty member is on vacation/leave, may attend this presentation on virtual mode.

Virtual link of the meeting will be sent separately.

(Dr. Rupin Puri)
Vice Chancellor

Distribution:

1. Registrar, KGML, Lucknow.
2. Finance Officer, KGML, Lucknow.
3. All Doctors, KGML, Lucknow are requested to ensure the presence Scholars in the presentation.
4. All Head of the Departments, KGML, Lucknow
5. All Faculty Members, KGML, Lucknow.
6. Circular Book

01 Shashina Road, Choubh, Lucknow, U.P., India - 226003
Ph. +91-522-3477400, Web: kgmu.org
E-mail: vc@kgmu.edu, vc@kgmu.org
Facebook: kgmuofficial

KOMU'S IP MANAGEMENT CELL PRESENTS

INTELLECTUAL PROPERTY AWARENESS MEETING

If you are keen to know your IP Rights and how to protect IP emerging out of your research, Join us on -

1 June 2023, 12 noon onwards
Venue : Brown Hall, Administrative Block

Be inspired to innovate

KING GEORGE'S MEDICAL UNIVERSITY'S IP MANAGEMENT CELL PRESENTS

INTELLECTUAL PROPERTY AWARENESS MEETING

AGENDA: BRIEFING ON KOMU'S IP POLICY WITH QUESTION/ANSWER SESSION

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12:30 - 12:55	Introduction to Intellectual Property Management Committee (IPMC)
12:55 - 01:00	Question and Answer Session
12:55 - 01:00	Thankyou note by Prof. Rishi Sethi

Be inspired to innovate

Aradhana
Registrar
King George Medical University
Lucknow



KING GEORGE'S MEDICAL UNIVERSITY

LUCKNOW UTTAR PRADESH INDIA



Aradhana
Registrar
King George Medical University
Lucknow

STANDARD OPERATING PROCEDURE



PREPARED FOR
Implementation of KGMU's
IP Policy

EFFECTIVE FROM
16 JUNE 2023

PREPARED BY
KGMU's IP Management Committee





INTELLECTUAL PROPERTY MANAGEMENT CELL
STANDARD OPERATING PROCEDURE
For Faculty/Students/Research Staff/Scholars/Fellows
SOP ID : SOP01/IPMC/KGMU/23
SOP original version: V1

STANDARD OPERATING PROCEDURE FOR IMPLEMENTATION OF KGMU's IP POLICY

EFFECTIVE FROM 16 JUNE 2023

	NAME	TITLE	SIGNATURE	DATE
Reviewed By	Prof. Rishi Sethi	Member Secretary IPMC Department of Cardiology		16/06/2023
	Dr. Pooja Ramakant	Member, IPMC Department of Endocrine Surgery		16/06/2023
	Dr. Hardeep S. Melhotra	Member, IPMC Department of Neurology		16/06/23
	Dr. Sujit Kar	Member, IPMC Department of Psychiatry		
Approved By	Hon. Vice Chancellor	Chairperson IPMC		16/6

Effective Date	16/06/23
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PREPARED BY
KGMU'S IP MANAGEMENT COMMITTEE

APPROVED BY
HON. VICE CHANCELLOR KGMU



1. INTRODUCTION

1.1 Purpose: This Standard Operating Procedure (SoP) has been formed in accordance with King George's Medical University's (KGMU Lucknow) Intellectual Property (IP) Policy. This SOP will outline the procedure for the protection and exploitation of Intellectual Property (IP) arising from innovation/research projects undertaken by Students/Innovators/Faculty/ Employees or those employed by external organizations using KGMU Lucknow's resources.

1.2 Scope: The ethos of this SoP and IP Policy is to encourage generation of intellectual property that has potential value in academic and commercial terms. The university holds the responsibility to ensure that innovation flourish as an essential value of academic research along with purposeful product development, which may be achieved from time to time by protecting intellectual property or encouraging commercial exploitation.

1.3 Beneficiaries: Students, alumni, research scholars, fellows, faculties and/or employees of King George's Medical University Lucknow.

1.4 Chief/Principal Investigator: Hon.Vice Chancellor and Intellectual Property Management Committee (IPMC) Member Secretary, King George's Medical University Lucknow.

2. GENERAL TERMS AND CONDITIONS

2.1 The beneficiaries are liable to read and understand clauses of King George's Medical University's IP Policy (effective from September 09, 2022), prior to applying for Intellectual Property Filing via the university.

2.2 The beneficiaries are required to submit information regarding intellectual property application processed via an external agency before September 09, 2022 to the Intellectual Property Management Committee (IPMC) (Ref. Annexure 1).

2.3 The beneficiaries are required to take necessary permission, approval or sign declaration in order to pursue any intellectual property application filed before September 09, 2022.



2.4 The beneficiaries need to submit an online application by email "ipcell@kgmcindia.edu" in order to apply for KGMU's support for filing any IP application, in which the inventor(s) may be called to represent or showcase their idea/invention to IPMC and/or KGMU's IP facilitator(s).

2.5 The IP application submitted for KGMU's support would be handled by the university recognised techno-legal and Intellectual Property facilitators as per university approved service charges.

2.6 Filing of IP via KGMU's support means that filing charges and maintenance (of patents) would be borne by KGMU Lucknow.

2.6 The beneficiaries are required to submit forms, declaration(s) and/or agreement as per the Intellectual Property case requirement, ensuring correct and accurate information, while being in complete compliance with KGMU's IP Policy.

2.7 KGMU'S IP facilitators are required to duly sign and submit hard copy of Non-Disclosure Agreement (NDA) so as to maintain confidentiality of all inventions on which they would be working on. The responsibility of timely execution of each IP application lies solely with the IP facilitator.

2.8 Only inventions/ideas that are approved by IPMC upon technical screening would be eligible for KGMU's IP filing support in compliance with the IP Policy, however, in whichever way the beneficiaries are supposed to surrender KGMU's share of commercialisation as per KGMU's IP Policy.

3. REGARDING COPYRIGHT

3.1 The beneficiaries should read and understand clauses of KGMU's IP Policy pertaining to Copyrights as per nature of their project/ research work (eg. sponsored, non-sponsored etc., multipartite etc.).

3.2 The beneficiaries may apply for copyright application(s) on their own.



3.3 In order to inform IPMC regarding copyright, the beneficiaries are supposed to write an email to "ipcell@kgmcindia.edu" keeping the IPMC member secretary or members copied. The email should include:

- Disclosure of title/topic of the copyright matter and status of the application.
- Declaration -1 form duly filled and signed by the applicants (Annexure-3, available on KGMU's website)

3.4 The beneficiaries (also applicants of the copyright) shall inform IPMC from time to time regarding the status of copyright.

3.5 Once the copyright is granted, the beneficiaries (also applicants of the copyright) are required to submit the final copy of granted copyright via email.

3.6 In case any revenue/ honorarium etc. may be received by the beneficiaries, must be informed to IPMC via email - a cover email enclosed with details of transaction reflecting the amount of revenue/ honorarium.

3.7 The beneficiaries need to surrender 10% KGMU's share of the revenue directly/indirectly received by virtue of said copyright within 15 days of receiving the amount.

3.6 Submission of KGMU's revenue share: The beneficiaries may submit KGMU's revenue share in IP Management Account by means of RTGS/NEFT cheque. (Account details to be disclosed by IPMC, when required).

3.7 Documents submission to Finance Office:

- A cover letter disclosing details of copyright, amount of honorarium/revenue
- Copy of cheque/ transaction proof submitted to - Finance Officer, King George's Medical University Lucknow.

3.8 Infom IPMC : The documents submitted at the Finance Office must be copied to and distributed to Member Secretary IPMC.

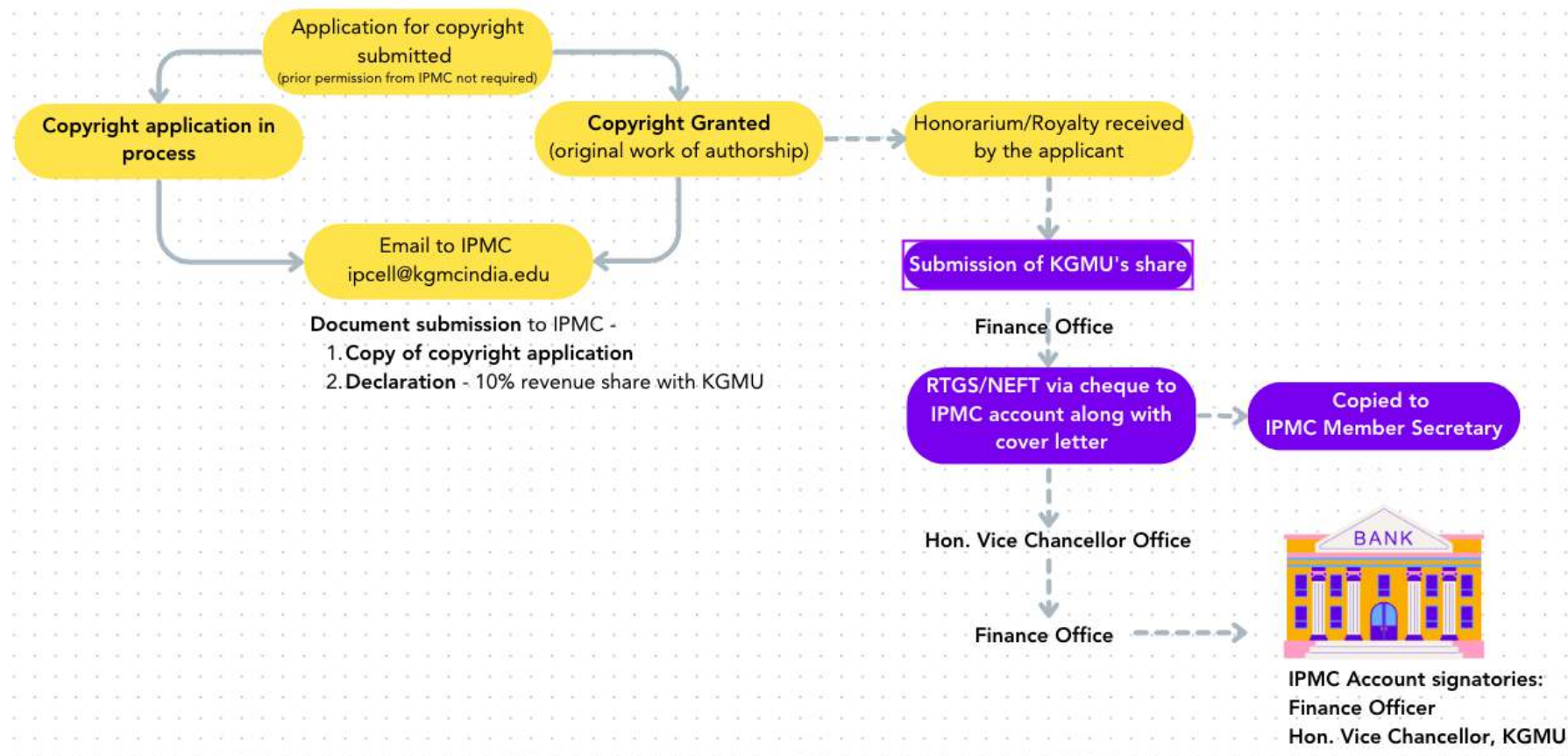


Figure 1: Steps for applications related to Copyright



4. REGARDING PATENTS

4.1 The beneficiaries (also inventors in case of patents) should read and understand clauses of KGMU's IP Policy pertaining to Patents as per nature of their project/ research work (eg. sponsored, non-sponsored etc., multipartite etc.).

4.2 In order to apply for patent filing via KGMU, the inventor(s) are supposed to:

- a) Download Invention Disclosure Form (IDF) (Annexure-2) from www.kgmu.org and fill the particulars of the form
- b) Send a cover email enclosed with duly signed and stamped Invention Disclosure Form (IDF) to IPMC (ipcell@kgmcindia.edu); or
- c) Contact any of IPMC members for assistance

4.3 Once the IDF is received, IPMC would screen the application for basic patentability as per Indian Patents Act, 1970 (especially focussed to Section 3), and arrive at a conclusion on whether the invention is eligible for university support or not.

4.4 At this point of time, inventor(s) may be called to present or showcase the invention to IPMC members.

CASE A: The invention is approved for university support:

- a) The inventor(s) would be informed via email and inventor(s) would be asked to submit the following documents :
 - i) Commercial Rights Agreement (between inventor(s) and university)
 - ii) Declaration-2 (Annexure-4) by the inventor(s) (available on KGMU website)
- b) Upon receiving the documents, the IDF would be submitted to the KGMU's IP facilitator and the inventor(s) would be connected to the representative handling their application.
- c) Copy of the Non-disclosure agreement would be forwarded to the inventor(s) as proof of confidentiality.
- d) Henceforth, the application would be handled by the facilitator and techno-legal assistance would be provided to the inventor(s).

CASE B: The invention is not approved for university support:

- a) The inventor(s) would be informed via email.



- b) The inventor(s) may be allowed to file applications on their own, requests need to be made to IPMC (ipcell@kgmcindia.edu). No objection certificate needs to be obtained from IPMC
- c) Whichever case, the inventor(s) would be asked to submit the following documents :
 - i) Commercial Rights Agreement (between inventor(s) and university), if applicant is KGMU Lucknow
 - ii) Declaration-3 (Annexure-5) by the inventor(s) (available on KGMU website)

4.5 Licensing / Commercialisation: In case patent is granted, followed by commercialisation and licensing in future, the applicant need to submit the following to IPMC:

- a) Copy of Patent Certificate
- b) 20% revenue/royalty share of KGMU via steps 3.6 to 3.8 (Figure 1)

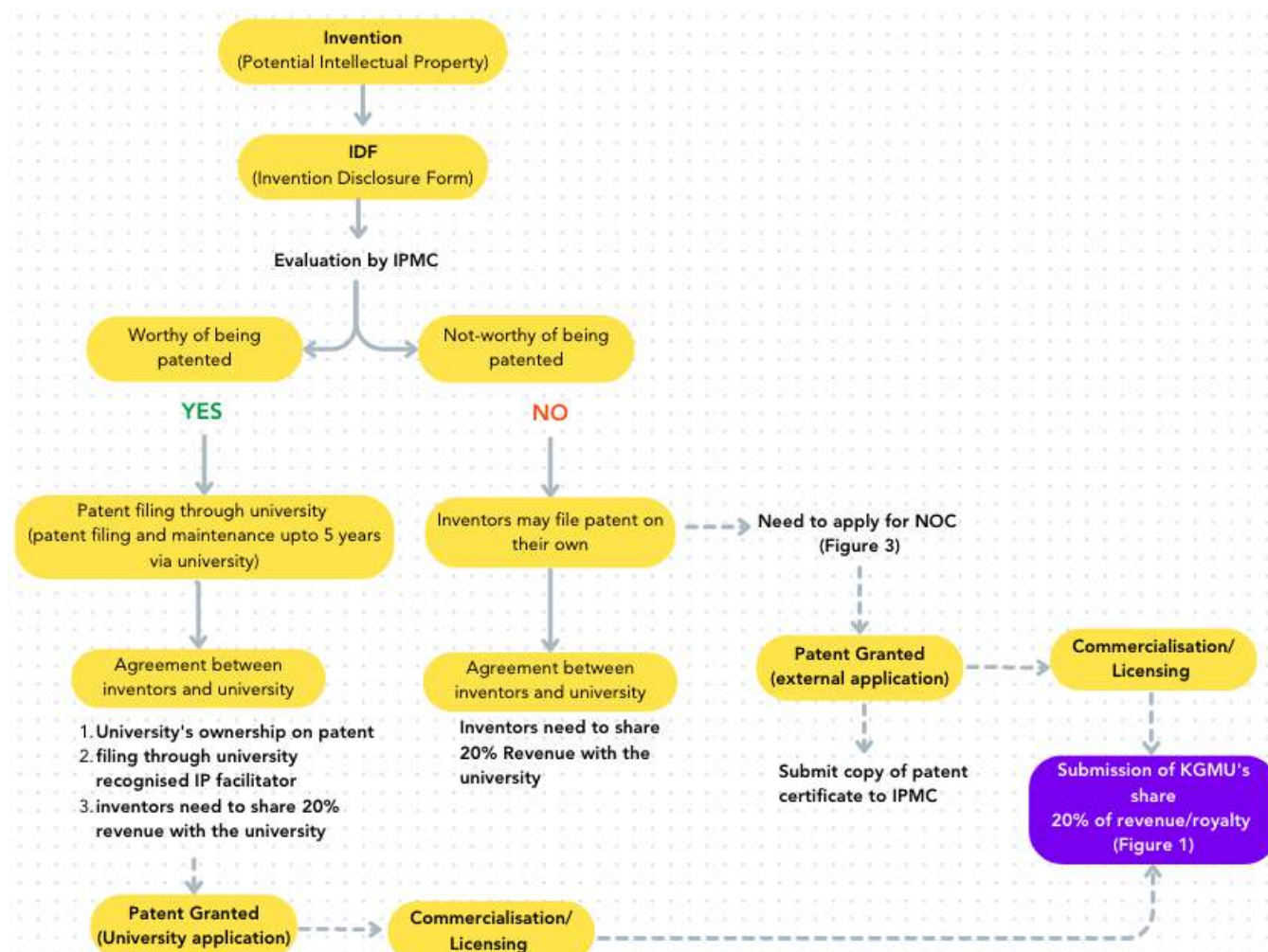


Figure 2: Steps for applications related to patents

5. ISSUING NO OBJECTION CERTIFICATE (NOC)

5.1 In case beneficiaries are allowed for filing copyrights or patents applications through external IP facilitators (on prior permission basis for patents), a No Objection Certificate (NOC) may be needed to be issued by IPMC.

5.2 In order to obtain NOC for copyrights, the beneficiaries need to submit an application to Hon. Vice Chancellor and write an email to the Member Secretary, IPMC.

5.3 The letter may also be forwarded to Member Secretary, IPMC via Hon. Vice Chancellor.

5.4 The matter may be discussed in the IPMC meeting and decision on issuance of NOC would be taken as per discretion of Hon. Vice Chancellor. The final decision along with NOC (if approved) would be sanctioned to the beneficiaries/applicants of patents/copyright.

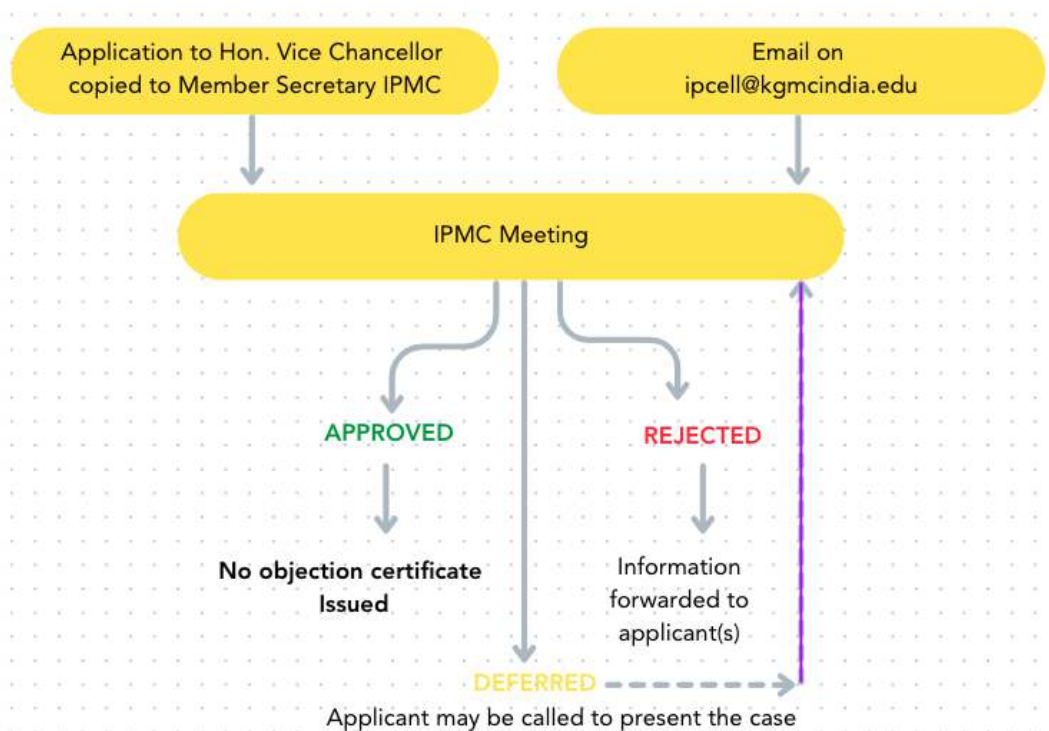


Figure 1. Steps to obtain No Objection Certificate from IPMC



6. OTHER RULES

5.1 KGMU Lucknow may regulate the principles of ownership of IP Rights and profit sharing based on IP policy, employment contracts and other contractual arrangements.

5.2 Expenses like preparing and providing CDs or any other medium, courier or others which may be necessary under IP laws, if any, shall be borne by the applicant/beneficiaries.

5.3 Any expenses related to affidavit or notarisation preparation is to be borne by the applicant/beneficiaries.

5.4 In any situation, which is not covered here, or in cases of any conflicts, the decision of IPMC, KGMU Lucknow will remain final and binding to all IP Facilitators and beneficiaries of this SoP and IPR Policy.

5.5 IPMC, KGMU Lucknow reserves the right to modify the terms, conditions and working of this SoP without prior notice to any parties.

5.6 All disputes arising under the scope of this SoP and IP Policy are subjected to the jurisdiction of Lucknow Court.



INTELLECTUAL PROPERTY MANAGEMENT CELL
STANDARD OPERATING PROCEDURE
For Faculty/Students/Research Staff/Scholars/Fellows
SOP ID : SOP01/IPMC/KGMU/23
SOP original version: V1

Annexure-1

L.T. GEN. (DR.) BIPIN PURI
PVSM, VSM (RETD.)
VICE CHANCELLOR
लेफ्टिनेंट जनरल (डॉ०) बिपिन पुरी
वी०बी०एस०एम०, वी०एस०एम० (सेवानिवृत्त)
कुलपति



KING GEORGE'S MEDICAL UNIVERSITY
U.P., LUCKNOW
किंग जार्ज मेडिकल विश्वविद्यालय, उ०प्र०
लखनऊ

Ref: No: KGMU/VC/269/2022,

Dated: December 02, 2022

CIRCULAR

An INTELLECTUAL PROPERTY MANAGEMENT COMMITTEE of KGMU comprising of the following members is hereby constituted with immediate effect for the proper and timely implementation of the IP Policy in the University:-

1-	Vice Chancellor	Chairperson
2-	Prof. Rishi Sethi Department of Cardiology	Member Secretary
3-	Prof. Hardeep Singh Melhotra Department of Neurology	Member
4-	Dr. Pooja Ramakant Department of Endocrine surgery	Member
5-	Dr. Sujeeta Kumar Kar Department of Psychiatry	Member
6-	Representative from BCIL	Member
Ms. Himanshi Singh, Program Manager, SIB-SHIne will manage & maintain the records of Intellectual Property Management Committee (IPMC)		

(Lt. Gen.(Dr.) Bipin Puri)
Vice Chancellor

Distribution:

- 1- Above concerned members, KGMU, Lko.
- 2- Circular Book.



INVENTION DISCLOSURE FORM

Title of Invention					
Particulars of Applicant(s)					
Name		Designation		Department/Unit	
Stage of your invention		Only Hypothesis ☐		Preliminary experiments ☐	
				Proof established ☐	
				Invention is completely Ready ☐	
Provisional Application ☐		Complete Application ☐		If already filed, please give Patent No. and date	
Funding resource (Please Mention)		KGMU (Intramural)		Govt. Agency	
				Departmental	
				Public Private Partnership	
Any pre-existing agreement signed		Yes ☐		No ☐	
				If 'Yes' please enclose the copy	
Existing Patent search Done		Yes ☐		No ☐	
Potential market area of your invention		Pharmaceutical Industry		☐	
		Biotechnology Industry		☐	
		Medical and surgical aids		☐	
		Consumer		☐	
		Others (specify)			
		Patients		☐	
		Industry		☐	
		R & D platform		☐	
		Consumer		☐	
		Others(specify)			
Do you require any fund for developing your invention (mention if you have requested anywhere)		Yes ☐		No ☐	
				Any Other	
Any provision/agreement with funding source to share IPR charges (Specify)					

Undertaking

Hereby we accept that this is a novel finding of my/our group for which I/we take total responsibility of the ownership. I/We also admit that this part of work is not published, presented in any conference, and/or abstracted in print or electronic media. All the information given above is true to the best of our knowledge.

☐ By checking this box hereby i/we accept the responsibility (for electronic transmission of record)

Name and Signature with Date

(With original signature please send the application to IPMC for decision)

Applicant	Signature with Date



Inventors	Signature with Date
-----------	---------------------

Please attach the following documents:

Check List

For Provisional Patent Application

(Check the box to indicate the enclosure)

- ☐ Brief Abstract of Invention (within 500 words)
- ☐ Objectives of the invention
- ☐ Novel features of the invention
- ☐ Advantages over other known alternatives worldwide
- ☐ Copy of Non-Disclosure Agreement Signed by inventor(s) (later)
- ☐ Any Pre-existing agreement with any funding agency (if applicable)
- ☐ Key words



For Complete Patent Application

(Check the box to indicate the enclosure)

- ☐ Existing state-of-art: (Give full details, include research papers or patents depicting prior art)
- ☐ Drawbacks in existing state-of-art & how the drawbacks have been overcome by your invention:
- ☐ Detailed description (The detailed description should be accompanied with diagrams; drawings neatly labeled and must be related to the description):
- ☐ Drawings/Diagrams neatly labeled.



DECLARATION (Copyright)

Name:
Designation:
Department:

1. I/We declare that information regarding copyright titled "....." submitted by owners "....." to IPMC is true and accurate, wherein any false submission may be regarded as professional misconduct and invite strict disciplinary action.
2. I/We understand and agree terms and conditions mentioned in KGMU's IP Policy.
3. I/We agree to provide timely information to IPMC, regarding the status of copyright application.
4. I/We agree to share 10% of the total revenue earned by any formal/informal means by the virtue of said copyright, with King George's Medical University.

Signature(s) (with stamp)

Date.....



Annexure-4
To be submitted on Rs 100 Judicial Stamp Paper

DECLARATION

(When IPMC agrees to support patent filing)

Name:
Designation:
Department:

1. I/We declare that information submitted through documents to IPMC is true and accurate, wherein any false submission may be regarded as professional misconduct and invite strict disciplinary action.
2. I/We understand and agree to file the patent application, titled - "....." through university recognized IP facilitator, as per the IP Policy.
3. I/We certify that the patent granted through application facilitated by the university is owned by King George's Medical University as an applicant, whereas I/We agree to be inventor(s) in said patent.
4. I/We agree that processing patent application through university does not imply successful grant of the patent under any circumstances.
5. I/We agree to share 20% of the total revenue earned by licensing said patent (if patent is granted) or revenue earned by any formal/informal means by the virtue of said patent, with King George's Medical University.

Signature(s) (with stamp)

Date.....



DECLARATION

(If IPMC disagrees/defers patent filing)

Name:

Designation:

Department:

1. I/We declare that information regarding invention titled "....." submitted through documents to IPMC is true and accurate, wherein any false submission may be regarded as professional misconduct and invite strict disciplinary action.

2. I/We understand and agree terms and conditions mentioned in KGMU's IP Policy.

3. I/We agree to provide timely information to IPMC, in case the patent application is pursued by the inventor(s) on their own.

4. I/We agree to share 20% of the total revenue earned by licensing said patent (if patent is granted) or revenue earned by any formal/informal means by the virtue of said patent, with King George's Medical University.

Signature(s) (with stamp)

Date.....



7. IP RECORD

All the records will be maintained by Manager - IP Operations, IPMC in hardcopy and softcopy as under:

1. Patent Records: For the life of patents + 5 years

- Copy of invention disclosures
- Copy of emails
- Copy of declarations and agreements
- Copy of financial statements

2. Copyright Records: For the life of copyrights + 5 years

- Application forms
- Proof of Revenue/Honorarium receipt
- Copy of Emails
- Copy of declarations and agreements
- Copy of financial statements

3. Agreements & Licenses: Up to the date of Expiry + 5 Years

4. Minute of the Meeting: Lifetime

★ ★ ★