



University of Central Punjab

(Incorporated by Ordinance No. XXIV of 2002 promulgated by Government of the Punjab)

UCP Intellectual Property Management Policy

Sponsored By: ORIC

<i>Policy No. ORIC/001-2024</i>	
Intellectual Property Management Policy	
<i>Date of Approval:</i>	<i>April 05, 2024</i>
<i>Approved By:</i>	<i>25th Academic Council Meeting</i>

Background

1. Intellectual Property Management Policy provides guideline and institutional structure to commercialize research at UCP. The university aspires to disseminate the intellectual and knowledge discovery work done by its faculty, staff, and students into the industry so that it can have a societal and economic impact. An Intellectual Property Policy is being proposed to develop the necessary workflow to protect and monetize the university's research. The Intellectual Property Management Policy (IPMP) Policy will provide the way to encapsulate UCP's research and intellectual property opportunities at an early stage. It will translate these benefits into industry by collaborating closely with the industry through partnerships, collaborations.

Proposal

2. The IPO (Intellectual Property Office) is being established as part of the UCP-ORIC (Office of Research, Innovation and Commercialization) for intellectual property management (Annexure-1 and SOP along with the forms are enclosed herewith).

The office will be responsible for:

- a. The necessary administrative work involved with the commercialization of research at UCP.
- b. Ensuring that university-wide intellectual property (IP) awareness is created through information dissemination using seminars, workshops, and lectures.
- c. Facilitating UCP researchers through all the stages of drafting and filing IP applications with the patent office applicable jurisdictions. This involves pursuing approvals of IP filed with IPO Pakistan and internationally, wherever possible.
- d. Updating policies concerning IP.
- e. Facilitating the evaluation of innovations and technologies for patentability by providing the necessary legal advice to researchers.



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- f. Helping in identifying and evaluating the commercial potential of research and technologies developed at UCP.
- g. Providing matchmaking of licensable research with the industry.

Implementation

3. This policy will become effective from the date of approval by the UCP Academic Council Meeting and shall replace all existing policies and practices.

BOS/BOF Endorsement

4. Not Applicable

Comments of the Directorate of Academics

5. The working paper has been discussed and approved in 8th UCCAP meeting.

Recommendation

6. ACM is requested to approve the working paper.

A handwritten signature in black ink, appearing to read 'Shahid Raza', written over a horizontal line.

Dr. Shahid Raza
Director ORIC



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Annexure-1

UCP Intellectual Property Management Policy

1. Scope

This policy covers ownership, intellectual property and the know-how developed by UCP faculty, staff, and students. This policy document comprises of annexure that cover the definitions and process of intellectual property protection. The necessary standard operating procedures (SOPs) and forms are made available that need to be followed and completed during the various steps of the specified process thereof.

2. Objectives

The main objectives of this policy are:

- a. To facilitate a conducive environment at UCP that promotes research and development with special emphasis on intellectual property creation, its adequate protection, and modes of commercialization by assisting the faculty, staff and students to disclose research outputs and scholarly work as per applicable laws and formal agreements.
- b. To recognize any or all commercially valuable intellectual property created by faculty, staff and students through academic, research and creative endeavors at UCP.
- c. To obtain the necessary protection of innovative research under available laws governing patents, copyrights, industrial designs, trademarks, trade secrets, and other appropriate provisions.
- d. To enable the infrastructure that can employ the necessary workflows for establishing effective reporting of intellectual outputs and knowledge discovery.
- e. To make intellectual property developed during research and development available to the public, promoting its effective and timely use, subject to intellectual property rights protection.



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3. Governance and Ownership

The UCP-ORIC will be the custodian of the UCP Intellectual Property Management Policy. No other policy document or practice shall be followed. Any changes or modifications will only be communicated by UCP-ORIC with approval from the Pro-Rector. The UCP Intellectual Property Management Policy will be governed by an Intellectual Property Committee that will comprise of the following:

Pro Rector	Chairman
Registrar	Member
Manager IPO	Member
Director of Research	Member
Legal Advisor - Dean FoL	Member
Director Incubation	Member
Director ORIC	Member/ Secretary

The committee will be governed by the following terms of reference. It will be responsible for:

- a. Periodically reviewing the UCP Intellectual Property Management policy.
- b. Making any changes to UCP IP Management that are deemed necessary.
- c. Settlements of disputes and or conflicts of interest.
- d. Decisions on the distribution of benefits among the inventors.
- e. Decisions on the filing of IP in any country other than Pakistan.
- f. Dealing with ethical misconduct in IP after receiving examination report from IPO-Pakistan.

4. Royalty Ownership Sharing Formula between University and Inventors

The royalties and other income will be disbursed as described in the Table 1. The term of revenue sharing will last for the life of the license. Schools / Colleges have also been included in the share



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distribution which they may utilize for the R&D projects and associated activities of respective institution.

Table 1: Distribution of Benefits

Annual Royalty Bracket (Rs.)	Inventor(s) (Wholly or mutually)	Department/School/ Colleges/Centre/ Institute	UCP
Upto 0.5M	100 %		
> 0.5M - ≤ 5M	60%	15%	25%
> 5M - ≤ 10M	55%	10%	35%
> 10M	50%	5%	45%

5. Quality of IP Patents and Research Ethics

Initial screening of patents shall be done through some patent databases such as Google patents, Amazon, Lens, Espacenet, PatentScope, and USPTO (whichever are available) to find out the IP quality, relevance, and marketing. Moreover, in case of idea stealing and wrongdoing in the context of research ethics, the penalty will be applicable.

6. Conflict of Interest

Cases involving a reported or discovered conflict of interest will be referred to the IP Committee for resolution. The following scenarios could result in a conflict of interest:

- a. A conflict of interest between two similar IP applications from the university.
- b. A conflict of interest between students/staff/employees and the office.
- c. A conflict of interest between inventors and co-inventors regarding the removal or addition of one or more co-inventors' names.
- d. A conflict of interest to waive the university's ownership and licensing rights.



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- e. A conflict of interest on share distribution in case of two or more inventors.
- f. A conflict of interest between students/faculty and university regarding the ownership of IP.
- g. A conflict of interest regarding maintenance of IPR.

7. **Confidentiality**

Any information pertaining to IP is considered proprietary and/or confidential. Trade secrets, discoveries, ideas, concepts, know-how, techniques, designs, specifications, drawings, diagrams, data, prototypes, computer programs, business development plan, business plan, financial analysis, feasibility report, business activities and operations, reports, studies, and other technical and business information are all examples of such information which can be regarded as “Confidential Information.”

8. **Disclosure**

When an IP is created, generated, or developed by UCP faculty, students, staff, or any other individual using university resources, they must notify UCP authorities in writing and provide a filled invention disclosure form (Form-1), patent drafting form (Form-2), seek no objection (Form-3) for IP filing, and any other information deemed necessary in accordance with the provisions mentioned in SOPs on IP application (SOP-1) within 90 days of becoming aware of such an invention, concept of idea, or intellectual property. In general, they must not publish or dispose of an invention until the UCP IPO has confirmed receipt of notification in writing, which will be done as soon as possible.

9. **Intellectual Property Filing Fee**

- a. UCP will bear the cost of filing with the local IPO¹.

¹IPO will maintain up-to-date information about costs associated with patent filing with the IPO. Filing is usually handled by legal/patent advisory firms.



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- b. For IPs to be filed with the foreign patent offices, UCP will determine on a case to case basis based on immediate commercial value of the invention.
- c. UCP faculty members and researchers should include IP filing expenses in their sponsored research proposals submitted to any sponsoring organization (local or foreign) to meet these expenses from the sponsoring organization / agency.
- d. Where UCP is the owner, the university will bear the cost of maintaining and renewing the IP. UCP will renew the IP for a duration as determined by the respective IP review committee.

10. Patents, Industrial Design, Copyrights and Trademarks, IP Ownership Policy Statement

The following paragraph governs all IPRs and ownership of technology, materials, tangible research, scholarly work, publication, and software created by UCP faculty, staff, students, visiting researchers, and others involved with UCP programs.

a. Under Full Ownership of UCP

IPRs ownership of technology, material, tangible research, scholarly work, publication, and/or software created by UCP faculty, staff, students, visiting researchers, and others involved with UCP programs will be fully owned by UCP in the event of any of the following:

- (1) The IP was created as a result of sponsored research funded by any national funding agency, such as Pakistan Science Foundation, Ignite/ National ICT R&D Fund, and HEC, etc., unless the sponsoring organization has a shared ownership IP policy.
- (2) The IP was created with the substantial use of funds, facilities, or resources belonging to UCP or one of its constituent schools, colleges, or research centers/institutes.



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b. Under Partial / Mutual Ownership of UCP

IPRs ownership of technology, material, tangible research, scholarly work, publication, and/or software created by UCP faculty, staff, students, visiting researchers, and others involved with UCP programs will be under partial and or mutual ownership of UCP if any of the following conditions are met: -

- (1) The IP was generated as an outcome of sponsored research for which funds were received from any international funding agency only if the specific provision of funds is tied up with IP ownership to belong to sponsoring agency.
- (2) The IP was created as a result of sponsored research for which funds were received from any local industry or organization, and the specific provision of funds was linked to IP ownership belonging to the sponsoring agency.
- (3) Wherever possible, UCP faculty members and or research must negotiate mutual ownership of IP, as this will benefit them in terms of revenue sharing. However, prior to the university accepting the award, the mutual ownership of that property will be determined, and Principal Investigators (PIs) must obtain prior approval from the Intellectual Property Committee.

11. Ownership Rules

a. Ownership rules for Employees

- i. IP created by UCP faculty, staff or employee becomes the property of UCP:
 1. Inventor: Faculty, staff or employee
 2. IP Owner: UCP
- ii. IP created by faculty, researchers, or staff prior to joining UCP becomes the sole property of the faculty, researchers, or staff if the faculty, researchers, or staff can provide acceptable evidence that the IP was created prior to joining UCP. Faculty, researchers, and staff must declare their IP in writing when they join UCP (modification will be required to the UCP employment contract).

b. Ownership Rules for Students



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- i. IP ownership of research performed in whole or in part by students with financial support in the form of wages, salaries, stipends, scholarships, or grants from funds administered by UCP or external entities shall be determined in accordance with the terms of the support agreement, or the work shall become the property of UCP in the absence of such terms.
- ii. IP ownership of all research performed in whole or in part by utilizing the university resources under conditions that impose copyright restrictions shall be determined in accordance with such restrictions. In the absence of such terms, the work shall become the property of UCP.
- iii. Students will own the copyrights to any thesis that does not fall under the provisions of (a) and (b) above. However, as a condition of receiving a degree, a student must grant to UCP the royalty to print for research purposes and distribute copies of his/her thesis.

c. Ownership Rules for Individuals other than Employees

- i. Other individuals who have an honorary association with UCP but are not employees or students, such as Research Fellows or Visiting Professors are all required to assign to UCP the rights to any IP created in the course of their honorary activities at the university.
- ii. UCP may have obligations to organizations that fund the research in question that it will be unable to meet unless such an assignment of rights is in place.
- iii. For revenue sharing purposes, honorary staff will be treated as if they were UCP employees.
- iv. UCP recognizes that in the case of a limited number of visiting professors (such as those who will continue to work for an industrial organization while at UCP), special arrangements regarding the ownership and use of IP generated by them will need to be negotiated. Such arrangements will be negotiated on an individual basis, usually with the individual's employer. Any individual who believes that he or she falls within such a category is required to contact UCP IPO for advice at the earliest opportunity.

v. Standard Operating Procedure (SoP) Intellectual Property (IP) Application

1. The applicants who contact the UCP IPO; will be provided with detailed information/guidelines



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about the IP application registration procedure, as well as the following relevant forms to define novelty.

- a. Invention Disclosure Form (copy attached)
 - b. Patent Drafting Form (copy attached)
 - c. NOC Template (copy attached)
 - d. Form P-1/A, Form P-3A and Form P-28 (updates subject to IPO- Pakistan2)
 - e. Revenue tickets (subject to official notification by IPO-Pakistan)
 - f. Stamp papers (attested by Oath Commissioner)
2. UCP IPO, will help applicants to prepare IP (patent, industrial design, trademark, and copyrights) applications and guide them to fill relevant forms using the official documentation requirements as specified and provided by the IPO-Pakistan.
 3. Minor scale prior search has been done by researchers.
 4. After prior search UCP IPO will verify the patentability of potential patent.
 5. In consultation with the UCP IPO, the applicant/researcher prepares the application and provides all relevant forms (completed) along with a “No Objection Certificate” (NOC) signed by Director of ORIC, and all individual inventors and co-inventors, and authorizes the UCP IPO to process the application.
 6. After final evaluation and analysis, UCP IPO will forward these applications to Director ORIC for fee approval. After taking fee check / Bank Draft (BD) from UCP accounts UCP IPO will process the application with IPO.
 7. UCP IPO follow up the patent application till its completion.
 8. Any required amendment to be made during the process of completion (prosecution); UCP IPO will keep in touch accordingly with IPO and reply all queries raised by IPO examiner in consultation with applicant.
 9. On the issuance or rejection of the patent by IPO, UCP IPO will send it to the applicant/faculty for information or action.
 10. UCP will bear all the cost of litigation



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Form-1: Invention Disclosure Form

Name(s) of Inventor(s):

Phone Numbers:

Email:

1. Proposed Title:

2. Field of Invention:

This invention relates primarily to:

3. Background and Related Art:

a.	The technical problem addressed by the invention is as follows:
b.	The closest related art is described as follows:
c.	Advantages presented by the invention are as follows:



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4. Drawing (s):

a.	Drawings for this invention are: available/not available. If available, please attach.
b.	Comments about drawings provided:

5. Written Description:

<p>The invention is described as follows:</p> <p>Note 1: Please attach additional pages as necessary.</p> <p>Note 2: If you have other documents and /or drawings related to the invention, please attach copies to this form.</p>
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6. Conception of Invention:

a.	Date of conception:
b.	Date of first written description:

7. Reduction to Practice:

a.	Has the invention been reduced to practice?
b.	Comments, if any, on conception of intention and/or first written description:

8. Technical field and category of the technology:



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a.	This invention relates primarily to:
b.	Category:

9. Inventor (s):

Inventor {1}	
a.	Name:
b.	Residential Address:
c.	Contact information: Cell: Office Phone: Email:
d.	Contractual Status:

Inventor {2}: * Note: Please add more if required:	
a.	Name:
b.	Residential Address:
c.	Contact information: Cell: Office Phone: Email:
d.	Contractual Status:

10.

a.	Name:
b.	Residential Address:
c.	Citizenship:



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d.	Comments
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11. Dates of Product Testing and Release:

a.	Alpha testing:
b.	Beta Testing:
c.	General release or sale:
d.	Offers for sale:
e.	COMMENTS on product testing and release:

12. Disclosure of Invention:

a.	Has there been any disclosure or use of the invention by the public?
b.	When and to whom?
c.	Under a non-disclosure agreement?
d.	Please attach a copy of the disclosure.

13. Internal Disclosure (s):

a.	First internal disclosure date:
b.	Name of the first person to whom invention was disclosed:
c.	COMMENTS about first internal disclosure:

14. Article (s):

a.	Have any articles been published?
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b.	Details about publication of articles (s)
c.	Please attach a copy of the publication article.

15. Advertisements, Press Releases and Product Announcements:

a.	Have there been any advertisements, press release or product announcements?
b.	Please attach copies of all advertisements, press releases or product announcements:

16. Outside Disclosure:

a.	Have there been any disclosures outside of UCP?
b.	Were all outside disclosures under a non-disclosure agreement?
c.	Detail about any disclosure outside the UCP
d.	Please attaché copies of the information disclosed.

17. Trade Shows and Conferences:

a.	Are there any upcoming trade shows or conferences where disclosure may be?
b.	Details about upcoming trade shows and/or conferences in above regard:



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Additional Comments by Inventor:

Signed:

Witnessed and understood by:

Date:

Date:



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Form-2: Patent Draft

1. Form p-3A will be the first page of patent specification.
2. ABSTRACT:
3. Title and Field of Invention including background of invention:
 - a. The technical problem addressed by the invention is as follows:
 - b. The closest related art is described as follows:
 - c. Advantages presented by the invention are as follows:
4. WRITTEN DETAIL DESCRIPTION:
 - a. The invention is described as follows:
 - b. Novelty:

NOTE 1: Please attach additional pages as necessary.

NOTE 2: If you have other documents and /or drawings related to the invention, please attach copies to this form.

I/We CLAIM(S):

What is claimed:

Date

Signature & stamp

DRAWING (S):

Drawings for this invention:

Please attach.

Comments about drawing provided:

Date:

Signature stamp:

(On drawing each sheet)

Note: All forms are available from UCP-ORIC