

IQRA UNIVERSITY

**RESEARCH, INNOVATION AND
COMMERCIALIZATION POLICY**

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1 IU RESEARCH & DEVELOPMENT POLICY

1.1 INTRODUCTION

In order to develop IU into a true center of excellence, it is imperative that apart from maintaining high standards in teaching, research is rigorously pursued and suitably rewarded. The R&D output of IU is in line with national needs and contributes towards socio-economic growth of the country. The IU-Office of Research, Innovation and Commercialization (IU-ORIC) is acting as a focal point for providing guidance and support to the activities related to research & development. As such, the ORIC has a significant role to play towards achieving IU vision. Therefore, the mission is to facilitate and co-ordinate research activities of IU and to liaise with other national as well as international academics, research and industrial organizations to facilitate research at IU.

1.2 OBJECTIVES

IU-ORIC has been established with special focus on the following objectives:

- a) To establish a culture so that research remains an integral component of academic activities at IU.
- b) To ensure that high quality research of direct relevance to Pakistan's needs, pertaining to both civil and defense sectors, is pursued in IU campuses.
- c) To facilitate establishment of linkages between IU and industry both in the public and private sectors and to direct research at IU so as to cater for local industry requirements.
- d) To monitor and co-ordinate research activities within IU as well as for research jointly undertaken by IU, Govt. Agencies and Private Sector.
- e) Proactively provide information about research funding opportunities to faculty and students.
- f) To encourage and assist IU researchers in obtaining research grants from the Public/Private Sector and Foreign Agencies.
- g) Facilitate timely completion of funded research and development projects.
- h) Maintain efficient and productive communication channels with funding agencies.
- i) To facilitate and support IU researchers for publication and presentation of their research work through participation in such activities.

Key stakeholders of Research and Development (R&D) process and policy are:

- a) IU faculty and researchers
- b) IU joint (partner)researchers and developers
- c) IU students
- d) Industrial partners
- e) National/International Funding agencies

- f) Ministry of Science and Technology, Higher Education commission (HEC) and other relevant government entities
- g) IU-Office of Research, Innovation and Commercialization (IU-ORIC)

1.3 KEY CHALLENGES EXPECTED IN ACHIEVING OBJECTIVES

a.) Create Balance between Teaching and R&D

The call for more University-Industry collaboration is well grounded amid trends toward intensifying global competition and the drive towards a knowledge-based economy. But these changes should not take place at the expense of the fundamental mission of universities. It remains that universities must pursue several different, conflicting goals. They must still fulfill their primary mission to teach students, and this goal cannot be compromised. Teaching responsibilities, frequent and effective evaluation of students' learning and providing nurturing feedback to students is an extremely tedious and time-consuming activity. Faculty members find it challenging to create a balance between their teaching and R&D activities.

b.) Alignment of R&D with Industry's Needs

Industry expects complete and integrated solutions to their key problems which require minimum change in their infrastructure and processes & are available in minimum time. Technologies developed at universities are the brain child of an expert in a particular domain. There is lack of experts who can give industry, the complete integrated solution after analyzing problems faced by industry. Technologies developed at universities are the outcome of some research which most of the times is not aligned with the industrial problems or needs. When such inventions are made, either they do not have market potential at all or they have entered the maturity and decline stage. Succinct information about key problems, bottlenecks and rate limiting factors faced by industry is not available to faculty. Industry and academia often use incompatible terminology which further accentuates the problem. Above all, there is also a lack of confidence between academia and industry in Pakistan.

c.) Information regarding Funding Opportunities

Funding for research and development is available internationally. Faculty members find it challenging to invest time in searching for funding opportunities most suitable for their R&D activities. Very often funding opportunities mandate international collaboration between academic institutions or collaboration with industry. Information related to such collaborations also is not accessible to faculty and researchers easily.

d.) Incentives for Faculty

Research and development activities demand that faculty members maintain deep level of understanding of latest developments in their field of expertise. This is a very time consuming and challenging task. Today's globally connected knowledge-based economies are creating knowledge at an unprecedented pace. It is rather convenient to teach courses where the material taught in a class does not change at the same pace from one semester to the other. Faculty needs significant financial as well as career growth incentives to pursue innovation centric research and development. It is important to note that time spent by a faculty member to learn latest development in their field of specialization also significantly improves quality of their course content.

e.) Incentives for Industry

Frequently there is lack of industrial willingness to incorporate indigenous solution in high-cost machinery and equipment developed at local universities. Typically, the risks involved in incorporating newly developed technology outweigh its benefits, especially when the cost benefit analysis is done based on current sunken infrastructure cost and projected revenue models.

f.) Stretched Funding Process

At times the funding processes for research and development of technology are so stretched out that a research faculty is unable to create a team of researchers in a timely manner. Very often other competing research groups may have solved the problem hence decreasing the importance of proposed research. Time spent on developing the proposal loses its value.

g.) Pool of Experts

We face critical shortage of experienced professionals who are capable of handling complex, multidisciplinary and meticulous work associated with University-Industry collaborations. There is an acute need for personnel with a good deal of business expertise who can handle the administrative and business work associated with University-Industry collaboration and research & development. Such personnel should have an understanding of science & engineering and knowledge of the law. These individuals must also understand how two different communities, the academic and the business, operate. The challenge is to have the pool of experts from different fields to analyze the diverse technologies and their commercial potential.

1.4 STRATEGIES

- a. Support faculty in balancing its responsibility of teaching and industrial problem solving by proactively promoting use of technology.
- b. Coordinate development and efficient execution of HR policies that give direct financial benefits, promotions and salary increases based on attracting R&D funding and commercialization of resulting technology.
- c. Leverage web technologies, industry links, Industry Advisory Council, IU alumni network, funding agencies' websites, focused conferences and workshops and other resources to facilitate collection and dissemination of information related to:
 - i. Key national scale problems.
 - ii. Local industry's needs.
 - iii. Sources of funding for R&D.
- d. Provide training, consulting and internal proposal evaluation services to faculty to develop effective proposals. Arrange bridge financing for proposals that go through this process.

e. Create a pool of experts to guide process needed to support implementation of these strategies. Corporate Advisory Board subcommittees can be leveraged to achieve this objective.

f. Encourage and facilitate faculty and students for participation in scholarly activity which leads to interaction, networking and joint ventures for knowledge creation and socio-economic development of country.

1.5 METHODOLOGY

a) Leverage Technology to Support Teaching Activities

It must be realized that teaching and imparting knowledge to students remains the main focus of an academic institution and IU is no exception. However, what is taught and how it is taught has to be rooted in local socio-economic ecosystem while maintaining international standards. One of the most effective methods to align content of coursework is for faculty to solve local industrial problems and to involve students in such projects. Managing all these activities is challenging for faculty. Faculty teaching load must be reasonable. Our next challenge is to leverage technology so that faculty can improve their productivity. Introduction of LMS to manage course content, students' grades and records etc. is very positive and a step in the right direction. One of the most challenging and time-consuming activities performed by a faculty member is evaluation of students' learning and providing nurturing feedback. This task has to be done effectively and frequently. It is time consuming and each student needs individual attention. Proposals to develop technology and content to make student evaluation and feedback effective and efficient will be supported on a higher priority.

b) Information Flow and Knowledge Management for R&D

In order to solve local industrial problems faculty and researchers need to have access to succinct information about such problems. Industry needs to know faculty's technical capabilities and physical infrastructure available to solve relevant problems. Typically, industry's problems are solved by multi-disciplinary teams and appropriate funding sources need to be identified. IU-Research portal will be made available to keep data and information consistent and up to-date. Automatic matching of faculty profiles, industry's problems and funding opportunities will be performed. Results of this matching process will be proactively sent to relevant stakeholders. Efforts to arrange workshops, conferences and seminars to collect information regarding national scale problems will be coordinated and supported by IU-ORIC.

c) Appointment/Responsibilities of IU-ORIC HR

IU-ORIC will be headed by a Ph.D qualified faculty member who will co-ordinate, monitor and record all the R&D activities of the institution. He will be assisted by Manager Research and Manager Innovation and Commercialization and few supporting research staff. IU-ORIC will have the following responsibilities:

- i. To hold regular Steering Committee Meetings under Vice Chancellor for guidance to take new initiatives to improve RIC ecosystem at IU
- ii. Monitoring of all RIC related activities at IU on regular basis.

- iii. Receiving research project proposals from potential PIs, checking thoroughly as per the requirements/parameters for any mistakes/omissions set by potential donor agency/IU.
- iv. Follow up of research projects from initiation till logical conclusion and completion report is submitted
- v. Ensure regular submission of project progress reports as depicted in the proposal / project implementation plan.
- vi. Ensure that all PIs of projects meet their timelines and in case of resignation or absence of PI for a period, that can affect project outcomes, take over by co-PI as per procedure.
- vii. Report immediately to Dean/VC for any risk triggering and likely to affect scope, time, cost and any deliverable.
- viii. Research data evaluation after data collection, analysis, presentations and any document or information concerning the research projects/publications/research conferences and all activities being performed under the ambiance of IU-ORIC.
- ix. Ensure that all the activities in the Institute falling under the domain of IU-ORIC are executed as per the IU-RIC policy in true letter and spirit.
- x. Compiling an information pool for all ongoing and completed research in respective Institute and sharing with IU-ORIC whenever requested.
- xi. Compiling the details of consultants and subject matter experts in respective Institute to share their inputs in evaluation of technologies/products for commercialization.
- xii. Maintaining and updating data regarding specialist research equipment/lab equipment along with their research capability held with the Institute.
- xiii. Compiling a catalog for all technologies/products with commercial potential and subsequently assisting to organize presentations with PIs.
- xiv. Continuously update IP data and facilitate researchers to get assistance from IU-ORIC.
- xv. Assisting other IU support departments such as Center for Learning and Excellence and Student Placement in arranging employers' sessions, recruitment drives, counseling sessions and alumni talk series being held at respective Institute.
- xvi. Monitoring industry related collaborations and projects.
- xvii. Maintaining database of placements and internship opportunities and assisting other IU support Departments such as Student Placement
- xviii. Provide regular feedback to VC on commercialization activities as required and publication of quarterly IU-ORIC newsletter
- xix. Provide Reports and Returns to other IU Departments e.g. Finance and HEC during annual scorecard submission.
- xx. Creating awareness and training of faculty and relevant staff about RIC related policies and activities.
- xxi. To apprise VC regularly for review the progress of ongoing activities.

2 IU INNOVATION & COMMERCIALIZATION POLICY

2.1 INTRODUCTION

Vision for IU emphasizes its role in fostering innovation and entrepreneurship. IU-ORIC has a significant role to play towards achieving this vision too. Commercialization at universities internationally is not just restricted to technology transfer. In fact, it explores various avenues to achieve the end of revenue generation through University-based technologies. Generally, the most common paths for commercialization may broadly be divided into four categories. These include:

1. Contract/Collaborative research
2. Technology and Business Incubation
3. Equity based partnerships
4. Licensing out University Technologies

2.2 OBJECTIVES

Objectives of IU-ORIC to achieve an effective Innovation and Commercialization ecosystem at IU are to:

- a) Maintain a climate in which exploitation of Intellectual Property generated in the course of research and development activity is a normal and automatic consideration by creating awareness about the concept of commercialization at IU.
- b) Develop and maintain industry linkages and identify specific industry partners for the ongoing research and development at IU.
- c) Provide efficient and comprehensive services for IP management, technology transfer, and industrial relations.
- d) Explore and evaluate market potential for technologies and inventions developed within and outside IU.
- e) Market technologies and inventions by seeking industry partners who are best placed to take advantage of such technologies.
- f) Negotiate licensing terms to develop a mutually beneficial business relationship.

2.3 KEY CHALLENGES EXPECTED IN ACHIEVING THESE OBJECTIVES AND GOALS

- a) **Delivering Integrated Solutions to Industry**
Industry expects complete and integrated solution to their key problems which require minimum change in their infrastructure and processes. Technologies developed at universities are the brain child of an expert in a particular domain. There is lack of experts

who can give industry, the complete integrated solution after analyzing problems faced by industry.

b) **Alignment of Academic R&D with Industry's Needs**

Technologies developed at universities are the outcome of some research which most of the times is not aligned with the industrial problems or needs. When such inventions are made, either they do not have market potential at all or they have entered the maturity and decline stage.

c) **Industrial Problem Identification**

Succinct information about key problems, bottlenecks and rate limiting factors faced by industry is not available to faculty. Industry and academia often use incompatible terminology which further accentuates the situation.

d) **Commercial Scale Implementation of Laboratory Scale Solutions**

Academia typically lacks facilities, expertise and resources needed to scale up laboratory scale solutions to commercial scale implementation.

e) **Lack of Incentives for Faculty**

Current criteria for faculty career growth heavily favors publication of research papers instead of rewarding efforts towards solving local industry's problems.

f) **Lack of Incentives for Industry**

Frequently there is lack of industrial willingness to incorporate indigenous solution in high-cost machinery and equipment developed at local universities. Typically, the risks involved in incorporating newly developed technology outweigh its benefits, especially when the cost benefit analysis is done based on current sunken infrastructure cost and projected revenue models.

g) **Stretched Funding Process**

At times the funding processes for development of technology are so stretched out that technology matures by the time it comes to the market. Furthermore, these specialized grants are generally awarded in small amounts which fall short of the substantial cost to build a commercial enterprise or to commercialize that technology.

h) **Mismatch in Timescales Followed by Industry and Academia**

R&D in universities has to follow time scale set by degree awarding programs. Industry on the other hand follows market driven timescales.

i) **Pool of Experts:**

We face critical shortage of experienced professionals who are capable of handling the complex, multidisciplinary and meticulous work associated with University-Industry collaborations. There is an acute need for personnel with a good deal of business expertise who can handle the administrative and business work associated with University-Industry collaboration and technology transfers. Such personnel should have an understanding of science and engineering and knowledge of the law. These individuals must also understand

how two different communities, the academic and the business, operate. The challenge is to have the pool of experts from different fields to analyze the diverse technologies and their commercial potential.

j) **Conflict of Interest:**

The call for more University-Industry collaboration is well grounded amid trends toward intensifying global competition and the drive towards a knowledge-based economy. But these changes should not take place at the expense of the fundamental mission of universities. It remains that universities must pursue several different, conflicting goals. They must still fulfill their primary mission to teach students, and this goal cannot be compromised. While university professors are given greater freedom to work with the private sector, there should be a separation between their academic and commercial activities. There is a real risk of a conflict of interest. In general, such a conflict is defined as a situation in which a public obligation competes with a financial interest. Research priorities may be skewed towards applied research that tends to produce immediate financial benefit. Universities may inhibit intellectual freedom and thus foster public mistrust and distract faculty members from the university's essential functions of teaching and basic research.

2.4 STRATEGIES

a) **Knowledge Management System**

A comprehensive, state of the art information flow and knowledge management system will be developed in IU Research portal. This web enabled system will be designed with focus on information flow and information processing needs of all stakeholders associated with R&D, its financial support and commercialization. These stakeholders include industrial partners, faculty and researchers, funding agencies etc.

b) **Align University Research with Industry Needs**

A strong Industry-Academia collaboration will be developed to nurture industry linkages and identify specific industry partners for ongoing research at IU. Support and focused knowledge exchange with IU Corporate Advisory Boards and its subcommittees will be essential for achieving this connectivity with industry. IU-ORIC will gauge industry needs and process match making with IU faculty to develop R&D proposals and projects focused at solving industrial problems. Industrial relations developed by IU-ORIC will also be leveraged to create this connectivity.

c) **Incentives for Faculty**

Although faculty incentives have already been described, it may be re-emphasized that delivery of solutions to industry through adaptation of existing or newly developed technology will be given equal recognition towards faculty career development than research and development that leads only to publication of research papers in international conferences and professional journals of repute. IU will hold international conferences

These conferences will be focused at solutions delivered to industry. Papers will be accepted through a peer review process. Referees will be selected from industry.

d) Incentive for Industry

IU technology strengths including laboratory equipment and specialized manpower will be made available to industry to reduce industry's cost of maintaining such specialized resources.

e) Provide Support for Technology Commercialization

Public funding is typically available for research and development. There are very few resources available for converting laboratory scale prototype and solutions developed as a result of R&D to commercial scale integration, production and distribution of goods and services. Cost of commercialization of technologies developed at universities is typically higher than the cost of R&D that produces these technologies. In addition, an industry partner is needed. In long run, IU may consider Matching grants in which IU and industry will both contribute towards joint development of industry product.

2.5 OWNERSHIP OF TECHNOLOGY

Please refer to IU Intellectual Property (IP) Policy (Section 3 below).

2.6 IMPLEMENTATION

IU-ORIC shall implement this policy and maintain appropriate processes and procedures to administer it.

2.7 REVIEW

This policy will be reviewed regularly as per best practices.

3 INTELLECTUAL PROPERTY (IP) POLICY

3.1 INTRODUCTION

This policy provides guidance for staff (academic and general), students, researchers and other related persons on the practices of the Iqra University (IU) with respect to Intellectual Property (IP). This document describes basis of generating this policy, objectives, coverage, ownership, disclosure, market evaluation, licensing, commercialization and revenue distribution.

There are several stakeholders in the process of commercialization of innovations and research findings. Each of these stakeholders has its interests and expectations, which in most cases may be in conflict with each other. The IU aims to develop an environment in which all the concerned stakeholders can operate and co-operate meaningfully with each other. Further, the University largely depends upon financial support primarily from the government and from local and international organizations for its research activities. Consistent with this premise, the IU seeks to ensure that any resultant IP is administered and protected in the public interest.

The IP Policy seeks to provide guidelines that can be consistently applied to facilitate the commercialization of research outputs and to arrive at possible solutions to potential IP issues relevant to the conduct of research innovations, technology transfer and commercialization.

3.2 OBJECTIVES

The objective of this policy is to provide a framework within which the IP of the Iqra University (IU) is developed, managed, and effectively harnessed for the benefits of the University, inventors/authors, researchers/students and the general public. The main objectives of this policy are narrated as under:

- a) To protect the ownership rights of staff, students and researchers for controlling the products of their work by promoting, preserving, encouraging and aiding scientific investigations & research.
- b) To ensure that name, insignias and logos of IU are properly used, and to receive a fair share of any commercial fruits from the use of its names.
- c) To establish standards for determining the rights and obligations of the IU & creators of IP.
- d) To ensure compliance with applicable laws and regulations and enable the IU to secure sponsored research funding at all levels of research.
- e) To set a system that fosters and expedites the creation and dissemination of discoveries/innovations for economic benefits to the faculty members, students, researchers and allied staff through commercialization and licensing.
- f) To devise a strategy for co-ownership and due share of IU from commercialization of IP assets developed/created by the IU through contracts with donors/sponsors of the res. projects.
- g) To conduct IP audit/assessment of IP Rights of IU on annual basis and set targets for management of University's IP assets.

3.3 COVERAGE OF IP POLICY

This section of the policy document describes the coverage / scope of the persons involved and areas covered under proposed policy.

a) Course Materials

Course materials mean all materials produced in a course or use of Patents in teaching in any form (including digital print, video and visual material) and all intellectual property rights in such materials and will include lectures, lecture notes and material, syllabi, study guides, assessment material, images, multimedia presentations, web content and course software.

b) Research Projects

All the research activities will also be covered under IP policy of IU. In this regard, however, this policy will not affect those research projects which are under process (already have a signed agreement).

c) Persons

i. Academic staff:

Includes all teaching and research staff, and visiting scholars employed by IU on permanent, temporary, ad-hoc or contract basis.

ii. Undergraduate, postgraduate and visiting students:

Any full-time or part time under graduate and post graduate student regardless of whether he/she receives financial aid from the University or from external sources. It is the responsibility of students who are also employees of outside organizations to resolve any conflict between this policy and provisions of agreements with their employers prior to committing themselves to any undertaking at the IU that may involve the development or creation of IP.

iii. Post-doctoral researchers:

Although post-doctoral associates may be hired as staff, they are considered to be in the same category as post-doctoral fellows/trainees because their work is considered to be part of their training.

iv. Independent contractors or consultants:

Persons hired by the IU on a limited time basis, for a limited purpose as specified in a contract. The rights and obligations of the parties shall be determined by contract between the IU and the contractor.

v. Non-employees

A person, who use IU funds, facilities or other resources, or participate in University-administered research, industrial personnel and fellows, regardless of obligations to other companies or institutions.

d) IP Assets and Rights

This IP Policy shall cover all types of intellectual property rights under relevant IP Laws of the country, such as:

i. Copy rights

Copyright is a legal term describing rights given to creators for their literary and artistic works. Literary works include novels, poems, plays, reference works, newspapers, computer programs, databases, films, musical compositions and choreography, artistic works such as paintings, drawings, photographs and sculpture, architectural works, advertisements, maps and technical drawings. The creators of original works protected by copyright, and their heirs, have certain basic rights. They have the exclusive right to use or authorize others to use the work on agreed terms.

- Copyright ownership of works by IU personnel or students shall vest in the creator/ inventor, except stated otherwise in the agreement between IU and external party.
- Copyright with respect to software is dealt with as per other IP rights.
- The IU shall also have the right to use, publish and reproduce such works in whatever form, electronic or otherwise, for its teaching, research and academic purposes after seeking permission from the owner on non-commercial basis. However, if this publication of work is for commercial gains, an agreement for payment of royalties between the owner of Copyright and IU will be signed on mutually agreed terms and conditions.
- if the owner of the copyright is other than the IU, prior consent is required from the owner before any compilation, distribution and sale can be made.

ii. Patents

A patent is an exclusive right of ownership granted for an invention, which is a product or a process that provides a new way of doing something, or offers a new technical solution to a problem. The protection is granted for a limited period, usually 20 years (as stipulated in the TRIPS agreement).

All IP developed by IU staff, students and researchers in their own personal time, who are neither connected to university research nor developed with substantial use of university's resources, shall belong to such IU staff, students and/or researchers as inventors. Patent rights created by IU staff based on university research with substantial use of University's resources will be joint ownership of IU and creator of patent right. Royalties for research team will be determined by separate agreement(s) on mutually agreed terms and conditions in case of commercialization of these patent rights.

iii. Trademarks/ Trade Names/ Service Marks

A trademark is a distinctive sign that identifies certain goods or services as those produced or provided by a specific person or enterprise. The system helps consumers identify and purchase a product or service because its nature and quality, indicated by its unique trademark, meets their needs. A trademark affords protection to the owner of the mark by ensuring his/her exclusive right to use it to identify goods or services, or to authorize another to use it against payment. The period of protection varies, but a trademark can be renewed indefinitely beyond the time limit on payment of additional fees.

The IU shall be the sole owner of the university logos and register these with the Intellectual Property Organization of Pakistan. Any use of the university logos shall require prior license or permission from the university.

iv. Geographical Indications (GIs)

Geographical Indication is a name or sign used on certain products which corresponds to a specific geographical location or origin (e.g. a town, region or country). The use of a GI may act as a certification that the product possesses certain qualities, or enjoys a certain reputation, due to its geographical origin. The proposed policy will focus on effective protection and registration of Geographical Indication for the benefits of different stakeholders.

v. Industrial Designs

An industrial design right is an intellectual property right that protects the visual design of objects that are not purely utilitarian. An industrial design consists of the creation of a shape, configuration or composition of pattern or color, or combination of pattern and color in three dimensional forms containing aesthetic value. An industrial design can be a two- or three-dimensional pattern used to produce a product, industrial commodity or handicraft. Registering valuable designs contributes to obtaining a fair return on investment made in creating and marketing the relevant product, thereby improving profit. This policy will focus on efforts by the IU to make aware the concerned stakeholders to register their novel designs in order to get a more competitive edge.

vi. Trade Secrets

Trade secrets consist of confidential data, information or compilations used in research, business, commerce or industry. Universities and R&D institutions, government agencies, business entities and individuals may own and use trade secrets. The information may include confidential scientific and technical data and business, commercial or financial information not publicly known that is useful to an enterprise and confers competitive advantage on one having a right to use it. The secrecy of the information must be maintained to conserve its trade secret status. The law of trade secrets covers knowledge or information, whether or not patentable or copyrightable, typically of an engineering or business nature, giving one a competitive advantage, which is intended by its holder to be maintained in secret and is not generally accessible or known. The IU, being an agricultural university will strive for documenting its strengths as trade secrets.

vii. Lay-out Designs of Integrated Circuits/ Machines/Implements

‘Lay-out-design’ means a three dimensional disposition, howsoever expressed, of the elements, at least one of which is an active element and of some or all of the interconnection of an integrated circuit (IC) or such a three dimensional disposition prepared for an integrated circuit(IC) intended for manufacture. An ‘integrated circuit’ (IC) means a product, in its final form or an intermediate form, in which the elements, at least one of which is an active element, and some or all of the interconnections are integrally formed in or on a piece of material which is intended to perform an electronic function. Integrated Circuits (ICs) are developed by electronic engineers and technical staff involved in the invention of electronic devices. It is a very sophisticated field of technology which has revolutionized our lives today. The development of ICs for electronic devices by the staff, students, researchers and faculty members of IU will be promoted by the University like other IP assets under this Policy.

3.4 OWNERSHIP POLICY OF INTELLECTUAL PROPERTY RIGHTS

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

a) Under Full Ownership of IU

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

- i. 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.
- ii. The IP was created with the substantial use of funds, facilities, or resources belonging to IU.

b) Under Partial / Mutual Ownership of IU

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

- i. 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.
- ii. 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.
- iii. Wherever possible, IU 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 IU-ORIC.

3.5 Ownership Rules

a) Ownership rules for Employees

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

b) Ownership Rules for Students

- 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 IU or external entities shall be determined in accordance with the terms of the support agreement, or the work shall become the property of IU 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 IU.
- 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 IU 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 IU but are not employees or students, such as Research Fellows or Visiting Professors are all required to assign to IU the rights to any IP created in the course of their honorary activities at the university.
- ii. IU 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 IU employees.
- iv. IU 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 IU), 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 IU-ORIC for advice at the earliest opportunity.

3.6 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.”

3.7 ROLE OF IU-ORIC IN SUPPORTING INNOVATION AND COMMERCIALIZATION

The primary goal of IU-ORIC is to provide support facilities for research and innovations and their commercialization. It also administers/supervise the implementation of the IP Policy and commercialization of University IP assets under guidance of Vice Chancellor and its Steering Committee Members. The summary of tasks performed by IU-ORIC are below:

- a) Administer and monitor the implementation of the IP Policy
- b) Negotiate with IU staff, students and researchers with respect to the development of independently owned technologies after determination of their commercial potential for purposes of registration, licensing or joint venture agreements.
- c) Manage the IU’s intellectual property rights (IPR) portfolio including the drafting and filing of applications with the Intellectual Property Organization of Pakistan as well as the maintenance of granted and registered IPRs.
- d) Administer the funds allocated for registering and activities related to the protection and commercialization of the University IP Rights.
- e) Negotiate and manage contracts for the production, distribution and marketing of the University’s IP assets.
- f) Administer a mechanism for payments derived from any commercialized IP assets.
- g) Negotiate all license agreements for the University IPRs.

3.8 IP DISCLOSURE MECHANISM

If an inventor has developed any IP, the ownership of which is vested in the IU, or pursuant to any obligation to disclose such IP under any agreement, the IU may have with an external party, the Inventor(s) must promptly disclose the full details of the IP to the IU-ORIC by submitting a Technology Disclosure Form within one month (Pls see Annexure 7.1). IU-ORIC will evaluate the commercial potential and patentability of the IP. The ORIC may consult with other university personnel or independent experts who are competent in the field to assist in the evaluation if deems appropriate or necessary.

In all cases where IP is disclosed by a member of staff for possible commercialization, the IU is obliged to ascertain its commercial potential. Intellectual property disclosures are normally considered confidential by the institution, but for the sake of ascertaining its commercial potential, IP section in ORIC will inform all members to get feedback.

3.9 MARKET EVALUATION AND LICENSING

It is essential that any patentable invention be analyzed for its industrial relevance and commercial potential. IU-ORIC will work in collaboration with inventor, to find economic and technical suitability, potential of commercialization, investment required and sustainability.

It is quite common that inventions are produced in universities but their potential users may be located elsewhere. So it becomes useful to commercialize such research efforts to share the benefits with stakeholders. IPR owners often do this by granting license to other manufacturing companies. In this context, IU- ORIC will identify and Endeavour to commercialize potential inventions from IU and make necessary arrangements regarding their licenses and other requirements.

3.10 STANDARD OPERATING PROCEDURE (SOP) FOR INTELLECTUAL PROPERTY (IP) APPLICATION

- a) The applicants who contact the IU-ORIC; will be provided with detailed information/guidelines about the IP application registration procedure, as well as the following relevant forms to define novelty.
 - i. Invention Disclosure Form (copy attached at Annexure 7.1)
 - ii. Patent Drafting Form (copy attached at Annexure 7.2)
 - iii. NOC from IU and/or other partnering institute(s)
 - iv. Form P-1/A, Form P-3A and Form P-28 (latest forms on IPO website)
 - v. Revenue tickets (subject to official notification by IPO-Pakistan)
 - vi. Stamp papers (attested by Oath Commissioner)
- b) IU-ORIC, 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.
- c) Minor scale prior search has been done by researchers.

- d) After prior search IU-ORIC will verify the patentability of potential patent.
- e) In consultation with the Manager IU-ORIC, 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 IU-ORIC to process the application.
- f) After final evaluation and analysis, Manager ORIC will forward these applications to Director ORIC for fee approval. After taking fee check / Bank Draft (BD) from Finance Department, IU-ORIC will process the application with IPO.
- g) IU-ORIC follow up the patent application till its completion.
- h) Any required amendment to be made during the process of completion (prosecution); IU-ORIC will keep in touch accordingly with IPO and reply all queries raised by IPO examiner in consultation with applicant.
- i) On the issuance or rejection of the patent by IPO, IU-ORIC will send it to the applicant/faculty for information or action.

3.11 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. Respective Departments/ Faculty have also been included in the share 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/ Faculty	IU-ORIC
Up to 0.5M	100 %		
> 0.5M - ≤ 5M	60%	15%	25%
> 5M - ≤ 10M	55%	10%	35%
> 10M	50%	5%	45%

3.12 DISPUTE RESOLUTION

All disputes relating to IP shall be resolved amicably in the spirit of supporting research activities and protecting the interest of the public. In this backdrop, disputed issues regarding intellectual property shall be handled by IU-Institutional Review Board (IU-IRB) who will submit their report to the Vice Chancellor (VC), IU. The constitution of IU-IRB and its Terms of Reference (ToRs) board has approved mechanism.

In order to deal with non-settlement of disputes, an Appellant Body (AB) will be formed by IU-ORIC under guidance of Vice Chancellor. This body will deal with the situation where a party is not satisfied with the decision of the Committee, she/he may appeal to the AB.

4 CONSULTANCY SERVICES BY IU FACULTY AND STAFF TO INDUSTRIES

4.1 BACKGROUND

Universities are reservoirs of value-added human capital whose engagement with the industry is extremely important to promote innovation and make societal impact. Offering expert advice to industry on technological challenges and addressing problems for industry are all examples of consultancy services. Consultancy services aid in penetrating into the industry leading to advancement in industry-academia linkages in areas such as research, training and internships. Because these services are usually provided on a fee-for-service basis therefore, policy guidelines are required to allow FMs and staff to actively market their skills into the sector. As a result the following policy guidelines will be followed.

4.2 DEFINITION

The University's definition of consultancy is "work undertaken which relies on a Faculty member's/ staff's academic expertise such as advice to industry". Consultancy does not include work undertaken which forms part of the wider academic endeavor such as external examining, journal editing, peer review, committee work, lectures or presentations for funding bodies of other universities and academic conferences. Neither does it include work which does not depend on the FM's or staff's academic or administrative expertise such as membership of a governing body. All sectors include public, private, non-profit organizations can be provided consultancies.

4.3 OBJECTIVES

To delineate the contours of policy guidelines facilitating IU Faculty members and staff to engage in consultancy services with industries and external clients on commercial terms.

4.4 BENEFITS AND RISKS

Risks and benefits in this section are identified for those who are involved in taking any consultancy work. It will be their prime responsibility to mitigate them while being engaged.

a) Benefits for the FMs / staff and IU

Consultancy can provide a range of benefits to the FMs/staff, IU and the clients for whom the consultancy project is executed. From point of view of IU, the main benefits include:

i. Enriching intellectual activity

Consultancy provides external stimulus that is helpful for teaching and training, and is essential in many subjects (e.g. clinical and industry-based subjects such as those related to science and engineering)

ii. Extending the research and knowledge base of IU

Consultancy often leads towards other forms of partnerships including research projects.

iii. Marketing Benefits

Consultancy helps in the development of useful contacts, marketing opportunities and improved reputation of IU in the eyes of external stakeholders.

iv. Financial Benefits

Consultancy provides revenue, and diversifies sources of income for IU.

v. Staff Benefits

Consultancy not only generates income for the institution but also gives opportunity to FMs and academic staff to gain financially. It also helps in their personal development and creates new professional opportunities for them. It can therefore, act as a useful incentive to attract and retain qualified and professional staff.

b) Risks to the institution

i. Commercial Risks

Consultancy can bring commercial risks, e.g. the loss of institutional intellectual property or resources consumed without adequate return.

ii. Academic Risks

Consultancy can also bring academic risks; e.g. stress and negative spillovers on FM/staff, diversion of staff time and effort on other resources other than teaching and research at the institution.

iii. Accountability and Financial Risks

Consultancy also brings accountability and financial risks e.g. public funds for teaching and research being used inappropriately, exposure to audit or other investigation, unplanned tax liabilities.

iv. Reputational Risks

Poorly managed or delivered consultancy can have an adverse impact on the reputation or income of the institution.

v. Legal Risks

Legal liabilities can also result from consultancy e.g. arising in an unforeseen way from the activities of FMs/staff

c) Risks for the FMs / staff

i. Become over-stretched

Embedding consultancy work within academic work can enhance the burden of the consultant and thus increases the risk of compromise on quality of teaching and research output.

ii. Professional Risks

Consultancy being an additional financial source of income may introduce lack of basic professional commitments towards students and research as demanded by the University.

iii. Exposure to legal liabilities

With a surge of financial assets (gained from consultancy work) FMs / staff may subject themselves to legal liabilities.

iv. Exposure to tax liabilities

Inclusion of additional income to tax slabs may appear as a complexity and if not filed properly can result in FBR notices.

v. Conflicts of interest with the University or Research collaborator

Having a fixed income from university coupled with variable external income may lead to conflict of interest and partial interest of the FMs / staff for collaborative research projects.

4.5 POLICY GUIDELINES

- i. FMs and staff interested in offering consultancy services will take prior permission from their respective Dean / Campus Directors. After permission case will be forwarded to IU-ORIC for codal formalities.
- ii. Annual appraisals, prior Research profile and student feedback will be considered before assignment of consultancy work to a faculty member. This will be done through co-ordination with respective Dean / Campus Directors.
- iii. Those who fail to declare consultancy work will be subject to the HR policies on taken additional work without prior approval
- iv. Permission may be withdrawn if FMs / staff performance at IU gets affected due to consultancy services. IU commitments would be foremost for FM / staff to meet.
- v. Faculty needs to declare any existing consultancy work at the time of induction
- vi. The applicant will indemnify IU against all damages, loss or injury caused by committing any default or delay in performance of the contractual obligations towards the hiring party / client. The application shall be precluded to file any legal proceedings, at any forum whatsoever, against IU that may result in consequence of breach of contractual obligations between the applicant and the hiring party. Subsequent, to the receipt of approval from the HR, FMs / staff will complete the consultancy formalities (submission of bids / interest etc)
- vii. Upon the award of consultancy, FMs / staff will submit details to IU-ORIC about its duration, scope, income, hiring of resources persons etc. This shall also be communicated to HR and Finance Departments.
- viii. Consultancy revenues will be deposited in IU account and disbursed as per the consultancy contractual agreements provided by the FMs / staff.
- ix. Consultancy services could be offered individually or as a group of FMs and staff, depending upon the opportunity/nature and scope of work. The final distribution of revenue will be subject to deduction of the running cost.
- x. Any expenditure related to consultancy work shall be covered from within the consultancy amount. University will not bear any cost incurred.
- xi. Formal contract signing upon award of a consultancy work will be responsibility of IU-ORIC.
- xii. After meeting of all the expenditures incurred in the consultancy services, the balance amount will be distributed as per the following formula with the approval of the VC IU.

Taking consultancy work while being part of IU, the division of revenue shall be as per below mentioned criteria

FM(s)/staff 80% (distribution formula amongst team members, if applicable, is to be given by the PI and endorsed by Dean)

IU share 20%

For continuing consultancy work at the time of induction of faculty in IU, will have the following formula:

FM(s) / staff : 90%

IU: 10%

- xiii. Timely completion as per agreed terms of consultancy services will be the sole responsibility of the primary consultant/PI. In case of any default, the FMs/ staff will be barred from undertaking any further consultancy work for a minimum period of 2 years.

5 IU RESEARCH PUBLICATIONS INCENTIVE

5.1 INTRODUCTION

As per its Vision and Mission, Iqra University (IU) continuously strives to improve its ranking in national and international forums by improving upon all Key Performance Indicators (KPIs). One of the most important KPI is based on the quality and quantity of academic and applied research output of the HEI. To motivate the faculty to contribute positively to the research ecosystem of Iqra University (IU), the university has devised a research incentive policy to recognize their efforts and reward faculty members who are regularly contributing to IU research ecosystem to motivate them further and inspire others. The aim of this policy is to motivate the faculty for research excellence by defining a relative criterion according to which faculty is rewarded preferentially for publishing at top venues.

The following policy is an extension to the previous policy on the subject with an aim to encourage long term, progressive sustainability of research ecosystem at IU with equal participation from all faculties.

5.2 ELIGIBILITY CRITERIA FOR CLAIMING RESEARCH INCENTIVES

Faculty members of IU must meet the following conditions to qualify for claiming research incentives:

- a. The researcher must be a regular faculty/staff member at IU.
- b. Publications by authors under official affiliation of Iqra University with official Iqra email address will be considered.
- c. Publications covered under this policy are Journals, Case Studies, Books, Book Chapters. Conference proceedings are not covered unless the proceedings of the conference are published as a book / book chapter. Travel Grant for Conferences is not applicable under this policy and may be deliberated on case-to-case basis.
- d. Research parameters should be verifiable through the IU Research Portal. Insufficient documentary proof for the claim will not be considered.
- e. The publications must be already published and available with valid DOI for verification.
- f. There must be a maximum of 4 IU faculty members in a multi-authored paper.

5.3 PUBLICATION INCENTIVES

- a) Research incentives for WoS/JCR (ISI / SSCI / SCI / SCI-E) indexed journals with JCR Impact Factor.
 - i. Impact Factor (IF) journal indexed with Institute of Scientific Information (ISI) / Science Citation Index / Social Sciences Citation Index / Science Citation Index Expanded will

be eligible for financial award. Emerging SCI (S-SCI) journals are not eligible for award under this criterion but may be eligible under a different criterion such as SCOPUS indexing.

- ii. The financial award of the paper will range from Lower Bound (LB) to Upper Bound (UB)
- iii. The value of the award will be according to the formula given below.

The amount to be calculated as follows:

$$\text{Amount of Award} = LB + (UB - LB) * \frac{TJ - PJ}{TJ - 1}$$

TJ = Total journals in relevant JCR subject category

PJ = Position of the journal in descending order with respect to Impact factor in the subject category in JCR

- iv. In case of multi-authored paper, papers with up to 4 IU authors will be eligible for research incentive award. The papers having more than 4 IU authors will not be considered for incentive. Share of the award will be distributed amongst IU authors only (excluding non-IU authors) as follows:

LB = PkR 50,000.00 and UB = PkR 200,000.00; May be revised under separate notification from time to time.

No of IU Authors	Order of IU Authors* & Percentage of Share			
One	1st Author 100%			
Two	1st Author 60%	2nd Author 40%		
Three	1st Author 50%	2nd Author 35%	3rd Author 15%	
Four	1st Author 45%	2nd Author 30%	3rd Author 15%	4th Author 10%

* Order of authors will be for IU authors only excluding the non-IU authors. For example, if the paper has six authors, and only the 1st, 3rd and 4th authors have IU affiliation then the share of remuneration will be split as per criteria for 3 co-authors. Student authors with IU affiliation are eligible for this award as per criteria outline above.

- v. On special request the journal authors can claim the award for payment for journal article processing charges (APC) after submitting an application to ORIC. The application will be scrutinized for correctness by Research Incentive Committee (RIC) before a final decision is made. The final approval authority in this case will be the VC. For publication in which research publication incentive is claimed before article publication will not be eligible to claim research incentive award again after publication of journal article.

- b) Research incentives for internationally recognized SCOPUS indexed journals without an Impact Factor.

Research paper published in internationally recognized SCOPUS indexed journals (bearing ISSN, DoI for published articles) which are not indexed with ISI/SCIE/ SSCI and do not have an impact factor will be given award up to a **maximum 0.5 LB** For multi-authored papers, distribution of share for IU authors will be as per Para 3A(iv)

- c) Research incentives for locally recognized (HEC ‘Y’) category journals.

Research paper published in locally recognized HEC ‘Y’ category journals (bearing ISSN, international authorship, editorial board/peer review panel and distribution) which are not indexed with ISI/SCI/ SCIE/ SSCI/SCOPUS will be given award up to a **maximum 0.5 LB**. For multi-authored papers, distribution of share for IU authors will be as per Para 3A(iv)

- d) Research incentives for Books and Book Chapters.

- i. A book or chapter published in a book will be processed under the policy outlined below*:

Type of publication	International Publisher	National Publisher
Book	UB	0.5*UB
Book Chapter	LB	0.1*UB

* List of Eligible publishers as per latest IU policy will apply

- ii. Conference Proceedings published as Book chapter qualify for award as per para 3D(i).
 iii. Prohibited publishers e.g. Lambert publishing is not allowed.
 iv. Publishing of PhD thesis as a book will not be eligible for this award.

- e) Research incentives for Case Studies

Publication of Case studies is also eligible for financial award under this Research Incentive Policy. Case studies published in prestigious journals will merit financial award as per Sections 3(A-C)

- f) International Research Collaboration

Iqra University promotes a culture of international collaboration and encourages partnerships across various academic institutions globally. To broaden the magnitude of international collaboration, researchers engaging in international collaborations, will receive an **additional 10%** incentive to acknowledge and support their collaborative efforts and distinctive partnership with international higher education institutions. Authors are advised to spread their collaborations across various countries as well as different universities in any particular country.

- g) Relaxation in Teaching / Admin load of Faculty member for greater research productivity

Any relaxation for teaching and administrative loading of Faculty member publishing research in high impact factor journals will be as per discretion of respective HoD or Dean of Faculty.

5.4 DATA SUBMISSION FOR AWARD OF RESEARCH INCENTIVES

- a) The incentive amount will be reimbursed on monthly basis as per the cut of date.
- b) The eligible researchers will submit the required documents as a proof of publication through IU research portal.
- c) IU-ORIC will evaluate the publication and submit case to finance department for the payment processing after approval of Research incentive Committee members and Vice Chancellor.

6 IU BEST RESEARCHER AWARD

6.1 INTRODUCTION

As per its Vision and Mission, Iqra University (IU) continuously strives to improve its ranking in national and international forums by improving upon all Key Performance Indicators (KPIs). One of the most important KPI is based on the quality and quantity of academic and applied research output of the HEI. To recognize the outstanding efforts of its faculty members in the domain of academic and applied research and nurture the research eco-system through positive reinforcement, the university has devised a policy to reward the most outstanding researcher from each faculty of the university annually.

The following policy defines in detail the eligibility, merit and selection criteria and other modalities for best researcher award. The aim of this policy is to encourage long term, progressive sustainability of research ecosystem at IU with equal participation from all faculties.

6.2 ELIGIBILITY CRITERIA FOR BEST RESEARCHER AWARD

Faculty members of IU must meet the following conditions to qualify for Best Researcher Award:

- a. The researcher must be a regular faculty/staff member at IU.
- b. The applicant should have served for at least one year at IU.
- c. Only current calendar year data will be considered for the decision of research outcome parameters.
- d. Publications, patents, research grants, thesis supervision and research commercialization under official affiliation of researcher with IU will be considered.
- e. Research parameters should be verifiable through the IU Research Portal. Insufficient documentary proof for the claim will not be considered for points calculation.

6.3 MERIT CRITERIA FOR BEST RESEARCHER AWARD

The scoring criteria to establish the merit for Best Researcher award has been divided into five (5) categories focusing on key parameters of academic and applied research:

- Academic publications (journals, conferences, case studies, books and book chapters etc)
- Research Supervision (supervision of PhD, MS, MPhil, MBA, Bachelors students)
- Funded Research Grants
- Consultancy
- Innovation and Commercialization

The five key areas mentioned above cover the basic tenets of academic and applied research as agreed upon by international and national educational qualification frameworks. After regular review of this policy the scoring criteria can be revised.

6.4 CALL FOR BEST RESEARCHER AWARD AND SUBMISSION OF REQUISITE DATA

A Call for Best Researcher award will be announced by IU-ORIC annually in the first week of August. Performance of faculty members for summer and fall semesters of the previous year and spring semester of current year would therefore be included in the assessment. This has been so kept in order to synchronize the HEC call for Best Teacher (Received in October every year) necessitating IU to issue similar call for the University Best Teacher too. After announcement of official IU Best Researcher Award call, individual faculty members meeting the Eligibility criteria in Para 3, can apply for the best researcher award through the following process:

- a. Sponsoring office for Call for Best Researcher award will be IU-ORIC.
- b. IU-ORIC will ensure that Call for Best Researcher Award is widely publicized across all faculties across different campuses of IU and a deadline of at least 2 weeks is allowed for data submission by faculty members.
- c. It is compulsory for Faculty Members to update their research credentials on IU research portal when the call for Best Researcher award so data of all faculty members can be evaluated.
- d. It is incumbent upon Faculty members to submit credible and verifiable evidence in support of their research data

6.5 PROCESS OF SELECTION FOR BEST RESEARCHER AWARD

After the deadline for Call for Best Researcher award has expired, respective Dean offices will begin the process of scrutiny of the submitted data on IU Research Portal of their faculty members as per the following process:

- a. Respective Deans will form a departmental committee for this task consisting of senior-most faculty of the rank of Associate Professors/ Professors; where this is not possible senior most Assistant Professors can be included. The chair of this committee will be respective Dean.
- b. It will be responsibility of the respective committee to cross-check the data supplied by each faculty member on IU Research Portal; faculty members may be contacted in case of any doubts
- c. Written comments of Dean and departmental committee members will be recorded on IU portal for evidence of decision-making process
- d. In evaluation of each case, the Departmental Committee will ensure neutral committee members to avoid any Conflicts of Interest in the decision process
- e. The respective Dean office will submit two finalists (1st and 2nd position) from their faculty to IU-ORIC within 4 weeks of closure of call date.

6.6 FINAL DECISION ANNOUNCEMENT FOR BEST RESEARCHER AWARD

The Final Best Researcher award will be announced as per the following process:

- a. After a second final scrutiny, IU-ORIC will submit the final list of potential awardees for best faculty awards on the recommendations of the Dean as specified in Para 4 to the Vice Chancellor within two weeks of receipt of recommendations from the Dean(s).
- b. In case any finalist is deemed ineligible or is unable to receive the award of Best Researcher due to any miscellaneous reasons after deliberation in Para 5a, the researcher at 2nd position will be awarded the prize after due documentation by IU-ORIC.
- c. Financial award will be given to the best researchers from each faculty, i.e. one Best Researcher Award from each faculty. The award for best research will be **as per the current policy**. These awards will be conferred during the Annual Convocation scheduled after the closure of entire process.
- d. The recognition of Best Researchers will be widely publicized on university website and through official Broadcast IU notification; A certificate will also be provided to the respective faculty member along with the financial award.
- e. The name of the same Best Researcher awardee will also be forwarded in response to any national level call by HEC or any other organization.
- f. Any grievance claim by any faculty member will be forwarded to IU-ORIC which will shall investigate the claim as per official rules and regulations for faculty grievance policy.

7 ANNEXURES

7.1 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:

4. Drawing (s):

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

5. Written Description:

The invention is described as follows:

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.

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:

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:
d.	Comments

11. Dates or 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:
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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?
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 IU?
b.	Were all outside disclosures under a non-disclosure agreement?
c.	Detail about any disclosure outside the IU
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:

Additional Comments by Inventor:

Signed:

Witnessed and understood by:

Date:

Date:

7.2 **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 IU-ORIC