



Policy for Applied Research and Intellectual Property Rights

Office of Research Innovation and Commercialization (**ORIC**),

University of Management and Technology (**UMT**), Lahore

Table of Contents

1) Introduction	3
2) The Objective	3
3) The Scope.....	3
3.1 Definition of IP	3
3.2 The Inventor.....	4
3.3 Ownership of IP.....	4
3.4 Commercialization of IP	4
4) Distribution of Income	4
4.1 Commercialization of Research Output.....	4
4.2 Consultancy projects.....	5
4.3 The Term of References (TORs)	5
5) Non-Cash Awards	5
5.1 Rector’s Award for Entrepreneurship and Innovation.....	5
5.2 UMT Scientist/Researcher of the Year Award	5
6) Cash Awards for Applied Research	6
7) Course Reduction as per Funding Earned	6
8) Applied Research Forums/Centers at UMT	7
9) Attraction for Industry Thesis (MS and PhD Level)	7
10) Applied Research Program (ARP).....	7
11) Intellectual Property Rewards	8

1) Introduction

The University of Management and Technology (hereinafter referred to as UMT) prides itself on the quality of its faculty/staff/students and wishes to encourage and support an entrepreneurial environment and culture. The Intellectual Property (hereinafter referred to as IP) created by faculty is an important outcome of a flourishing research culture, and the University seeks to maximise the transfer of IP for the benefit of the wider community. The University recognises the advantages of protecting and commercialising IP and wishes to sagaciously and fairly share the benefits.

The Office of Research Innovation and Commercialization (hereinafter referred to as ORIC) is set up at UMT under the guidelines of the Higher Education Commission (hereinafter referred to as HEC). ORIC deals with research planning, execution support, IPRs and technology transfer to develop industry-academia linkages and to make an appropriate mechanism for the process of commercialization. This policy document has been developed to meet the immediate needs of scientists, entrepreneurs and supervisors of applied research.

2) The Objective

To provide an enabling environment at UMT for ideas to become inventions and translate into business innovations, generating socio-economic value for inventors, investors and associates.

3) The Scope

IP Policy covers services and facilitation of IP Management for faculty, staff and students of UMT.

3.1 Definition of IP

IP Stands for Intellectual Property claimed by any researcher of UMT. IP can be in numerous forms like a product, process, writing, formula, technique, model, equation or anything claimed as the output of the exercise carried out by a researcher or a group of researchers.

IP Policy follows the spirit of the country's (Pakistan) law for the invention. The invention in IP Policy is defined as "Anything new to the world or new to the local market contributing to the knowledge by presenting a potential solution to the existing problem."

IP Policy also recognises research work of faculty and students that is non-patentable but has economic potential and can be commercialised.

3.2 The Inventor

IP Policy of UMT recognises as Inventor someone associated with UMT as part or full-time employee/student and who uses significant university resources in the process of research work.

3.3 Ownership of IP

IP Policy acknowledges the contribution of the Inventor of the intellectual property and offers intellectual credit to the Inventor. The researcher(s) will be known as the Inventor of IP/Creator of IP. UMT will be the owner of IP and exercise its ownership through ORIC.

3.4 Commercialization of IP

ORIC UMT will invest its resources to support IP creation, IP management, IP commercialization and due financial and non-financial rewards to the researcher and the institution.

- I. Significant resources of UMT will be involved during the process of research
- II. ORIC UMT will help researchers in getting funding from external resources
- III. ORIC UMT will invest in patenting and commercialization
- IV. ORIC UMT will invest in protection, management and legal fight for invention

The researcher(s) and ORIC UMT will enter into a non-disclosure agreement having mutual consensus with regard to the terms and conditions including but not limited to reward(s).

4) Distribution of Income

4.1 Commercialization of Research Output

The researcher will receive a share of income generated through commercialization of research output. The expenses, revenue, income and related details will be determined and explained in each contract of research.

The distribution of income will be as follows:

Income Level (PKR)	Income Share
a. For net income less than PKR 50,000 (Per Project)	<ul style="list-style-type: none">• 100% share for researchers and team
b. For net income more than PKR 50,000 and less than 02 million (Per Project)	<ul style="list-style-type: none">• 30% for UMT• 70% for researchers and team
c. For net income more than PKR 02 million and less than 03 million (Per Project)	<ul style="list-style-type: none">• 20% for UMT• 80% for researchers and team
d. For net income PKR 03 million and above (Per Project)	<ul style="list-style-type: none">• 15% for UMT• 85% for researchers and team

4.2 Consultancy projects

Following will be the distribution of income for the consultancy projects without using any UMT resources. **However, the payment and contract must be made through ORIC-UMT.**

Income Level (PKR)	Income Share
a. For consultancy projects having worth up to Rs. five (05) million (Per Project)	<ul style="list-style-type: none">• UMT will have no share
b. For consultancy projects having worth more than Rs. five (05) million (Per Project)	<ul style="list-style-type: none">• As per UMT policy already approved

4.3 The Term of References (TORs)

- I. The same distribution ratio (as in clause 4) will be applied for consultancy, training and proceeds coming from the earnings through faculty and students input.
- II. Issues related to the research team, work scope, labs, equipment and incidentals thereto have to be dealt with at the department level.
- III. The research contract has to be approved by Director ORIC in the commencing and closing on the recommendations of Research Ethics and Support Committee (RESC).
- IV. Research Ethics and Support Committee (RESC) will be the final authority for all the contingencies, decisions, policy revisions and approvals.

5) Non-Cash Awards

5.1 Rector's Award for Entrepreneurship and Innovation

ORIC, as part of IP Policy, launched "Rector's Award for Entrepreneurship and Innovation" for faculty and graduates. This is the most prestigious award given to passing out students for their innovative projects conducted on indigenous needs solving local problems.

The awards are being given on annual convocation after vigilant screening by Research Ethics and Support Committee (RESC).

5.2 UMT Scientist/Researcher of the Year Award

ORIC's Research Ethics and Support Committee (RESC) announced "**UMT Scientist/Researcher of the Year Award**" to motivate and enhance the entrepreneurial activities in the University.

Following is the criteria for "**UMT Scientist/Researcher of the Year Award**:"

- i. Winning research grant of Rs 05 Million and above
- ii. Contract research with funding of Rs one (01) million and above
- iii. Grant of one patent (Local/International)

Any faculty member fulfilling minimum two conditions given above will be awarded "**UMT Scientist/Researcher of the Year Award**"

6) Cash Awards for Applied Research

Award Criteria	Cash Award	Weight in Annual Appraisal
Contract research with funding of Rs. up to =100,000/- through ORIC	25% of funding earned (Per Project)	01 Mark Per Project
Contract research with funding of Rs. more than =100,000/- to =500,000/- through ORIC	Rs. 35,000/- (Per Project)	02 Marks Per Project
Contract research with funding of Rs. more than =500,000/- to one (01) million through ORIC	Rs. 50,000/- (Per Project)	03 Marks Per Project
Contract research with funding of Rs. more than one (01) million through ORIC	Rs. 50,000/- (Per Project)	04 Marks Per Project
Winning Research Fund up to Rs. five (05) million	Rs. 100,000/-	10 Marks Per Grant
Winning Research Fund of Rs. more than five (05) million to ten (10) million	Rs. 200,000/-	15 Marks Per Grant
Winning Research Fund of Rs. more than ten (10) million	Rs. 500,000/-	20 Marks Per Grant
Local Patent Grant	Rs. 100,000/-	15 Marks Per Case
USA Patent Grant	Rs. 200,000/-	20 Marks Per Case
Sale of Patent	As per policy on page 04 under clause 04 (Distribution of Income)	15 Marks per Case

* Above cash award will be in addition to the share in funding earned.

* University decision will be binding in case any dispute arises between the researcher and UMT.

7) Course Reduction as per Funding Earned

Award Criteria	Cash Award	Weight in Annual Appraisal	Course Reduction
Winning Research Fund of Rs. more than five (05) million to ten (10) million	Rs. 200,000/- (As Per IP Policy)	15 Marks Per Grant (As Per IP Policy)	One (01) Course
Winning Research Fund of Rs. more than ten (10) million	Rs. 500,000/- (As Per IP Policy)	20 Marks Per Grant (As Per IP Policy)	Two (02) Courses

* This incentive will be offered to those who are not getting any other workload off. This waiver is not applicable to Deans/CoDs/Directors.

8) Applied Research Forums/Centers at UMT

Forums/Centers Set up Guidelines

Every forum/centre must incorporate the following objectives along with their planned goals:

1. To promote interdisciplinary and inter-departmental research/development works in UMT
2. To promote linkages with the outside environment and to generate collaborative funded projects

Basic Rules for Applied Research Forums /Centre

1. The policy is about forums/centres aiming to promote applied research and development works. This does not cover other centres and offices of UMT
2. Each forum /centre needs to include a core team from a minimum of three UMT departments
3. All the forums/Centers will be reporting to worthy Rector UMT
4. Initial proposal to be presented in RESC for recommendations and approval by Rector
5. ORIC will facilitate all the forums registered under this policy
6. The progress of approved forums needs to be shared with RESC twice a year at least
7. The low-performance forums/ centres can be de-notified by Rector upon recommendations of the Research Ethics and Support Committee (RESC)

9) Attraction for Industry Thesis (MS and PhD Level)

ORIC-RESC incentivizes those who will supervise the projects/thesis with the topic from industry. ORIC will facilitate the students for topics from industry. In the first phase 50 projects through ORIC will be piloted and the supervisors will be paid following additional amount:

For the Supervisor of MS thesis = PKR 5,000

For the Supervisor of PhD thesis = PKR 10,000

*** Above cash incentive will be in addition to the thesis supervision fee for MS and PhD.**

10) Applied Research Program (ARP)

ORIC invites selected faculty having keen interest in industry/community research to join Applied Research Program (ARP). This Program offers faculty members to avail 25% work load off and many other incentives. In response ARP faculty needs to supervise applied research and write research grant proposals.

For detailed policy document please visit: www.umt.edu.pk/oric/Downloads.aspx

11) Intellectual Property Rewards

IP Rewards for Utility model, Industrial Design, Plant variety				
Types	Patent or Invention Patent (Present IP Policy)	Utility Model	Industrial Design	Plant Variety/New Breed
Cash Reward at Once	Local Patent: 100,000 PKR US Patent: 200,000 PKR	50% of Patent Amount	75% of Patent Amount	Equal to Invention Patent
Appraisal Marks	Local Patent: 15 Marks US Patent: 20 Marks	10 Marks	10 Marks	Equal to Invention Patent
Profit/Income Sharing During the valid duration of the contract	Equal to Invention Patent	Equal to Invention Patent	Equal to Invention Patent	Equal to Invention Patent
Burden of Creativity	<ol style="list-style-type: none"> 1. High Creativity 2. Novelty 3. Inventive Step (Non-Obviousness) 4. Industrial Application 5. Strict Examination and Security 6. It offers 20 years of protection 	<ol style="list-style-type: none"> 1. Less Creativity 2. Utility models are granted to improve the existing items/products 3. No Inventive Step 4. In utility models, the degree of "inventiveness" is lower 5. Less scrutiny required. 6. Utility models offer 10 years of protections 	<ol style="list-style-type: none"> 1. Protection rights are provided for a period of 10 years. 2. It should be novel, original or have an aesthetical appearance. 3. It must have industrial applicability 4. An industrial design right protects only the appearance or aesthetic features of a product. 5. Less creativity 6. Less scrutiny 	As per Invention Patent