



# SHIV NADAR UNIVERSITY

## **PROCEDURE MANUAL FOR FILING INTELLECTUAL PROPERTY RIGHTS (June 2021)**

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## INTELLECTUAL PROPERTY CELL

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## FOREWORD

Shiv Nadar University (SNU) was established in 2011 with the vision to empower individuals and communities to realize and exercise universal freedom through acquisition and application of knowledge by:

- Dedicating itself to the development, organization, preservation, dissemination, and application of knowledge in a wide range of fields of study.
- Committing to excellence in teaching, discovery & innovation, scholarship, and service to expand the scope of human understanding, and contributing to the betterment of the world.
- Pledging to serve the higher education needs of the State of Uttar Pradesh, India, and the global community.

Over the decade of its existence, the University has many achievements to its credit. The Government of India has recognized it as an Institute of Eminence (IoE) and NITI Aayog selected it as one of the 10 private institutions to host an Atal Incubation Center (AIC). The University has collaborated with the best institutions globally to offer a world-class learning environment, built a robust research infrastructure and a highly productive talent pool of academicians, researchers and members in the support functions.

## **INTRODUCTION**

Shiv Nadar University is perhaps the pioneer in implementing the UGC mandate in its IPR Policy (2016) of including Intellectual Property Rights (IPRs) as an Elective in the curriculum of higher education. Being a research-oriented university, its IPR ecosystem needs to be strengthened, as the university becomes an engine of economic growth through R&D, IP protection and commercialization.

This manual is compiled with this intention to contribute towards the growth of IP ecosystem at SNU by assisting the researchers in protecting their research output with IP. It lays down the procedure for initiation and the approval of invention done by the faculties and researchers at Shiv Nadar University.

The procedural guide has been designed in order to minimize the information gap while filing the IP. Some key terms are defined and elaborated upon to facilitate the inventors to expedite their process of filing through a streamlined process as conceived by the IPR cell.

### **What Is Intellectual Property (IP)?**

Intellectual property refers to ideas, processes, or inventions that are the products of intellectual endeavor and. This often-intangible form of property can be protected from unauthorized use — for example, through a patent, copyright, and/or trademark- and it can be bought, sold, or licensed.

### **Whose property is it?**

Under Shiv Nadar University, Intellectual Property Rights (IPR) Policy, the University owns intellectual property that is generated through research conducted with the use of its facilities and resources.

## **THE INTELLECTUAL PROPERTY RIGHTS (IPR) CELL**

The IPR Cell at SNU was initially created in 2016 which later got reconstituted in 2020 with a mission to streamline the IPR activities in SNU. Currently, it comprises of four members:

- Dr. Suneet Tuli, Director, Research (Chairperson)
- Dr Karthik Krishnan: Associate Dean, Research (Co-Chair)
- Dr. Vinita Krishna, Faculty, School of Management & Entrepreneurship (Convener)

### **Support**

- Ms. Anuradha Pendlimarri (Executive Assistant, Office of Director, Research & Graduate Studies and Faculty Affairs)

The IPR Cell has the following as main objectives:

- To act as a single-point of contact (SPOC) through the email id: [snuipr@snu.edu.in](mailto:snuipr@snu.edu.in), for any query on IP filing.
- To lay down the Standard Operating Procedure (SOP) of the filing through the IP Cell.
- To facilitate the filing of applications by SNU Faculties and Researchers as per the SOP.
- To deliberate and update the IPR policy of SNU.
- To arrange for IP awareness workshops/seminars and talks.
- For final approval of the declared invention in the iDF for filing of an IP.

Additional administrative functions of the IPR Cell are mentioned in Annexure III

### **INTELLECTUAL PROPERTY RIGHTS (IPR) COMMITTEE**

To support the functioning of IPR Cell, in terms of expert requirement for invention evaluation prior to forwarding the application, the IPR Committee meets as and when expert opinion in a particular domain is required. Currently, this Committee comprises of the IPR Cell members and an external expert Mr. Raghav Saha, Advisor CII.

### **ADMINISTRATIVE SET-UP OF IPR ACTIVITIES AT SNU**

The IPR activities at SNU are spread across three administrative entities/bodies: These entities are: IPR Cell, Research Office and Shiv Nadar Foundation (SNF-Legal). The suggested mechanism for IPR activities administered by these three entities are listed in Annexure III.

## THE ROADMAP FOR PATENT FILING

The IP filing process at SNU is mediated through the IPR Cell whose standard operating procedure is outlined in Annexure-I. The inventors (Faculties and researchers) at SNU, who wish to apply for IP for their inventions, can furnish all the details in the iDF (Annexure-II) and apply through/submit to the IPR Cell. Once all the details in iDF are verified, and the invention is approved of, it is forwarded to the SNF Legal for further processing and the needful. In case of students, the application must be made in the name of their faculty. Apart from all the generic details in the iDF, it is encouraged to furnish some **prior art\*** search results in the iDF as mentioned.

### \*What is Prior Art?

Information that that is available prior to the effective date of a patent application

The effective date is typically the filing date of the patent application

Prior Art includes any public document, for example published patents, technical publications such as journal articles, conference papers, websites, available products, marketing information, and the like

### Preliminary prior art search for your invention

To search for prior art, inventors can search on some of the most common free patent database by simply using possible keywords, keywords combination from their invention/relevant to their invention.

1. **Google patents** (<https://patents.google.com/>)  
(This has patent and non-patent literature both as prior art).
2. **United Nations Patents and Trademarks Office** (<https://www.uspto.gov/>)  
(Has only patents as prior art). To search for patents, follow these steps:

Find it Fast Tab on USPTO website



Patent Tab (Click)



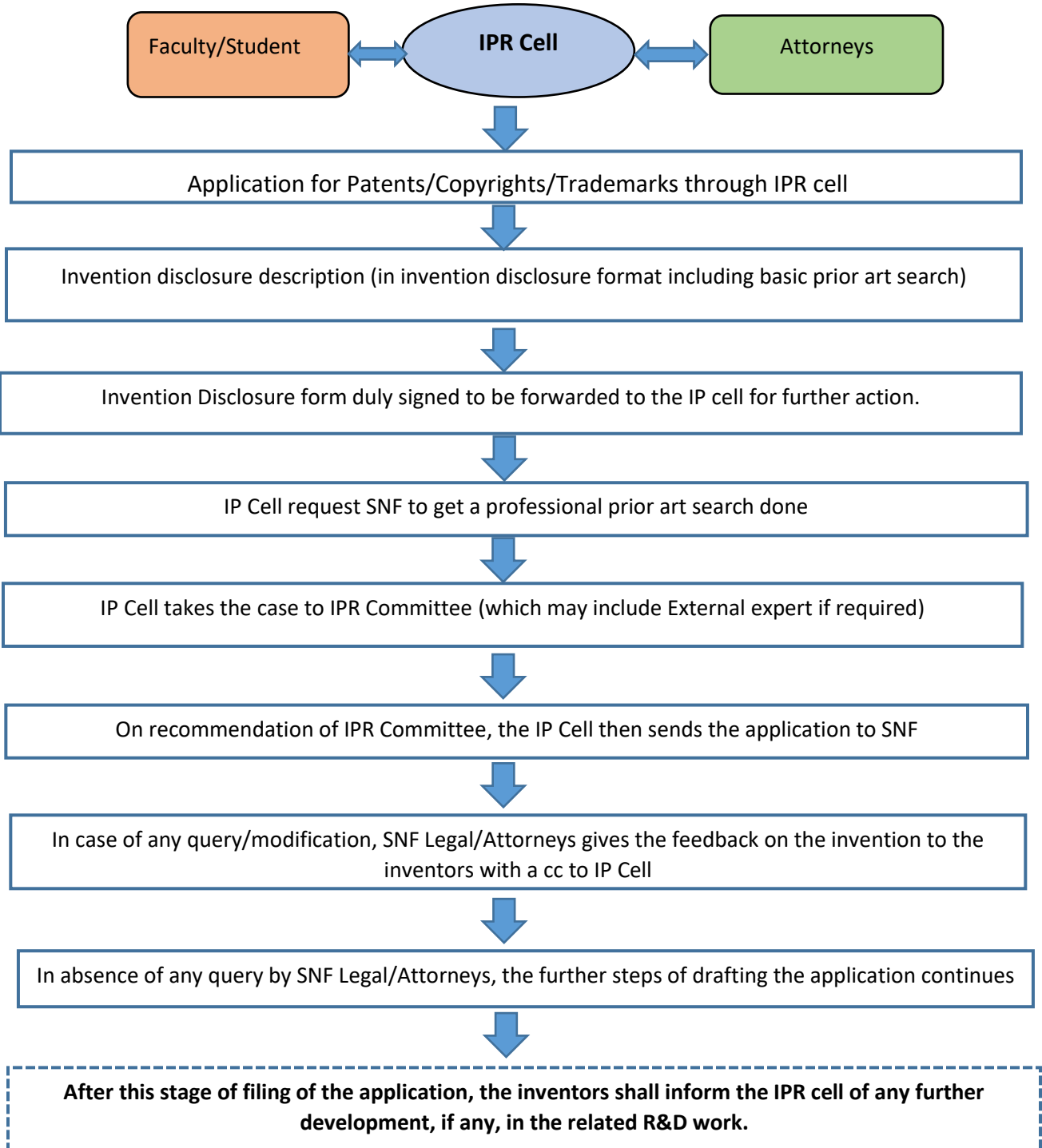
PatFT (<http://patft.uspto.gov/netahtml/PTO/search-bool.html>)

- SNU associated inventors include faculty members, staff, students, visiting faculty or students.

- All information provided will be kept confidential.
- Please note submission of this form is an internal process and the iDF is not a legal document nor it accords protection to.
- Incomplete forms or forms without signatures of all inventors will delay the process of approval.



**ANNEXURE I**  
**STANDARD OPERATING PROCEDURE FOR FILING OF IPR**



**ANNEXURE-II INVENTOR DISCLOSURE FORM**

**Invention Disclosure Form**

**SHIV NADAR UNIVERSITY**

**IPR CELL**

**This form has to be submitted by the inventor to report novel and useful invention. This form is considered as legal record of information regarding the invention including the circumstances under which such invention was made**

**This forms marks the first step in Shiv Nadar University's process of identifying and determining the feasibility, ownership and protection requirement of the invention. Following the submission of this form the IPR cell will determine the future course of action.**

Date of submission:

Case No:

### **INVENTION DISCLOSURE INFORMATION**

1. **Title of Invention:**
2. **Summary of Invention** (Novel Features and industrial application):

*A brief paragraph (similar to the abstract of a scientific paper) describing the key feature(s) of the invention with some background context.*

3. **Detailed Description of Invention:**

- a. Motivation
- b. the general purpose or utility of the invention
- c. a technical description;
- d. the advantages and improvements over the existing methods, devices or materials; and,
- e. the economic potential or commercial applications for the technology.
- f. The problem for which solution was researched
- g. The invention namely the solution to the problem

*Please note: The purpose of your description is to enable a person with similar skills in your field to be able to make and use the invention you describe.*

4. **Source of funding for the project:**

Institute funding / Industry funded / Govt. aided / consultancy - with or without prior contractual agreement  
/ Any other

Nature of Funding

5. Is the work bound by any agreement / contract / MOU?

Yes

No

If yes please give details.

6. Is the patent (to be filed) for a process or product?

7. General Field of invention/technological domain of the patent application to be filed:

8. Origin of the idea / invention: who and when?

9. Name of the inventors including faculty, students and staff of SNU:

[Note: Please include the names of all co-inventors. Co-inventors include any individual (SNU or non-SNU) who has conceived or contributed to an essential element of the invention, either independently or jointly with others, during the evolution of the technology or reduction to practice]

Inventor: Name \_\_\_\_\_  
Designation \_\_\_\_\_  
Department \_\_\_\_\_  
Phone/Fax/e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_

Inventor: Name \_\_\_\_\_  
Designation \_\_\_\_\_  
Department \_\_\_\_\_  
Phone/Fax/e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_

Inventor: Name \_\_\_\_\_  
Designation \_\_\_\_\_  
Department \_\_\_\_\_  
Phone/Fax/e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_

Inventor: Name \_\_\_\_\_  
Designation \_\_\_\_\_  
Department \_\_\_\_\_  
Phone/Fax/e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_

(Please add additional names if needed)

10. Details of Students / staff who participated in the invention but are not inventors:

- Name / degree registered for \_\_\_\_\_  
Department / roll no. \_\_\_\_\_  
e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_  
Signature \_\_\_\_\_
- Name / degree registered for \_\_\_\_\_  
Department / roll no. \_\_\_\_\_  
e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_  
Signature \_\_\_\_\_
- Name / degree registered for \_\_\_\_\_  
Department \_\_\_\_\_  
e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_  
Signature \_\_\_\_\_
- Name / degree registered for \_\_\_\_\_  
Department \_\_\_\_\_  
e-mail \_\_\_\_\_  
Home Address \_\_\_\_\_

Signature \_\_\_\_\_

(Please add additional names if needed)

11. Any help received from others in conception of the idea?
12. Date of start of the project
13. Other applicants (collaborating partner organizations)
14. Background Research and Prior Art [Please describe the information obtained through literature search details on existing public knowledge in the concerned field. Include journals and other publications and relevant patent databases].
  
15. Has the work been displayed anywhere?
16. Has the work been reported / published /presented anywhere?
17. Has any related patents been filed by the inventor earlier?
18. Unique features about the work done with respect to prior art that satisfy patentability criteria
  - a. Is the work a mere extension of common known knowledge?
  - b. Has the work filled a major gap in prior art? If yes, a brief description of this gap.
  - c. Any environmental issues?
  - d. What aspect of the invention needs protection?
19. Has the work been systematically and chronologically documented? How?
20. Commercial aspects of the invention/ technology developed
21. Do you have plans to spin off a company based on your invention
22. Would you be willing to participate in the marketing of this invention by explaining it to potential commercial partners?
23. Any costing of the product / process / invention been done?
24. Any industries / companies interested in licensing the work [List any companies which you believe may be interested in your invention]
25. Is the work
  - a. Completed and results validated/laboratory tested?
  - b. At a basic conceptualization stage? Concept or prototype?
26. Please list the companies, industry and end users that are most likely to be interested in this technology.

I/We hereby declare that all statements made herein of my/our own knowledge are true and that all statements are believed to be true [to be signed by all inventors].

Inventor A                      Signature                      Date

Inventor B                      Signature                      Date

Inventor C                      Signature                      Date

Inventor D                      Signature                      Date

In signing the form you are accepting the responsibility of the accuracy of the information supplied and for ensuring that all inventors will be provided with copies of this form.

## **ANNEXURE III-SUGGESTED IPR ADMINISTRATIVE MECHANISM AT SNU**

### **A. IPR Cell suggested roles would include the following:**

- (a) to assist faculty/students/project staff/ supporting staff/visitors in all IPR application activities.
- (b) to create expert groups in different subject domains for assessing and recommending proposals for IP filing.
- (c) to maintain IPR related documentation including creating infrastructure for the same.
- (d) to formulate programs for educating faculty/students/supporting staff/project staff/visitors about IPR and other associated issues.
- (e) to create and finalize procedures, forms (and guidelines) for implementation of the IPR policy at SNU.
- (f) to deal with any relevant issues arising out of promotion as well as implementation of IPR policy. IPR Cell may appoint committee(s) or expert group(s) with members from within and/or outside SNU to seek their opinion in carrying out any of the above responsibilities.
- (g) to appoint a panel of attorneys to facilitate filing of IPs by both the Institute appointed body as well by individual faculty/staff using their project or other funding.

### **B. Research Office suggested roles would include the following:**

- (a) to evolve modalities of financing of IP related activities at SNU.
- (b) to approach funding agencies, venture capitalists etc. for funds for promotion of IPR activities at SNU.

### **C. SNF (Legal) suggested roles would include the following:**

- (a) to evolve proper procedures and guidelines for good practices for record keeping to enable efficient IP filing and protection.
- (b) to tie-up with organizations for filing, licensing/assigning of IPR on revenue sharing basis.
- (c) to keep track of /monitor the status of patents during the filing process and in the post filing process.
- (d) to provide waivers and release of IPR to Inventor(s) and/or Third party(ies) within the framework of IPR policy of SNU.
- (e) to redress any conflict, grievance regarding ownership of IP, processing of IP proposals, procedures adopted for implementation of IPR policy and interpretation of various clauses of IPR policy.
- (f) to investigate the matter of violation/infringement of any intellectual property rights related to SNU and make recommendations to the Vice Chancellor for resolution of such violation/infringement.



**CONTACT US:**

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