

IP Management and Technology Transfer
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Lecture - 18
Case Study I

A very warm welcome in the course Intellectual Property Management and Technology Transfer titled Case Study 1. Now, this is the first case study in this course, and then, in probably every week you will come across the different case studies. Because now the concepts and the foundation is now set with the 3 weeks and we know now that there is a IP audit framework there is a IPMS system and the models related to that.

Then, we know why IP management. Then, we also have gone through the model the whole kind of, the different evolution kind of model evolution that IPMS model 1, IPMS model 1. So, we got pretty well idea about the intellectual property management. Now, we will see the application of the model. So, in IP audit framework what we have exactly seen is like a it is a very simple framework to understand where exactly we stand considering the IP creation.

And we have already considered that, ok, we our scope is very clear that when we are talking about IP management, we are focusing on the 8 types of IPs that is patent, copyright, trademark, industrial design, and then semiconductor integrated circuit layout design, industrial registrations, and then protection of plant varieties farmer's right, trade secret.

Now, we are also clear that if you are a engineering college, if you are a technology related activities are going on, probably production of plant varieties farmer's right may not be a suitable IP for you. If you are like Art College, probably patent may not be the suitable IP for you. Means considering the outcome as a academic institute I am considering this.

Or if you are MSME considering and the production is like various like windows, and then the doors, and all the designs if you are developing, probably industrial design is the focus of your creation. So, we can say that out of this 8 IPs, the focus will be different. One will be the

like a number will be very we can say the high and maybe other IPs maybe the number may be low. And that in every system probably you will observe that particular thing.

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So, for example, if I take a academic institute we are very rich in the copyright. And we are developing lot of lot of copyright in academic institute by default; means we, and then we have a burn convention and then without registration we are getting the right over the that creation.

That and, because of that we can say that we have that lot of copyright probably we are not documenting it. Maybe because of NAAC because of NIRF ranking, then that other ranking international ranking system, we are now like used to do the documentation, but we are not that used to do the documentation.

Now, if you see now, if you apply this framework, and if we I have given in this framework the list of we can say the what can be the subject matter for the copyright. And then we realize, yes, I we have also this we have also this we have also this, and then you will realize that yes, you are really rich in the copyright.

Similarly, considering the patent, probably what happen, that generation is going on, but mining is not going on about the patent. So, that is the issue when you will apply that IPMS model you will come to know that yes, we are doing generation, but we are not protecting it. Or maybe we are not understanding that yes this is also can be protected under the patent act or industrial design registration is possible. So, that particular scenario is there.

Again, I should emphasize here if you are a academic institute, then trademark generation may be comparatively less. I am not excluding the possibility because I have seen in the academic system, we are developing trademark. Because when you develop a product, we may name that product actually. And when you name that product, it is better to do the trademark registration for that particular product.

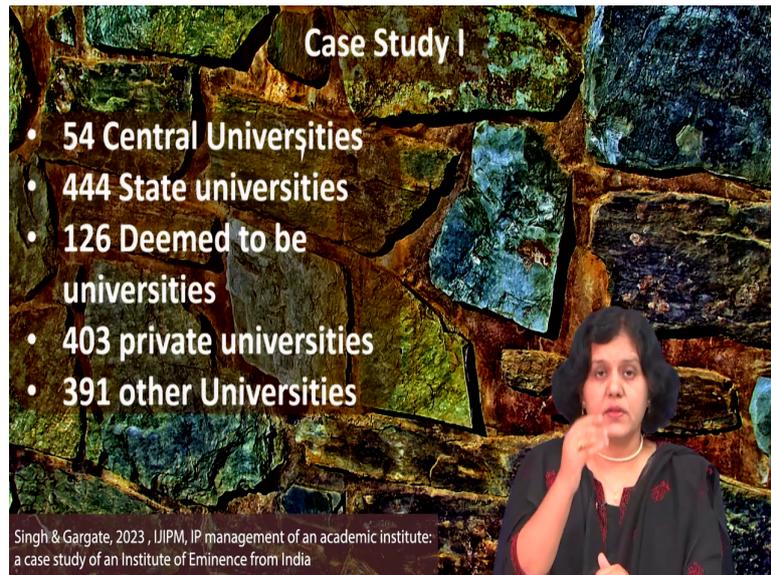
So, we cannot deny the possibility of development of a trademark, but patent and copyright I will say that in academic institute, if it is a technology driven institute, or a science and technology this kind of focus is there, then definitely patent and copyright will be there we have to just tap that particular thing.

So, now if you just check here that what we are saying that yes academic institute we are saying that these are the knowledge houses, just like that knowledge creation if you see. We have seen that we are in knowledge economy and then the scenario, current era, we have already understood that particular kind of that yes, we are in a knowledge economy and knowledge is important, and IP is very important for the protection of that knowledge creation.

And we say that now that academic institutes are really if you see the intellectual capital of academic institute. And if you see the creation, we are a hub of that creation, and the focal

point of various knowledge processes if you see, is like a academic. So much activity is going on, so much knowledge transfer is going on, so much even explicit tacit both kind of a transfer is freely flowing actually in the academic institute, right. And in such scenario, there is there is like a lot of chances of a IP creation.

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Case Study I

- 54 Central Universities
- 444 State universities
- 126 Deemed to be universities
- 403 private universities
- 391 other Universities

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The slide features a woman in a black and red sari speaking in the bottom right corner. The background is a textured, stone-like wall with green and blue hues.

And therefore, when we apply this framework, what will happen? That we will generate lot of IP. And if you see the current scenario in the country, this is like data which is available we say that always 900 plus universities are there. And if you see there, that there is a 54 central universities or 400 plus state universities are there, 126 deemed to be universities are there, 403 private universities are there. And then the other 391 under 12 b that universities are there.

And then we can say if you see the colleges around 55,000. So, you can just say that 50,000 plus colleges are there in the country. Now, if this is a kind of a educational arrangement and if you see the 55,000 colleges and then the 900 plus universities, we are such a rich in intellectual capital considering the academic institute only.

And then, we have we are expecting that lot of IP will be created in the or it is already there, we have to just understand, we have to just tap, and for that this framework is a very important.

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Case Study I

- IIT -highest number of research publications followed by the central universities.
- For quality of research, IIT -highest number of citations and h- index followed by central university

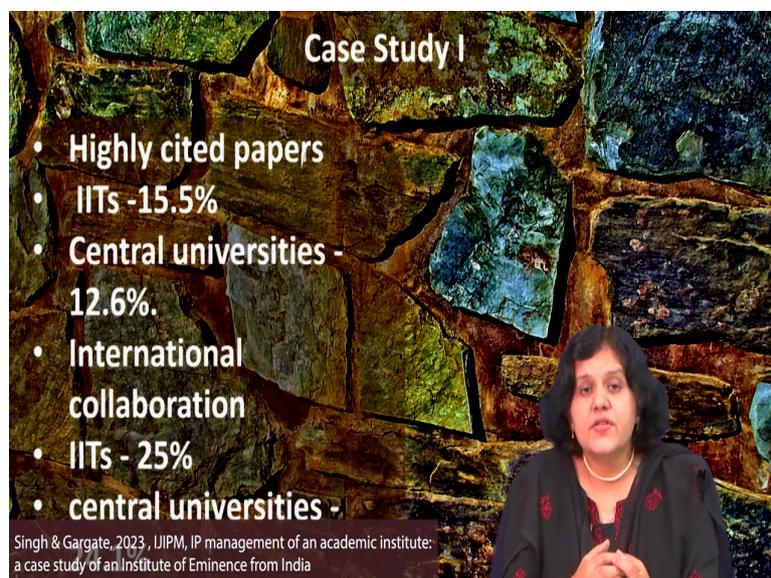
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Now, when we are, we have gone through that if you see the annual data and if you see the research scholar papers it is observed that IIT if you see, research publication I am just now comparing the in within academic system if you see, the scenario IIT highest number of research publications are there. And then, then a Central University I am talking because this

case study is like a focused on the Central University and one of the Institute of Eminence actually, ok.

And then for quality research if you see considering the that high number of highest number of citations actually, and the h-index, again we can say that IIT is in like top and that top ranking is there and then Central University is there. We are like taking one example of Central University and we are taking one example of a Institute of Eminence.

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Case Study I

- Highly cited papers
- IITs -15.5%
- Central universities - 12.6%.
- International collaboration
- IITs - 25%
- central universities -

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The slide features a background of colorful, abstract rock formations. A video inset in the bottom right corner shows a woman with dark hair, wearing a black top with red floral patterns, speaking. The text on the slide is white and bold, with the percentages and university names clearly visible.

Now, if you see the high cited citations actually considering the IITs the percentage of the citation if you see, it is around 15.5 percent and Central University is 12.6 percent.

So, we can say that yes copyright creation wise and then the citation and research-wise the difference is not much actually. And the international collaborations if you see, and that why

it is important international collaborations is like this, the learning, the knowledge transfer, the technology transfer, we can say it may be good if we have some collaborations, ok.

And if you see the scenario, it is like that is also promising we can say in IITs and Central Universities around a 20 to 25 percent.

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Case Study I

Table 1 Listing top 10 patent application filing by universities

S. no.	Name of Institute/University	Application filed
1	Indian Institute of Technology (collectively)	540
2	Amity University	119
3	Saveetha University	118
4	SRM University	81
5	Bharath University	66
6	Shoolini University	62
7	Chandigarh Group of Colleges	58
7	Indian Institute of Science	58
8	G.H. Raisoni College of Engineering; GH Labs and Research Centre	56
9	Sandip Institute of Engineering and Management	46
10	KCG College of Technology	40

Source: Annual report of Office of the controller general of patents, design, and trademarks 2017-2018

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Now, when we see the this data of annual report of patent office of India, you can just check here that top universities which are like filing the patent. And in that consolidated that all IITs together is like a like in the first position we can say, and then there are other universities which are showing that, yes, they have the highest number of a patent filing. There is a top 10 number, top 10 we can say the institutes or universities we can see.

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And considering this actually what we have done? We have considered the institute of excellence, and that is that was established in 51. So, we have considered two that is one that is institute of excellence, and another is a Central University. So, that, so that the comparison will be like yes that and we just want we are not like a in a comparison, in a very positive way we have to take, that yes, we want to see that when we apply this framework whether it is really helping us to give some insights or not.

And we will just go through that framework, once again we have already gone through. But we will just quickly recap and then we will apply or put the data in that particular we can say the framework actually.

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Case Study I

UNDERGRADUATE	POST GRADUATE	RESEARCH
B.Tech. (15 programs) Read More	Dual Degree Read More	
B.Arch, Dual Degree Read More	Joint M.Sc.-Ph.D Read More	

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Now, if you see the central this Institute of Eminence, there are this is the scenario that there are a B tech programs, and there are the so many PG programs are there, MSc and then PhD programs are there. So, that is the kind of a scenario of the Institute of Eminence. You can just check here. And here is the we can say the framework.

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Case Study I Patent

	/per year	Applicatio n	Gran ted	Techno logy market size (%)
A				
Total Patents				
PCT applications				
US applications				
EPO applications				
Indian patent applications				
Any other Country Patent applications				
B				
No. of product patent				
No. of process patent				
C				
Patents expired				
Patents invalidated				
Patents active				
D				
No. of patents licensed				
No. of patents in house commercialized				
No. of patents sold				
No. of patents not commercialized/licensed				

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So, we have already seen that framework and you can just check here the details about the patent. And why these details we have given here in the framework is like that we just know that, ok patent is there, patent filed or not. But and we know that in ranking system some around 15 marks are like dedicated to patent IP actually overall.

And in that patent, we should know that, ok whether it is a conventional patent, whether it is a PCT, whether it is ordinary patent, whether it is like how many countries other than the filing that resident filing is there, how many other countries, the patent is filed, if possible, the market study actually valuation study and all that.

Or if you see the technology related analysis if it is done, all this data we can put it into the table. So, that we can get the idea that in one because it is a bird eye view what we say, we can get the idea overall picture about the patent creation.

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Publication of	Year	Number	Author
Conference paper (N/I)			
Research Paper (N/I)			
Book/Book chapter			
Graphic design			
Charts/poster			
Monographs			
Technical bulletin			
Education CDs			
Video materials			
Manuals and field guides			
Database			
Photographs			
Musical work			
Films			

Copyright Material Human Capital – total number of inventors involved Relational Capital – Funding agency, Industrial collaboration, visitors IPR as Trademark, GI, Industrial Design Patent

Agreements (MTA) Trade Secrets

techno QV market ize %)

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Now, if you move further, you can just check the data which is related to the copyright and then the different examples or different subject matter of copyright is listed here. And then you can you have to just put that particular data.

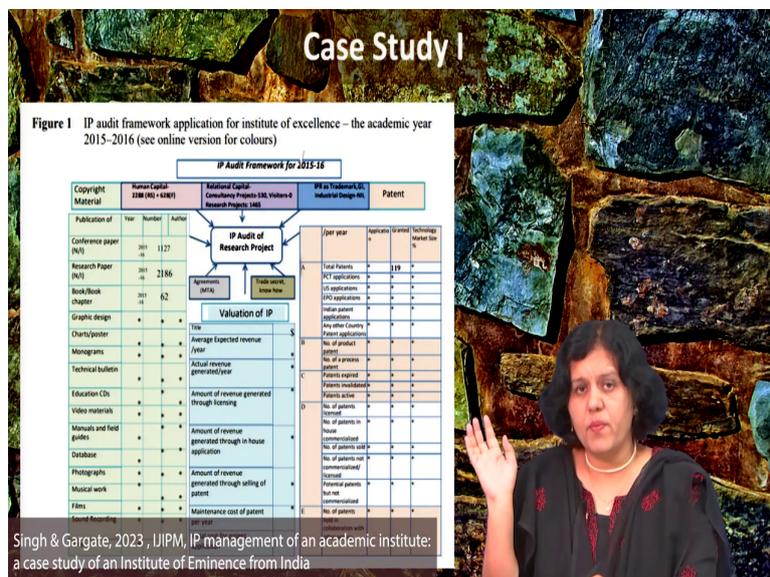
So, what we have done? We have taken this framework and we have just put the data, ok how many research papers are there, conference papers are there, how many national, how many international. All these data we can just put and we can we can get that numbers actually because we are quantifying something.

Now, then, the few other things are there in the framework that other types of like, other than patent copyright then there is a trademark industrial design, then the other types of IP that is there in that.

And then, we have seen that if any agreements are there, and trade secret related some protection. We cannot say that 1, 2, 3, 4 only number we can say about the trade secret, it cannot be disclosed and therefore, we have not like given in the IPR credence also we have like it is a very important type of IP. But the details may not be we cannot document it or document it, but we have to again follow the trade secret that 3 characteristics of trade secrets are there.

We will not go in details of that. In the technology transfer related the discussion when we will start, at that time we will see what is that 3 criteria and for that trade secret.

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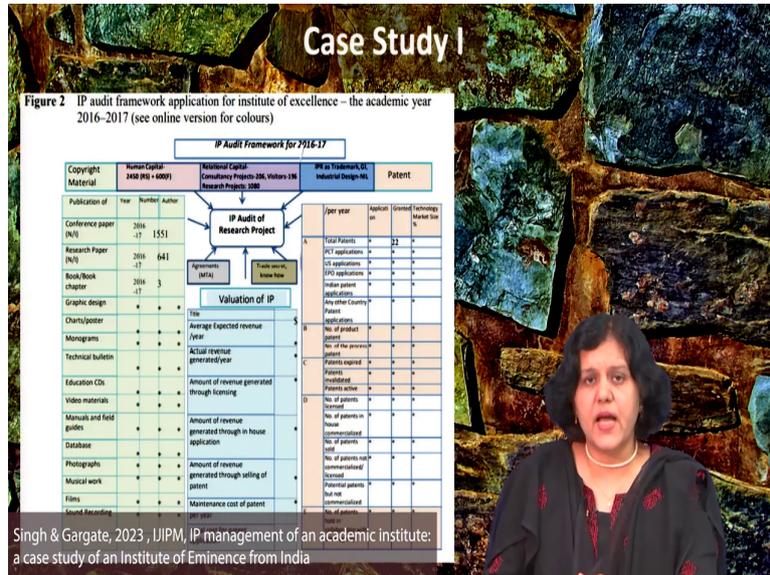
Now, after this like knowing this framework what we have done just check here that we have applied that framework to the Institute of Eminence. And we have just put the data here that how many copyright related that the data and the patent related.

Now, this data we have obviously, secondary sources we have explored. And from secondary sources we have taken this data like a annual report of that particular Institute of Eminence, and the website, they on that website that data is available and we have taken that particular data.

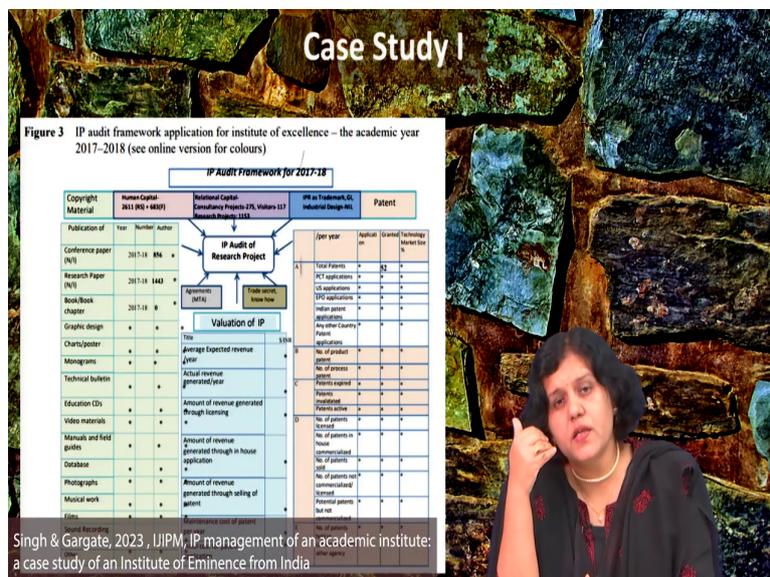
So, again, the disclaimer is like this that there may be other copyright, again we have already said that documentation if it is not there it may not be counted. And therefore, we can say that the annual report is a whole documentation of the creation for that particular year and we have relied on that secondary data here. So, there may be possibility that there is a lot of

creation, but that may not be documented. So, that possibility is absolutely there that we cannot deny that particular possibility.

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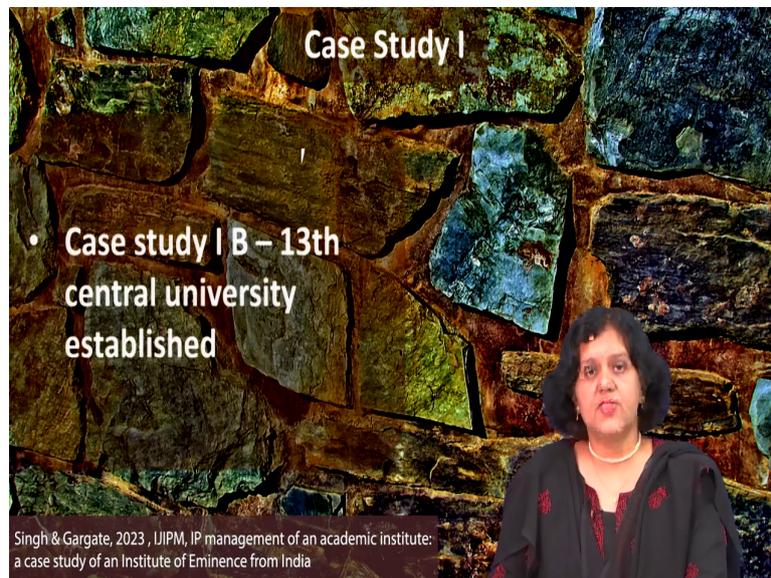
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So, this is the data of the 3 frameworks you can just check here. The first you have seen. This is the next, that is another framework, and then the next framework. So, what we have done? We have applied it 3 consecutive years, we have applied this data. Now, that when we will just go through this 3 years progress whatever we have to see. So, we have applied it to the consecutive 3 years the data is applied.

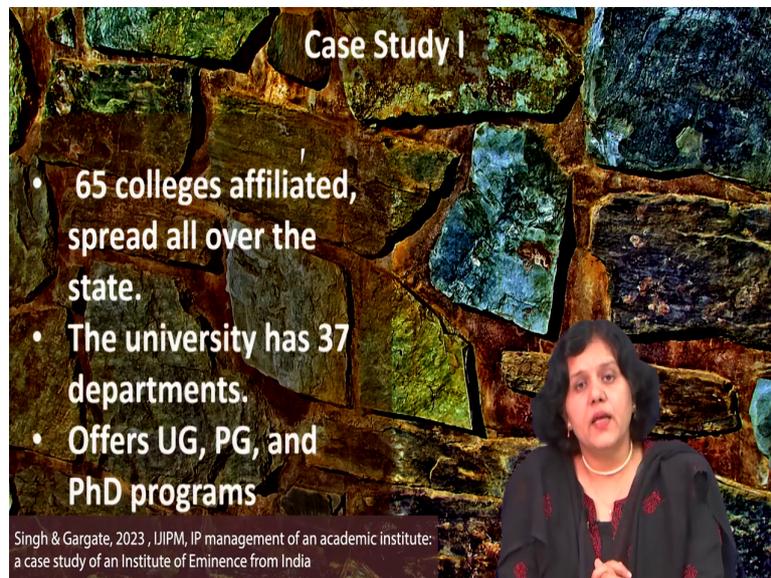
So, now, how you can do that thing? Suppose, it is like today 23. So, maybe you can get the annual report of 21-22. So, you can just take a 3 years back from that 21-22, 20-21 and 19-20. So, last that 3 years data you can get easily that annual reports are easily available, and considering that annual reports the framework can be updated.

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Now, the next that is this is for the Institute of Eminence. So, let us move to the next like a Central University and if you see the Central University, this Central University is like a 13th, one-third 13.

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Case Study I

- 65 colleges affiliated, spread all over the state.
- The university has 37 departments.
- Offers UG, PG, and PhD programs

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So, 13th university, Central University established. And you can just check here that this Central University have a 65 colleges which are affiliated and it is spread across the state. Then, total 37 departments. And it offers again UG, PG and a PhD programs. So, that is the scenario, ok.

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Case Study I

Figure 4 IP audit framework application for central university – the academic year 2015-2016
(see online version for colours)

Publication of	Year	Number	Center
Conference paper (ICR)	2015-16	26	
Research Paper (IPV)	2015-16	260	
Book/Book Chapter	2015-16	20	
Graphic design			
Characterization			
Micrograms			
Technical bulletin			
Education CDs			
Videos materials			
Manuals and hand guides			
Textbook			
Photography			
Historical work			
Others			
Sound Recording			

Year	Number of patents	Revenue	Cost
2015-16			
2016-17			
2017-18			
2018-19			
2019-20			
2020-21			
2021-22			
2022-23			
2023-24			
2024-25			
2025-26			
2026-27			
2027-28			
2028-29			
2029-30			

IP Audit Framework for 2015-16
 Copyright Material: Research articles-100%, Non-research articles-75%, Patent
 IP Audit of Research Project
 Valuation of IP
 Expected revenue (Year)
 Actual revenue generated/year
 Amount of revenue generated through licensing
 Amount of revenue generated through selling of patent
 Maintenance cost of patent per year

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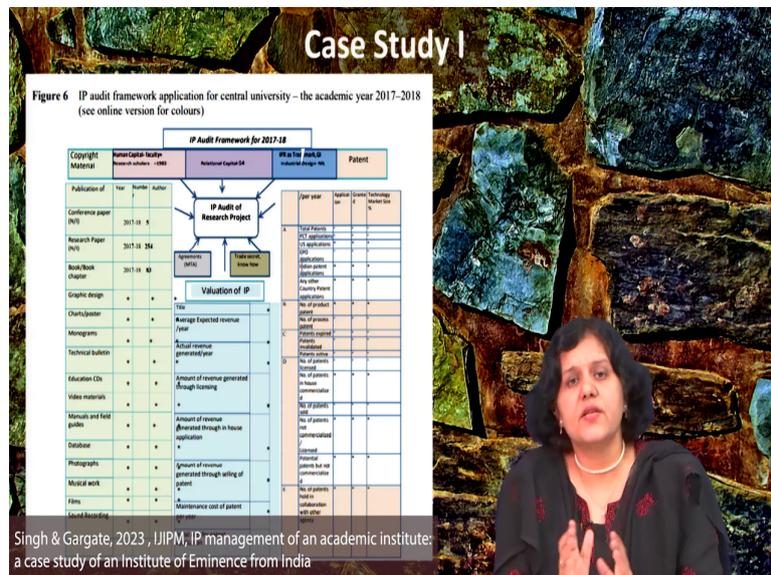
Case Study I

Figure 5 IP audit framework application for central university – the academic year 2016-2017
(see online version for colours)

Copyright Material		Patent	
Year	Author	Year	Inventor
Publication of articles		Year	Inventor
Conference paper (NFI)		Year	Inventor
Research Paper (NFI)		Year	Inventor
Book/Review		Year	Inventor
Chapter		Year	Inventor
Graphic design		Year	Inventor
Characterization		Year	Inventor
Management		Year	Inventor
Technical Solution		Year	Inventor
Education CDs		Year	Inventor
Video materials		Year	Inventor
Manuals and field guides		Year	Inventor
Database		Year	Inventor
Photographs		Year	Inventor
Musical work		Year	Inventor
Other		Year	Inventor
Brand/Marketing		Year	Inventor

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And if you see the framework which is applied this is for 15-16, that is 2015-16 data, then this is the 16-17 actually, and then the next data that is of a 17 and 18 like 15-16, 16-17 and 17-18.

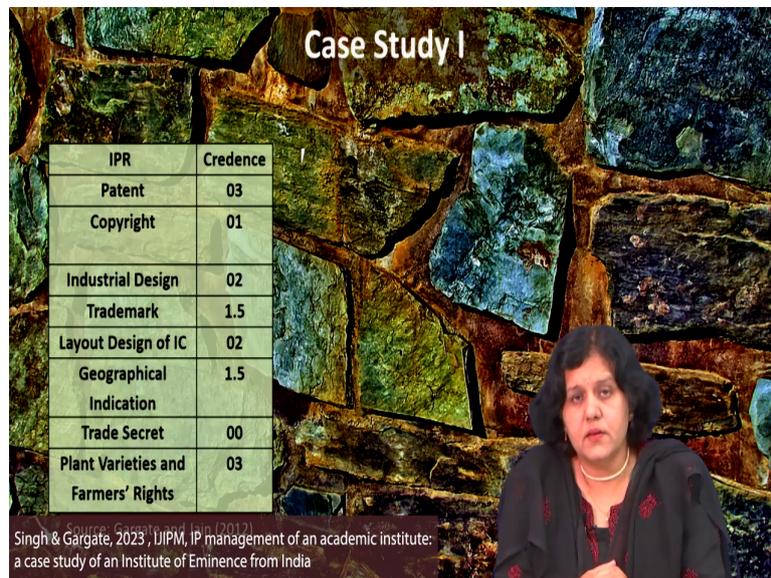
So, 3 consecutive years we have considered and we have taken the again the secondary data you can say, and then this framework is updated. And now what we have to do? We have to check the IPR credence.

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Case Study I

IPR	Credence
Patent	03
Copyright	01
Industrial Design	02
Trademark	1.5
Layout Design of IC	02
Geographical Indication	1.5
Trade Secret	00
Plant Varieties and Farmers' Rights	03

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Now, you know that how to calculate the IPR credence we have used this reference. And here the credence like for patent it is 3 or for copyright 1. So, that we have already discussed in the earlier session. So, now what we will do? We will apply this credence to the creation, that is the IP creation, and we will just check the score.

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Case Study I

IPR Score

IPR	Credence
Patent - 3	03
Copyright- 10	01
Industrial Design-2	02
Trademark-1	1.5

$(3 \times 3) + (10 \times 1) + (2 \times 2) + (1 \times 1.5)$
 $9 + 10 + 4 + 1.5$
24.5
IPR SCORE- 24.5

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And if you see here how to calculate that score, we have already shared this with you. That if it is a patent like 3, and that for that credence it is a 3 and if there is suppose like 3 patent are there, then 3 into 3, 9 and such kind of a calculation we are doing. So, you can just check here this calculation, ok.

So, for patent the calculation, then next the copyright related calculation is there, and you can just do the calculation according to this, and then the score can be calculated.

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Case Study I

IoE

- 2015–2016, the copyright output is (3375×1) , and the patent is $(119 \times 3) = 3732$

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Now, let us move further and we will just check that how we can that when we apply this grid and this IPR credence calculation to IoE, what is the scenario.

So, this is like a Institute of Eminence 2015-16, and the copyright output if you see it is something around 3375 and that into 1, and the patent if you see, it is a 119 that into 3 as patent credence we have like as per the that reference, it is a 3. And total if you take of that it is coming to the 3732. So, we can say that the score IPR credence when we apply the score, IP score of Institute of Eminence in 2015-16 is a 3732, ok.

I hope this is like how we have calculated is very clear. It is like a 15-16 data and this is the calculation. Now, and again, I can just clarify the patent and copyright data was available, so

we are able to apply that thing. But other data related to trademark or industrial design, we are not able to get that data.

And as it is not documented, so we have we cannot rely on any other source. If it is documented, if it is available then only, we can consider for the calculation. So, we have with availability of this data, we have calculated this particular 3732. Now, if you move further and if you check the next that is 16-17 data.

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Case Study I

IoE

- 2016–2017, the copyright output (2195*1) and patent is (22*3) = 2261

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Now, the copyright outcome of that year was like 2195, little reduced, and the patent is like a 22 and the score of that Institute of Eminence in 16-17 it came down to 2261. So, that was the scenario.

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Case Study I

loE

- 2017-2018, the copyright output is (2299*1), and the patent is (52*3) = 2455

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Now, if you see the third year like the under consideration that is the 17-18 data, you can just check that the copyright outcome was 2299. So, 2299 into 1, and then the patent like 52, the number is increased and the total score like little gone up with a 2455 that is the scenario. And we can just check here that as I pair the credence is more to the patent, the one patent if it is added, the number goes up immediately.

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Case Study I

Central university
2015-2016, the
copyright output is
(344*1) and patent is
(0*3) = 344

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So, let us move to the next that is Central University. And if you see the Central University data, 2015 and 2016 if you see, the data shows that the copyright outcome is a 344, 344 into 1 and patent data is like a 0 and therefore, the total we can say the IPR IP score is like a 344.

So, probability is like that, again the disclaimer that there may be patent, but it is not kind of recorded or documented and that might be the reason we cannot deny the filing of a patent during that 2015-16. But we can say that this is the scenario as per the data, secondary data which is available. And if you; that means, compare it with the IoE, this is the kind of a scenario 15-16 it was like something 3000 plus and here it is a 300 plus. That is the scenario.

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Case Study I

Central university
2016- 2017 the
copyright output
(318*1) and patent is
(0*3) = 318

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Now, if you see the 16-17 year the scenario is like a 318 and patent is like again no data available, so 0 and therefore, 318 actually.

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Case Study I

Central university
2017- 2018, the
copyright output is
(342*1), and the
patent is $(0*3) = 342$

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And if you move further and if you check 17-18 data, it is again like a 342, and then the patent like a 342. So, as patent is not there, that is the scenario.

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Case Study I

Table 3 IP score for institute of excellence/

Year	Score
2015-2016	3,732
2016-2017	2,261
2017-2018	2,455

Table 4 IP score for central university

Year	Score
2015-2016	344
2016-2017	318
2017-2018	342

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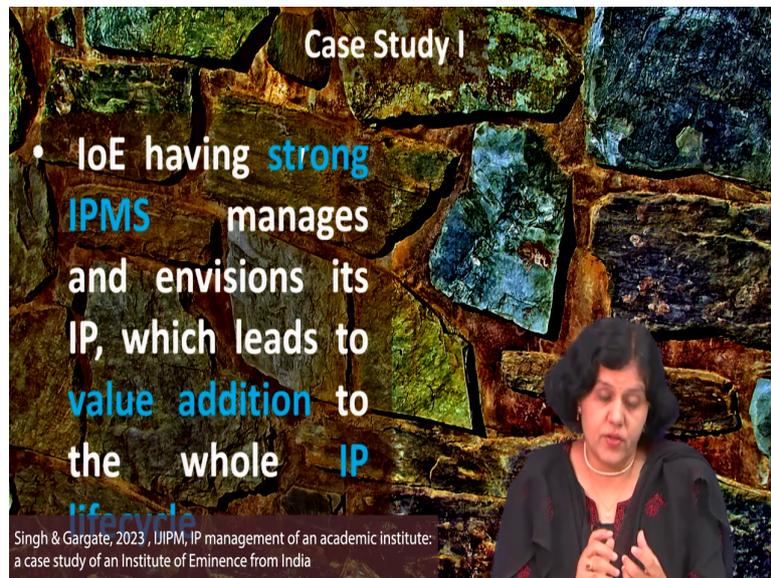
Now, if we compare this here you can just check here the two tables, and you can just check the table numbers as table 3, table 4. Because what we have done, this is the paper which is available on the it is published paper. So, what we have done, that we have in the reading folder we have given you the link of this paper and it for easy reference of you we have just not changed the table number. So, this is the table number as per that published paper, ok.

So, this table 3 and table 4 if you check, you can just check here, that the comparative kind of a thing, that IoE, the performance that is IP score and then the below that is the Central University the IP score is given, ok.

So, what happen that we have just applied the framework, we have put the number, we that credence IP credence is there, that standard table is available. We have just multiplied it, and

the number is like here to know the IP score of that particular institute, ok. So, this is the we can say the scenario of IoE and this is the scenario of a Central University.

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Now, if you see that here what the what is the scenario is like that, this IoE is having we can say the now we can say, the IPMS of that IoE, we can say that and there is another paper actually which is sharing the complete IP management system of this IoE.

So, probably that will be helpful for anybody who is interested to establish the we can say the IP management system or want to improve the IP management system, probably that publication may be helpful, that ok how exactly the IP management is happening in this IoE. And we will share the link for that paper also. We have published that paper and that link we will share.

So, this IoE have that the we can say the IP management system of that IoE is like that is managing and the envisions that IP which leads to we can say that the creation of more and more IP and whole life cycle of IP life cycle is managed very well probably because of that IPMS.

And you can just go through that IPMS, because we are not sharing that particular IPMS system here, probably because considering the time we are not able to share it. But we have given the link of that particular paper. Maybe that will be helpful.

And you can just see the number change that 3000 plus and 300 plus, big gap is there. And if we see that how exactly the IoE is doing, then probably that will be definitely helpful to implement, ok.

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Now, again the question that is quiz time. So, what exactly we are expecting now is like this, that framework is there, already in detail in the earlier session we have given the details of that framework.

And in this session, we have given the two we can say the academic institutes we have considered. We have applied that framework, and we have given the how exactly we have calculated that particular IP score. And you can check the difference.

And again, we have like the difference is very clear. And we again, and we are not comparing we just have want to apply that framework to check where exactly we are we are like considering IP score. And that is like helpful for us to improve further, yes this is like the possibility. We are just now here, and then, we have given you the model.

And again, I am sharing with you the paper which is of published related to Institute of Eminence, IP management system. Again, I am saying that this is not a full proof IP management system the model is already shared. So, this too we can say may be helpful for you to implement the IP management system.

And then, you just you can just give the time, ok 1 year, 2 year time, target can be set and then, we can see that yes now we are at this stage. We understood where exactly we are standing. We will use that models. We will implement it. And we will move further. And now it will be very easy because you need not to go anywhere that or you will not require any expert for that, you yourself can do this activity.

Now, if you are a student I will suggest, you that in your institute probably you can as a quiz actually I am saying this thing, that if you are a faculty member and if you are associated with IP that internal IQ system and institute innovation sale, if we if you are associated with that probably this will be very helpful to you. And you just check out and you can write down the score, and maybe you can set your vision for the next 2 years, that how you can move.

If you are a student, I will just say that do not think about a whole academic unit, means whole college, you just check your department where you are associated. And or you can just take one example of in your department that in your college only, take a one department, and you just check how many patents are there how many copyright is there.

You just note down that thing. Create a documented we can say the that book or something like that considering the copyright especially. And now I apply the framework and just write down in the comment box what is the score of that particular department, ok.

And if you are a group of friends from different departments, you can do it, and then you can have your institute or your academic that whole college you can just calculate the what is the IP score of your college or your institute wherever you are associated.

If you are a MSME, again I will suggest you that the scenario may be like that you may be technology intensive, and then your score will be you just consider according to compare it; means I will suggest you that come sometimes comparison is good to know that where exactly we stand.

So, maybe; or you can just see where exactly what is your score and you can set the next target applying this framework, ok. So, that way you can just check. Again, research organization same thing I will suggest you, that you can just check that if you apply this framework what is the score of that particular; again, the unit or that research unit whatever is there you can just check out that particular thing.

So, just write down the apply it and just write down that, if you could you are comfortable again, I will say, you can just write down in the comment box. Or you can maybe you can there is a possibility that when you have going through these exercises, applying that framework, you may have something that no this framework little bit changes we can do or if something can be added this framework will be better.

So, again, we are open for that. Because once we have to improve this; because once we improve this framework this will be helpful to everybody who are using it. So, you can give the suggestions in the discussion forum about that. We are most we can welcome for that situations. And I hope that this framework and then the application of framework, and this case study is like example and it will be easier now for you to apply the framework.

So, we do not want only to give the like theoretical kind of understanding of the subject. This is like a practically, we can say this case studies of like a practical application of that particular framework. So, this way once we go now onwards, we are giving you the case studies, and we will give the practical application of that theoretical whatever knowledge we are getting, we are applying that.

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The slide is titled "Case Study I" and features a background of a stone wall. It includes the following elements:

- NPTEL logo
- Swamyam logo
- References:
 - <https://www.wipo.int/portal>
 - <http://www.ipindia.nic.in/>
 - <https://www.google.com/>

A woman is visible in the bottom right corner of the slide, appearing to be the presenter.

I guess this is helpful to you. And with this, we are coming to the end of this session. See you in the next session.

Thank you.