# INNOVATION AND STARTUP POLICY

**(Under the guidelines of National Innovation and Start-Up Policy-2019)**



UNITED Group of Institutions
Allahabad · Greater Noida

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Allahabad · Greater Noida

UNITED COLLEGE OF ENGINEERING & RESEARCH
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# ABOUT UGI

United Group of Institutions has academic collaborations with the International Universities Institutions, which has provided an umbrella for internationality, innovation, integration, information, technology and industrial partnership to all the bright souls of the group.

UGI has given their contribution in the field of education from last 25 years. We have 9 well established institutions in the field of Engineering and Technology, Pharmacy, Management, Computer Application and Business Management, Agriculture and currently offered courses in B.Tech/M.Tech/PhD/MBA/MCA/BBA/BCA/Diploma in Engineering/B. Pharma/D. Pharma/ M.Pharma/ BAJMC/B.A/B.Com/B.Sc/M.Sc. etc. All the Institutions are affiliated to UPTU, Lucknow and approved by All India Council for Technical Education (AICTE), Ministry of Human Resources Development, Government of India, New Delhi.
We also have Medical College running MBBS courses and UGC approved United University (Deemed University) at Allahabad

# ABOUT UCER

UCER is one the prestigious institute of UGI with well established CS/IT/ME/EC/EN/EE/CE department with fully equipped laboratories as per curriculum and few advanced value added laboratories we have fully developed innovation center with more than 100 innovative projects by the students. We have 11200 students and more than 750 faculty members; the United Group of Institutions is poised to reach the next level providing the best technical education. Our establishment offers NBA accredited courses, Quality recognized by the World Bank and boasts of more than 14000 alumni base. Our placement scenario is booming with over 11400 jobs already offered and state of the art facility provided to faculty and students alike. Fortified with these features, the United Group is primed to continue taking the world of quality education to the highest attainable limits. Established in the year 1998 United College of Engineering & Research Prayagraj is affiliated to Dr. APJ Abdul Kalam Technical University, Lucknow and approved by All India Council for Technical Education (AICTE), Ministry of Human Resources Development, Government of India, New Delhi.

**<u>Preamble</u>**

In compliance with Ministry of Human Resource Development, The National Innovation and Startup Policy (NISP-2019), United College of Engineering & Research (UCER), constituted a committee to implement the policy with the help of "Guiding Framework for Higher Education Institutions". The objective was to implement NISP 2019 for students and faculty of UCER to enable the institute to actively engage students, faculties and staff in innovation and entrepreneurship related activities. The guidelines will provide ways to the institute for developing entrepreneurial agenda, managing Intellectual Property Rights (IPR) ownership, technology licensing and equity sharing in Startups or enterprises established by faculty and students.

It is expected that this policy would guide the students, faculty members and staff of UCER towards successful Startups and protect the interests of all the stake holders.

## VISION

To establish a lively innovation and entrepreneurship ecosystem to develop indigenous and sustainable solutions for addressing the community needs for today and tomorrow.

## MISSION

- To build an ecosystem favorable to faculty, students and staff to carry out their activities of technology development, innovation and Startups.
- Promote innovations in the key thrust areas of Engineering and Technology by strengthening the industry-institute collaboration.
- Partner with government, industry, alumni network, angel investors and venture capitalists to facilitate a smooth pathway for the realization of innovations from ideation to commercialization stage.

**Policy formulation committee members:**

| S.No. | Name of Member | Designation |
|---|---|---|
| 1. | Prof. H P Shukla | Head of Institute |
| 2. | Dr. Sudhanshu Kanaujia | Dean Academics |
| 3. | Dr. Swapnil Srivastava | Dean (P&D) |
| 4. | Prof. Nandita Pradhan | Dean (SW), HOD EC |
| 5. | Dr. Vijit Srivastava | NISP Coordinator |
| 6. | Dr. Jitendra Kumar | HOD (ME) |
| 7. | Dr. Vivek Kumar | HOD (CE) |
| 8. | Er. Roshan Chitranshi | HOD (EE) |
| 9. | Dr. Vijay Dwivedi | HOD (CS) |
| 10. | Mr. Sanjay Pandey | HOD (IT) |
| 11. | Mr. L B S Yadav | Joint Director MSME Allahabad Region, Ecosystem enabler |
| 12. | Mr. Rajesh Pathak | Industry Expert |
| 13. | Mr. Prashant Mishra | Industry Expert |
| 14. | Mr. Rishabh | Industry Expert |
| 15. | Mr. Shivesh Gaur | Alumni Startup |
| 16. | Mr. Ayush Kr. Pandey | Alumni Startup |

**Policy Drafting and Implementation Team:**

1. Prof. Nandita Pradhan IIC President UCER
2. Mr. L B S Yadav, IIC VICE President UCER, Joint Director MSME Allahabad Region
3. Dr. Vijit Srivastava, IIC Convener & ARIIA Coordinator, UCER
4. Mr. Chandan Banerjee, NIRF Coordinator, UCER
5. Mr. Naveen Kumar, Internship Activity Coordinator, UCER
6. Mr. Ajeet Singh, Social Media Coordinator, UCER
7. Dr. Venktesh Mishra, Startup Activity Coordinator UCER
8. Mr. Vineet Tiwari IPR Activity Coordinator, UCER

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# CONSTITUENTS OF THE POLICY

## I. Strategies & Governance

1. Strategy and Policy formulation at UCER is in accordance with the NISP and State Startup Policy (UP State Policy-2020)

2. The entrepreneurial agenda should be the responsibility of the Head of the Institution and the Institution's Innovation Council of UCER. Heads of all departments and the IIC of UCER shall work together to successfully implement the entrepreneurship culture.

3. Resource Mobilization Plan should be in Place

   • Own Resource: At least 1% fund of the total annual budget

   • Raising fund from Diverse Sources like DST, DBT, MHRD, AICTE, TDB, TIFAC, DSIR, CSIR, BIRAC, NSTEDB, NRDC, Startup India, Invest India, MeitY, MSDE, MSME, etc. and non-government sources

   • Sponsorship, Donation from Alumni Network

4. UCER has initiated the setup of EDC-Cell to propagate and involve student community to take enterprising activity.

5. Institutional programs such as conferences, symposium, workshops etc. will be organized in collaboration with related Govt. bodies to spread the awareness regarding importance of innovation and entrepreneurial agenda across the institute.

Executive team:

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                    │  President  │
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                    │  Convener   │
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   │    IIC     │ │   IPR    │ │   EDC    │ │Pre Incubation│
   │Coordinator │ │Coordinator│ │Coordinator│ │    Cell    │
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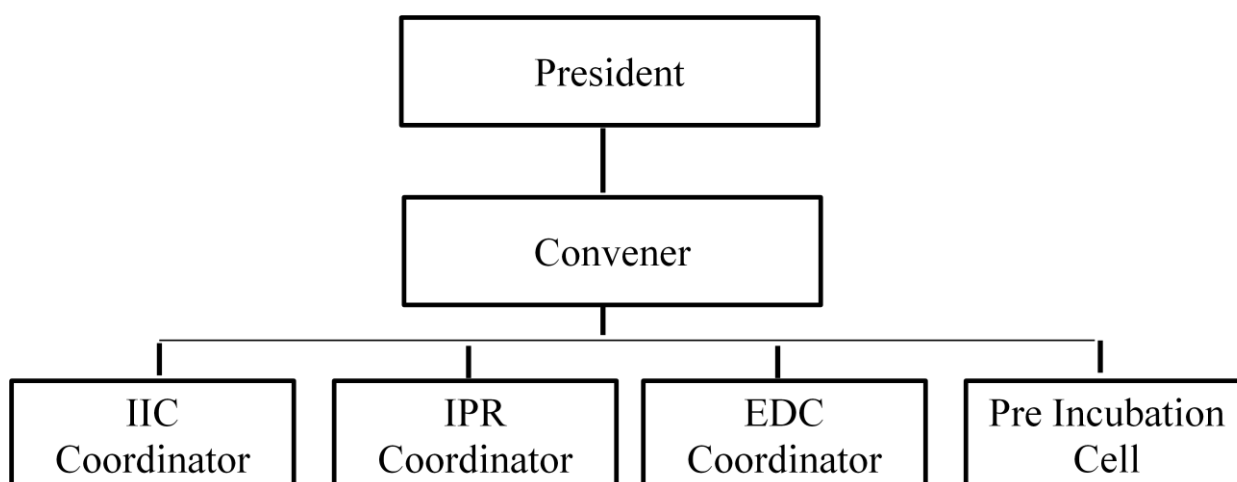
## II. Creating Innovation Pipeline and Pathways for Entrepreneurs

1. Create "Special interest groups" of students, faculty and alumni and encourage innovating and incubating their ideas

2. Ensure maximum student should participate and go through pre- incubation process of Problem identification, Solution development, Proof of Concept validation and prototype development, business model and proposal development.

3. Institution should link and collaborate their Incubation unit with external agencies and ecosystem enablers and provide network support to incubate startups.

4. Connecting student entrepreneurs with incubate startups for internship, experience sharing and encouraging participation of students in innovation and business plan competitions and organize such competitions/hackathons on campus.

## III. Building Organizational Capacity, Human Resources and Incentives

1. Faculty and departments of the institute have to work in coherence and cross departmental linkage and maximum utilizations internal resources and knowledge.

2. Faculty and staff will be encouraged to do courses/trainings/certificates on innovations, entrepreneurship and IPR.

3. Some of the relevant faculty members with prior exposure and interest should be deputed for training to promote innovation and entrepreneurial.

4. A performance matrix should be developed and used for evaluation as part of annual performance and contribution of faculty/staff towards achieving Innovation & Entrepreneurial agenda should be part of matrix.

## IV. Collaboration, Co-creation and Business Relationship and Knowledge Exchange

1. Institute should develop a policy or guideline document for forming and managing the relationships with external stakeholders including private industries. (MoU for Innovation & Startup Program)

2. Knowledge exchange through collaboration and partnership should be made as part of institutional policy.

3. Mechanisms to be devised by the institute to ensure maximum exploitation of entrepreneurial opportunities with industrial and commercial collaborations.

4. Knowledge development should be done by the institute trough development of innovation knowledge platforms using ICT capabilities. Repository of ideas, PoCs, Innovations and Startups can be managed through the platform.

## V. Incentivizing Students for Innovation and Entrepreneurship

1. Students are encouraged to participate in student club activities, outreach programs and community service activities to explore the world around and scope of their skills.

2. Allowing students to setup Startup (Social and tech and non-tech) or working part-time for the startup while studying/working as intern.

3. Allowing students to earn credit for working on Innovative prototypes/business Models.

4. Student Innovators/entrepreneurs may allow opting for startup in place mini project /major project, seminar and summer training etc.

5. Allow student entrepreneurs to take a semester break/year break to work of their startup

6. Allowing student entrepreneurs/innovators to sit for the examination. (Institute need to set up minimum attendance and after reviewed by committee on case to case basis).

7. Allowing Student entrepreneurs to use the address of Hostel (or) pre- incubation and (or) incubation unit to register their venture while studying at institution.

8. Allowing faculty to start Startup based on the technology developed in the lab at the institute or previously developed somewhere else but has ownership on IP, if technology based.

9. Allowing faculty and staff to take off for a semester/year as sabbatical/ unpaid leave/casual leave /earned leave for working on startup and come back.

10. No restriction on shares that staff and faculty can take as long as they don't spend more than 20% of office time on the startup in advisory or consultant's role and don't compromise with their existing academic and administrative work or duties.

11. In case faculty/staff is drawing salary form institute, institute's stake/equity on startup should be limited to 20% of total share of faculty/staff or 9.5% of total stake whichever is minimum.

## VI. Norms for Faculty Startup

1. Role of faculty while teaching may be as owner/founder/co -founder/ Director-promoter/ adviser/mentor/consultant but can't take role of employee as CEO or other managerial role in his/her startup and can't draw salary from startup and can't accept gifts from his own startup. He/she can take share on profit and dividend only if any from startup as owner/shareholder.

2. Faculty must clearly separate and distinguish on-going research at the institute from the work conducted at the startup/company.

3. In case selection for acceleration or incubation, he may take sabbatical leave or other leave up to one semester or year or more based on committee recommendation.

4. Faculty must not involve research staff or other staff engaged in academic projects of institute in activities at the startup.

## VII. Incubation & Pre-Incubation support Facility Creation and Access

1. Creation of Pre-Incubation and Incubation (Section 8 of Company Act or Society Act)

2. Pre-incubation and Incubation Support: Attach with nearest Incubation Unit if not exist in campus

3. Promotion and intensification of Technology Commercialization efforts. Allow Licensing of IPR from Institute to Startup incubated at Incubation Unit.

4. Facility should be accessible to student, staff and faculty of all discipline and department across the institute.

5. Provision and streamline relevant services and mentoring support through preincubation/ incubation unit's in-return for fees, equity sharing (or) zero payment bases.

6. In return of services offered (Space, Infrastructure, mentorship, seed fund, accountant and legal and patent support) and use of facilities at institute/incubation unit may take 2- 9.5% equity/stake in the startup/company incubated.

7. In case of compulsory equity model, startup may be given a cooling period of 3 months to use the incubation services on rental basis to take final decision.

## VIII. IP Ownership Rights for Technologies Developed at Institution

1. When institute facilities / funds are used substantially or when IPR is developed as a part of curriculum/ academic activity, IPR is to be jointly owned by inventors and the institute.

2. On the other hand, if product/ IPR is developed by innovators not using any institute facilities, outside office hours (for staff and faculty) or not as a part of curriculum by student, then product/ IPR will be entirely owned by inventors in proportion to the contributions made by them. In this case, inventors can decide to license the technology to third parties or use the technology the way they deem fit.

3. Institute IPR cell or incubation center will only be a coordinator and facilitator for providing services to faculty, staff and students. If institute is to pay for patent filing, they can have a committee which can examine whether the IPR is worth patenting. The committee should consist of faculty who have experience and excelled in technology translation. If inventors are using their own funds or non-institute funds, then they alone should have a owner of patenting.

4. Interdisciplinary research, publication on startup and entrepreneurship would be promoted by the institution.

## IX. Pedagogy and Learning Interventions for Entrepreneurship Development

1. Adopt and produce desirable learning outcomes as part of curricular, co- curricular and extra-curricular level.

2. Create and publish tool kit on innovation and startup and IPR for open access to students and faculties.

3. Student clubs/bodies on innovation and IPR and Startup must be established and engaged.

4. Institute should start recognizing and giving Innovation and Entrepreneurship awards to best achievers form campus annually. And confer gold medal kind of rewards during convocations ceremony.

5. Creating awareness among students and teaching methods should include case studies of real business stories of failure and success, experiential learning's.

6. Pedagogy changes needs to be done to ensure that maximum number of student's projects and innovations are based around life challenges. It should be constantly reviewed and updated.

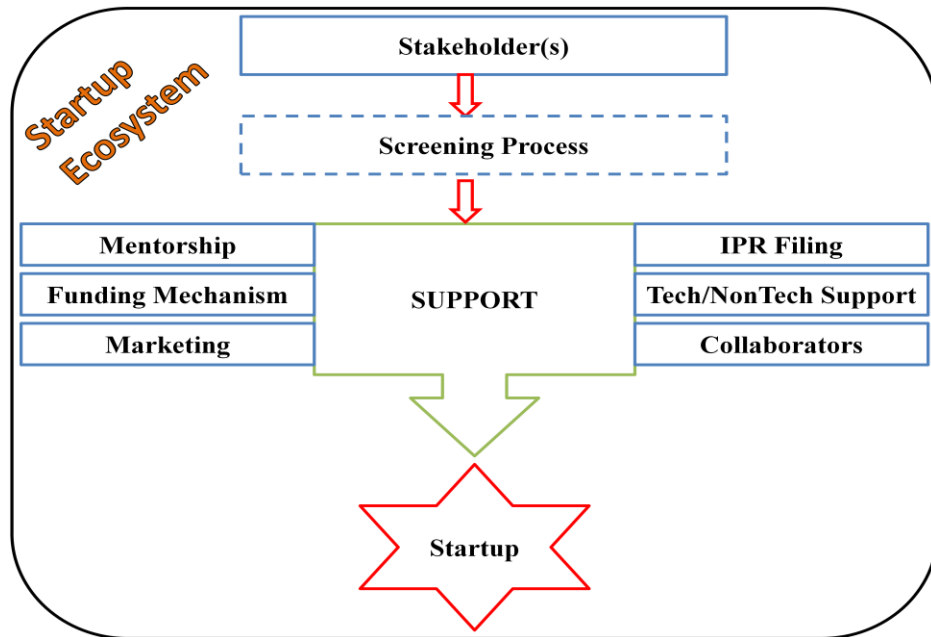## X. Entrepreneurial Performance Impact Assessment

Impact assessment of UCER's entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education should be performed regularly using well defined evaluation parameters.

Key Performance Indicators:

1. No. of Students participated in awareness programs.

2. No. of Students utilized pre-incubation facilities

3. No. of Student won Awards in Startup/Business Plan competitions

4. No. of Students Entrepreneurs working on Startups

5. No. of Ideas converted to PoC (Proof-of-Concept) projects

6. No. of PoCs turned in to prototypes

7. No. of Students Startup selected for Pre-Incubation/Incubation/Accelerator programs

8. No. of Faculty Startups or involved in Startups

9. No. of Patent converted to commercial products

The NISP committee will be responsible for assigning appropriate weightages to the above parameters depending on the maturity of the process. A separate document regarding this will be made available by IIC and reviewed annually.

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## UCER Startup Mechanism



## A. Selection process & screening:

A formal circular and notification for the selection of members will be displayed in notice board as well on the UCER NISP webpage throughout the year. Interested student/alumni/faculty members can apply by filling the prescribed application form and submit both the soft and hardcopy of the same with the PowerPoint presentations. Students, alumni and faculty members of UCER will be screened based on the scrutiny of the application form, PowerPoint presentation and direct interview. Target members will be shortlisted by the review committee and segregated into 4 Levels mentioned below:

1. Members with no idea but passionate about entrepreneurship

2. Members with a potential idea and need of guidance

3. Members with design/prototype and need support to develop products

4. Members with a product and need support for IPR, technology transfer, commercialization and market sustainability.

## B. Implementation Process:

Formation of Special Interest Group [SSIG/ASIG/FSIG]. All the four levels of target members will be grouped as SSIG [Student Special Interest Group], ASIG [Alumni Special Interest Group] and FSIG [Faculty Special Interest Group] under Special lab. Based on the

needs of SSIG and ASIG members, they will be allotted with faculty members as experts and mentors.

**Mentoring and Guidance**

Selected target members will be encouraged to develop their innovative technology-driven marketable process and products under the mentoring of special lab faculty experts. Based on their requirements, they will be supported with technical inputs, finance, infrastructure facility, networking, branding, IP protection, technology transfer and commercialization, etc.

**Financial supports:**

Members with potential ideas and prototype/product will be supported with the following financial aids from various sources.

• SEED fund from the UCER management through pre-incubation center.

• Arranging for Bank Loan/VC funds/angel investors.

• Guiding to submit a proposal for government/non-government funding agencies.

In case of SEED fund, members with Proof of concept / Prototype (marketability and scalability) are eligible to avail seed fund as may be decided by the committee. Approval and release of the fund will be mobilized as per the norms of the formulation committee of the UCER management in three different phases based on the performance and progress of the start-up and decision by the Review Committee.

Besides, further grants may also be obtained as loans from the Bank, arranged through pre-incubation center, once the committee recommends it. Or a seed grant may be sought from the government agencies, whenever and wherever possible, which shall normally be used for specified purposes only.

Strict monitoring of cash flow statements and finance-related legal documents will be preceded by an appropriate follow-up mechanism revealed by the review committee members.

**Faculty Members:**

Faculty members intending to involve in entrepreneurship activities and who would like to initiate their own start-ups shall be encouraged via appreciations, financial supports, workload balance and networking. More preference will be given to technology-based market-driven products and services.

**Alumni Members:**

Alumni members with valid alumni ID shall be allowed to join the start-up exercise based on the idea presented to the committee and approval of the formulation Committee of the institute. In such cases, a nominal amount, as may be decided case-to-case, shall be collected from them in consultation with the Committee.

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**Terms and Conditions:**

In case of students, a letter of consent from the parents must be submitted to the committee once the start-up idea has been selected for support and implementation.

- Students can start their ventures/start-ups from the 3rd semester and continue up to the 8th semester (II year to final year)

- The student who wishes to start the venture shall register as an incubatee in Technology Business Incubator of our institute, abiding by its rules in force at the time of registration.

- After completing the programme (final year), if the student wishes to continue in the same start-up, he/she shall submit a request to the Review Committee and justify his/her contribution with proofs.

- The seed amount received by the student for the start-up shall be remitted back within two years from the date of receiving the fund or 6 months after graduating as a successful incubatee.

- Assessment of students' academic performance:

- Shall not have more than five standing arrears.

- Shall not have undergone any disciplinary action.

- Shall take up a six-semester entrepreneurship course starting from III semester.

**Review of the policy:**

The policy will be subject to changes and phase wise modifications which will be made to it over the period of time. All progress done with respect to provisions in the policy and newer developments will be tracked on the basis of evaluation matrix approved by the NISP implementation committee.

Considering the feedback from assessment team which is the reflection of impact of the existing policy, Chairman-NISP, UCER, shall organize the review committee meeting and finalize the recommendations of the review committee.

**Way forward:**

Successful implementation of the 'UCER – Innovation and Startup Policy' for students and faculty and to achieve this, full-fledged support of all the academic, non -academic and supporting departments will be important. The roadmap suggested through this document is broad guidelines and this policy document is supported by previously existing policy documents on innovation and entrepreneurship council, IPR, Industry-Institute interaction and research and development.