Dhirubhai Ambani University

Policy on Patent Filing Process

Purpose

This policy outlines the mechanisms for protecting inventions generated at DAU through patents. The policies outlined in this document apply to faculty, staff, students, research scholars, postdoctoral scholars, and visitors.

Patent Filing Procedure

Faculty members intending to file a patent shall submit an Invention Disclosure Form (IDF) to the Office of Dean R&D.

Students or research associates intending to file a patent shall first approach their concerned faculty mentor. The mentor shall submit the IDF on behalf of the student.

Dean Research, optionally with the help of an external expert, will review the submitted IDF and either approve or disapprove the submission. The final approval shall be given by the Director of the specific school (e.g., the School of Technology, the School of Law, etc.).

Ownership of the Patent

Patents generated at DAU Campus

The patent that emerges out of the intellectual activity within the DAU campus and that involves more than incidental usage of its resources shall be assigned to DAU.

Ownership with respect to inventions arising out of research sponsored by public/private organizations shall be determined based on the Terms & Conditions document (e.g., MoU, contract, etc.) signed with that particular organization.

Patents generated by DAU personnel Outside of DAU Campus

This applies to faculty members, students, and staff members (including postdocs) who produced IP during their sabbatical/research/other institute-approved visits to other academic institutions/companies/government, or corporate research labs. In all these cases, the DAU member

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involved may proceed toward protecting the IP by initiating the process of filing for patents/copyrights, etc., as per the procedure laid down by the respective host institution.

The involved DAU personnel shall inform the Dean R&D at DAU by completing the IDF. In the event that the corresponding IP is protected by the awarding of a patent/copyright, DAU reserves the right to use the IP for its academic and research purposes without incurring any royalty or licensing fees. Furthermore, any royalties received by DAU personnel on the corresponding IP must be shared in accordance with the prescribed revenue-sharing mechanism outlined in Item 6.

Patent Filing Cost

DAU shall support the patent filing expenses only when the patent is assigned to DAU. In such a case, DAU shall contribute INR 1 lakh toward patent filing costs. If the anticipated cost exceeds this limit, the DAU inventor must obtain prior approval from the Dean of Research.

If the inventor has received support of INR X either through the sponsored research or a funding agency, the Institute will provide an additional support that equals INR $\max[0,100000 - X]$.[1]

Revenue Sharing

Wherever a research sponsor provides the patent filing cost, the exact division of IP revenue among the inventor(s), DAU, and research sponsor will be determined through a signed agreement between these parties.

In cases where DAU provides the patent filing costs, the sharing of IP revenue would be as follows:

- 20% shall be credited towards the Institute Overhead.
- 70% of the revenue shall be credited to the DAU member's salary account through the DAU payroll system.
- 10% shall be credited to the DAU member's Cumulative Professional Development Allowance (CPDA).
    - In the event that the inventor is not eligible for receiving the CPDA (e.g., a research associate who is not a DAU student), this 10% amount shall be credited to the Institute Overhead.
- If there are multiple DAU members who have authored the patent, the above fractions (70% and 10%) shall be divided equally.

Effective date of this policy document: December 1, 2025

[1] For example, if $X = 90000$, the Institute will provide an additional support of $\max[0,100000 - 90000] = 10000$. However, if $X = 110000$, the Institute will not provide any additional support since $\max[0,100000 - 110000] = 0$.

Appendix I: Invention Disclosure Form

1. Inventor Name(s) and Contact Information:
    a. Name(s) of the Inventor
    b. Designation(s):
    c. Email Address(es):
    d. Phone Number(s):

2. Description of the Invention:
    a. Title
    b. Describe the novelty of your idea.
    c. What difficult problem does it solve?
    d. Describe what makes the problem difficult to solve. Elaborate on why the research community could not solve it before your invention?
    e. Why is this problem important to solve? What benefit does the solution provide?
    f. How is this problem currently solved (existing methods, products, or technologies)?
    g. What is the core inventive concept or technical advance over these existing solutions?
    h. What is the unexpected technical advantage or surprising result obtained by your invention?
    i. If an expert in this field saw the problem, would they naturally arrive at your solution?
    j. Does the invention involve a new principle or a novel combination of known components?
    k. How much experimentation, iteration, or creative reasoning was needed to arrive at the result?
    l. Could this be described as a "routine improvement" or does it introduce a "new way of thinking" about the problem?
    m. What are the key components, steps, or elements of your invention?
    n. Is your invention a product, process, system, apparatus, or software method?
    o. Describe up to five major claims that you would like to make in the patent application
    p. Describe the strength of your novel solution - why the patent office is likely to approve your filed patent application?
    q. Describe the weaknesses of your solution - what are the possible reasons why the patent office may reject patent application or question your claims.
    r. Do you have experimental or simulation data that demonstrates the claimed results?
    s. Are the results repeatable and verified independently or internally?
    t. Is a prototype available, or is it at the concept/design stage?
    u. Are there diagrams, drawings, or flowcharts that clearly describe the invention?
    v. Are the results consistent and statistically significant (for scientific inventions)?
    w. Provide a comparison against five existing prior works as per the format below (specifically, comparing the prior arts most closely related to your invention, provide the main factors which make your invention the same as these existing arts in the

third column, and set your invention apart from these existing arts in the last column):

ID	Existing Prior Work (provide citation of prior patent or research article)	Points of Similarity with the Proposed Invention	Novel Points of the Proposed Invention in comparison to the Prior Work
1			
2			
3			
4			
5			

y. What are the potential applications or industries that could benefit from this invention?
z. Is the invention ready for prototyping or has it already been demonstrated experimentally?
aa. Does it offer measurable benefits of cost savings, performance improvement, energy efficiency, scalability, etc.?
bb. Is the invention implementable with existing technology, or does it require new infrastructure?
cc. Can it be commercialized or licensed (either standalone or as part of a product/system)?
dd. Who are the true inventors who contributed to the conception of the invention (not just implementation)?
ee. Are there any external collaborators (students, other institutions, industry partners)?
ff. Was this work done using Institute facilities or in collaboration under a sponsored project (DST, DRDO, ISRO, SERB, etc.)?
gg. Are there any agreements (MoUs, NDAs, funding contracts) that affect ownership or IP rights?
hh. Has any third-party intellectual property been used (software, design, or hardware)?

Dhirubhai Ambani University ★ Gandhinagar ★

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Dhirubhai Ambani University (DAU), Gandhinagar

T. Bandyopadhyay
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