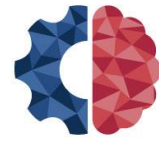




MHRD



MHRD'S
INNOVATION CELL
(GOVERNMENT OF INDIA)



INSTITUTION'S
INNOVATION
COUNCIL
(Ministry of HRD Initiative)

Orientation cum Training Session

Session 1: Orientation and Adoption of NISP at HEI Level

**National INNOVATION and STARTUP
Policy 2019 for Students and Faculty**
A Guiding Framework for Higher Education Institutions



Ministry of Human
Resources Development
Government of India

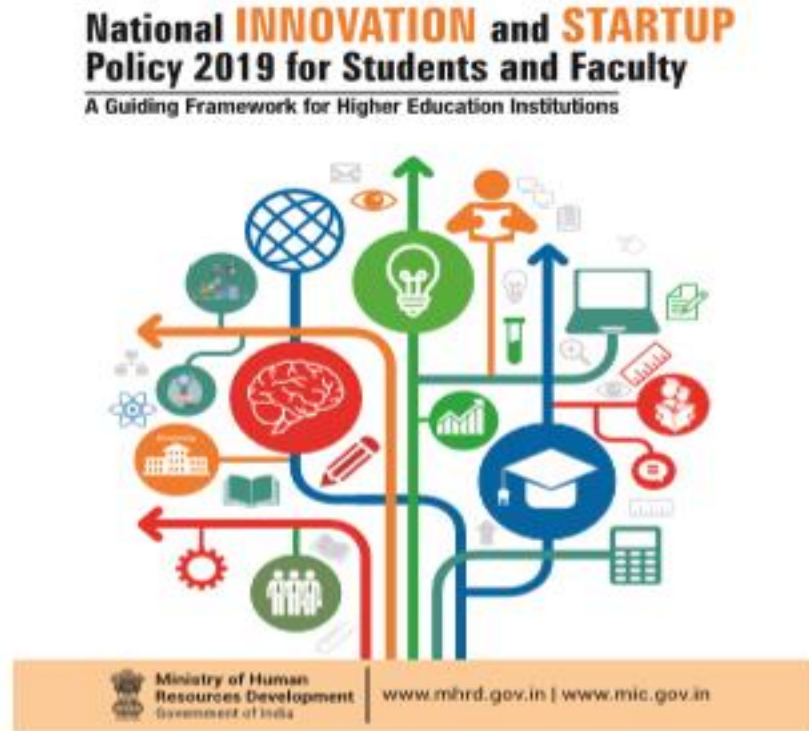
www.mhrd.gov.in | www.mic.gov.in

Date: 7th August 2020; Time: 03.00 PM – 5:00 PM



Orientation cum Training Session

Session 1: Orientation and Adoption of NISP at HEI Level



Session Resource Persons:



Dr. Abhay Jere
Chief Innovation Officer MHRD's
Innovation Cell, AICTE, New Delhi



Dipan Sahu
Asst. Innovation Director
National Coordinator – ARIIA, IIC & NISP
MHRD's Innovation Cell, AICTE, New Delhi

Date: 7th August 2020; Time: 03.00 PM – 5:00 PM



Learning Objectives

- To Get Sensitized and Oriented on Importance of Entrepreneurship, Entrepreneurial Thinking & Approaches
- To Broaden our Understand on Policy Design, Logic and Performance Indicators
- To Build Our Vision on Design & Development of a Result Oriented I&E Policy/Action Plan at HEI Level



Session Plan (03.00 PM – 05:00 PM)

- ❖ Understanding The Policy Framework– Entrepreneurship, Innovation & Economic Development
(03.15 PM to 03.30 PM)
- ❖ Innovation & Entrepreneurship: Global & India Context & Measuring Frameworks
(03.30 PM to 03.45 PM)
- ❖ Understanding Market Failure & Govt. Intervention – Problem Tree & Policy Logics
(03.45 PM to 04.00 PM)
- ❖ National Innovation and Startup Policy – Dimensions & Thrust Areas for HEIs to Implement
(04.15 PM to 04.30 PM)
- ❖ Expected Outcomes & likely impacts - Setting up Key Performance Indicator
(04.30 PM to 04.45 PM)
- ❖ Question and Answers Session
(04:45 PM to 05:00 PM)



Smart India Hackathon



Institutions' Innovation Council



**Atal Ranking of Institutions on
Innovation Achievements**

NISP

**National Innovation and Start-up
Policy 2019 for Students & Faculty**

Hackathon

International Hackathons

Initiatives of MHRD's Innovation Cell



**MHRD'S
INNOVATION CELL
(GOVERNMENT OF INDIA)**



1. Understanding Policy Framework– Entrepreneurship, Innovation & Economic Development

- Innovation Types
- Entrepreneurship Traits
- Entrepreneurship & Economic Growth
- Unleashing Entrepreneurship
- Startup Development Phases and Requirements

Entrepreneurship – Theories & Concepts

- The word entrepreneur itself derives from the French verb **entreprendre**, meaning “**to undertake**”.
- In **1723**, Irish–French economist Richard Cantillon coined the term Entrepreneur (**self-employment and Risk takers**)
- in **1890**, Alfred Marshall & Frank Knight have added **Leadership** and recognized the need of entrepreneurship through organization, as a **fourth factor of production**.

Goods & Services = f (Land, labour, Capital, Entrepreneur)

Mainstreaming Entrepreneurship

- **In 1934**, Joseph Schumpeter's modern definition of an entrepreneur; added **Innovation**; less on Risk Takers

“Entrepreneurs as **innovators** who implement **entrepreneurial change** within markets by **identifying market opportunities** and using **innovative approaches** to exploit them”

- **5 manifestations** of Entrepreneurial Changes

- Introduction of a *new (or improved) Good & Services*
- Introduction of a *new method of production*
- Opening of a *new market*
- Exploitation of a *new source of supply*
- *Re-engineering*/organization of business *management processes*.

Mainstreaming Entrepreneurship

- In **1985, Peter Drucker** refined the definition of entrepreneurship

“Not merely the creation of a new organization, also include any individual who starts a new business venture is an entrepreneur;
even those that fail to make a profit”

- Entrepreneurs Vs Businessmen

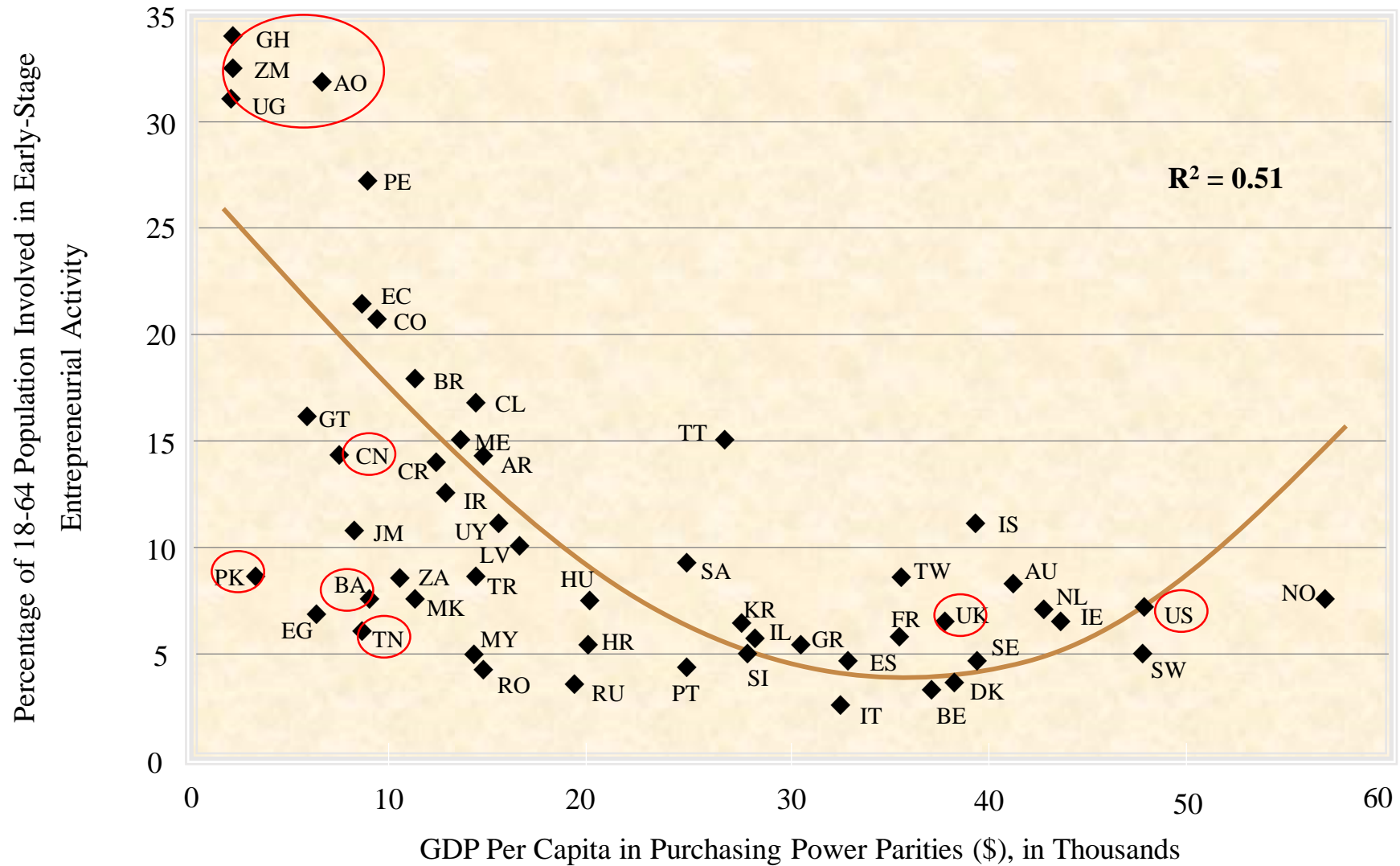
Key Entrepreneurial Characteristics

- **Motivation:** The enterprising person is highly motivated, energetic, and has a capacity for hard work.
- **Creative tendency:** The enterprising person is restless with ideas, has an imaginative approach to solving problems, and tends to see life in a different way to others.
- **Calculated risk-taking:** The enterprising person is opportunistic and seeks information and expertise to evaluate if it is worth pursuing the opportunity which will usually involve some risk.
- **Locus of control:** The enterprising person has an internal rather than external locus of control which means that they believe they have control over their own destiny and make their own 'luck'.

Productive Vs Unproductive Entrepreneurship

- **Productive entrepreneurship** refers to Schumpeter's five types of innovation – introducing new products, new processes, new markets, new supplies and new organizations (William Baumol).
- **Unproductive entrepreneurship** refers to rent seeking activity such as lobbying government for favors, taking legal actions to harm competitors or conducting military activity
- Countries with cultures and institutions that reward unproductive entrepreneurship will channel more of their entrepreneurial efforts to rent-seeking activities, and consequently the economies will perform poorly
- How the entrepreneur acts at a given time and place depends heavily on the rules of the game or the *reward structure in the economy*
- Thus, the allocation of entrepreneurship between productive and unproductive activities can have a *profound effect on the innovativeness and subsequent performance of the economy*

Relationship Between Entrepreneurship and Economic Development

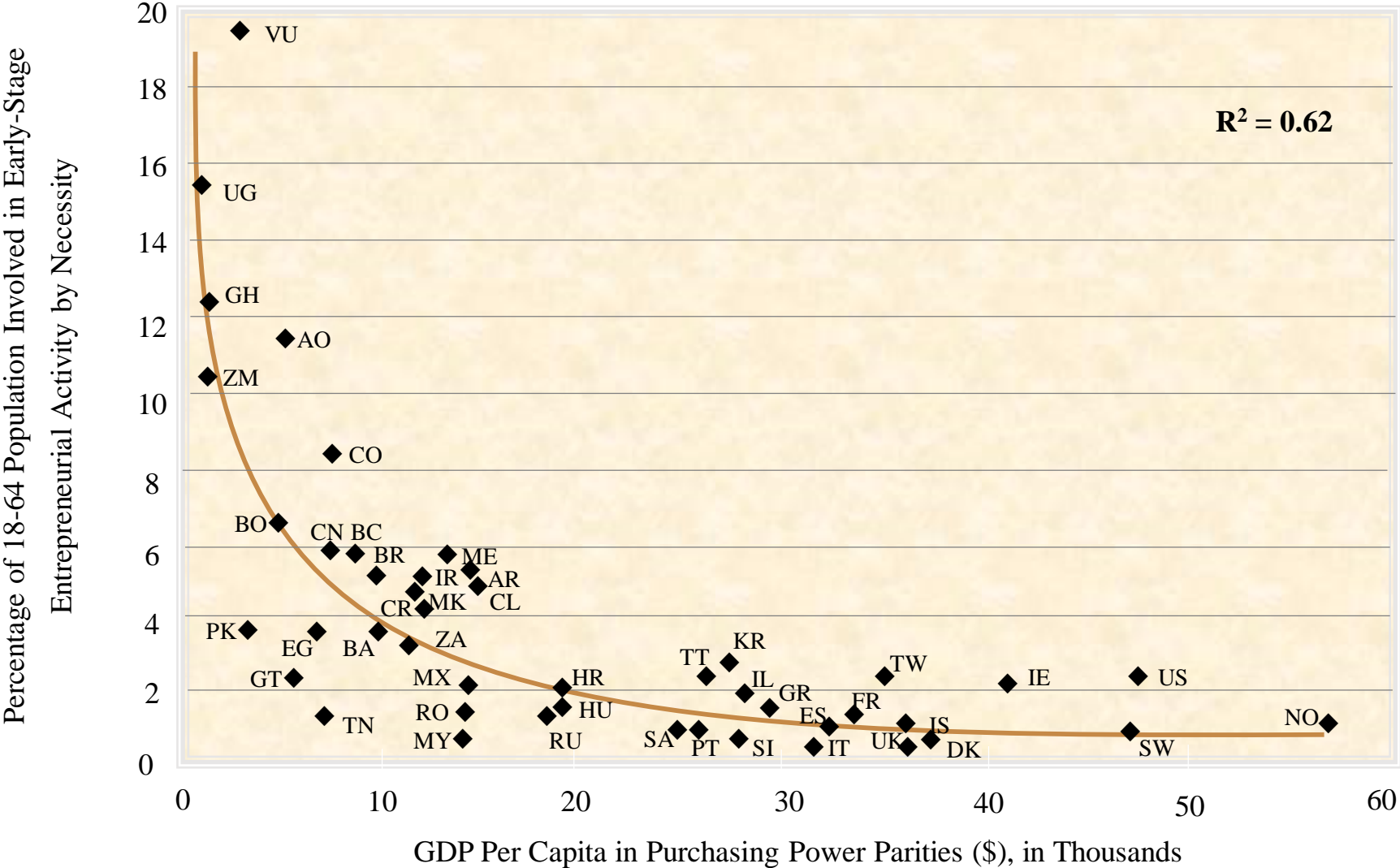


Source: GEM

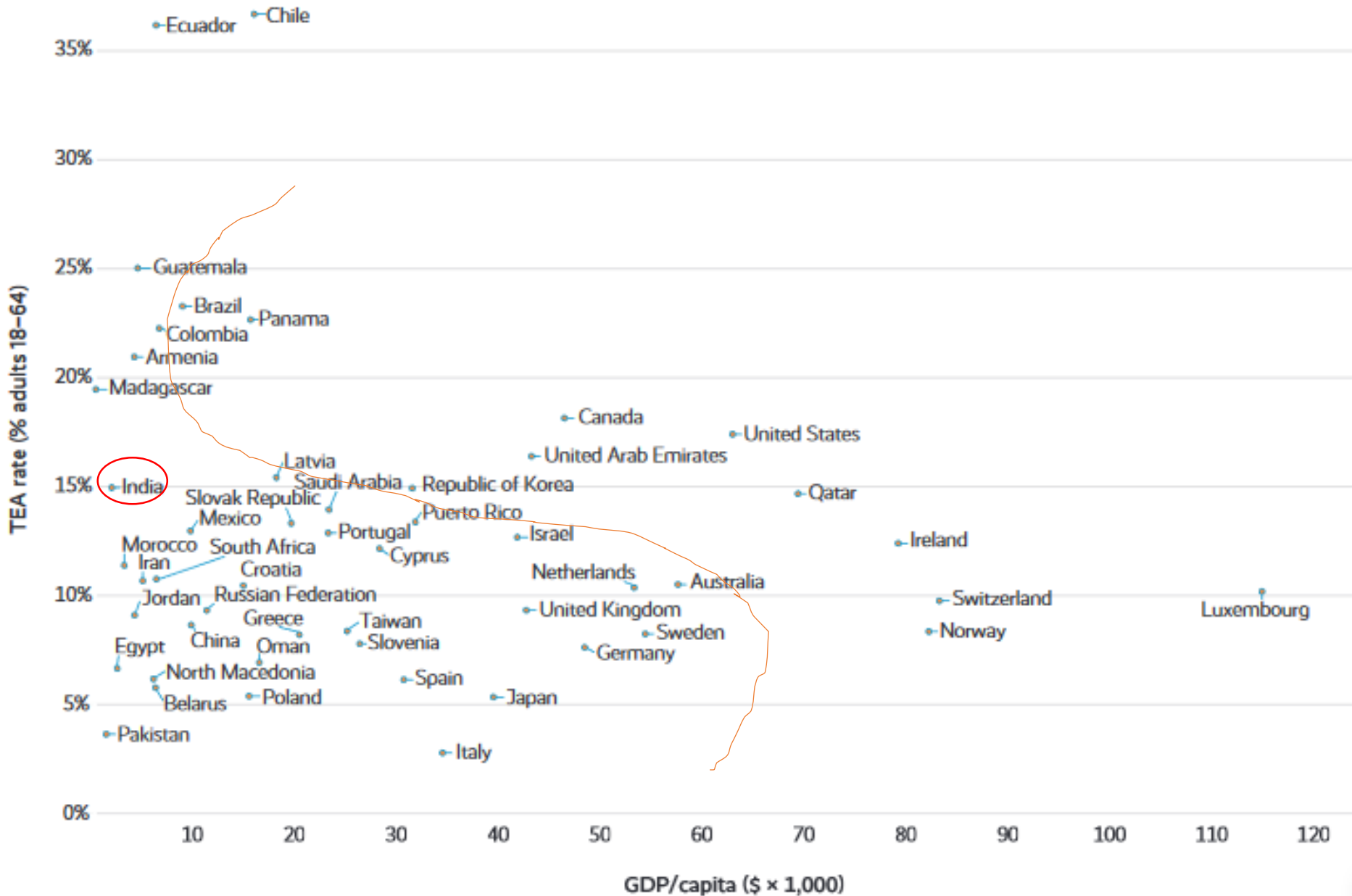
Total Early-Stage Entrepreneurial Activity Rates and Per Capita GDP 2010

India 9,026.867 PPP Intl \$ in Mar 2020

Necessity-Based Early-Stage Entrepreneurial Activity and Per Capita GDP 2010



Source: GEM



TEA rates and GDP/capita

Source: GEM Adult Population Survey, 2019 and World Economic Forum www.weforum.org/gcr

Entrepreneurship and Economic Growth

- Not all types of entrepreneurship are good for economic development
- Small and micro firms are not necessarily synonymous with entrepreneurship: many of them do not focus innovation and contribute significantly to economic growth and development
- Low quality and informal entrepreneurship may have negative externalities
- The presence of growth-oriented entrepreneurs seems to be more important than general entrepreneurship
- Unleashing Productive Entrepreneurship: Private Sector Development is Necessary

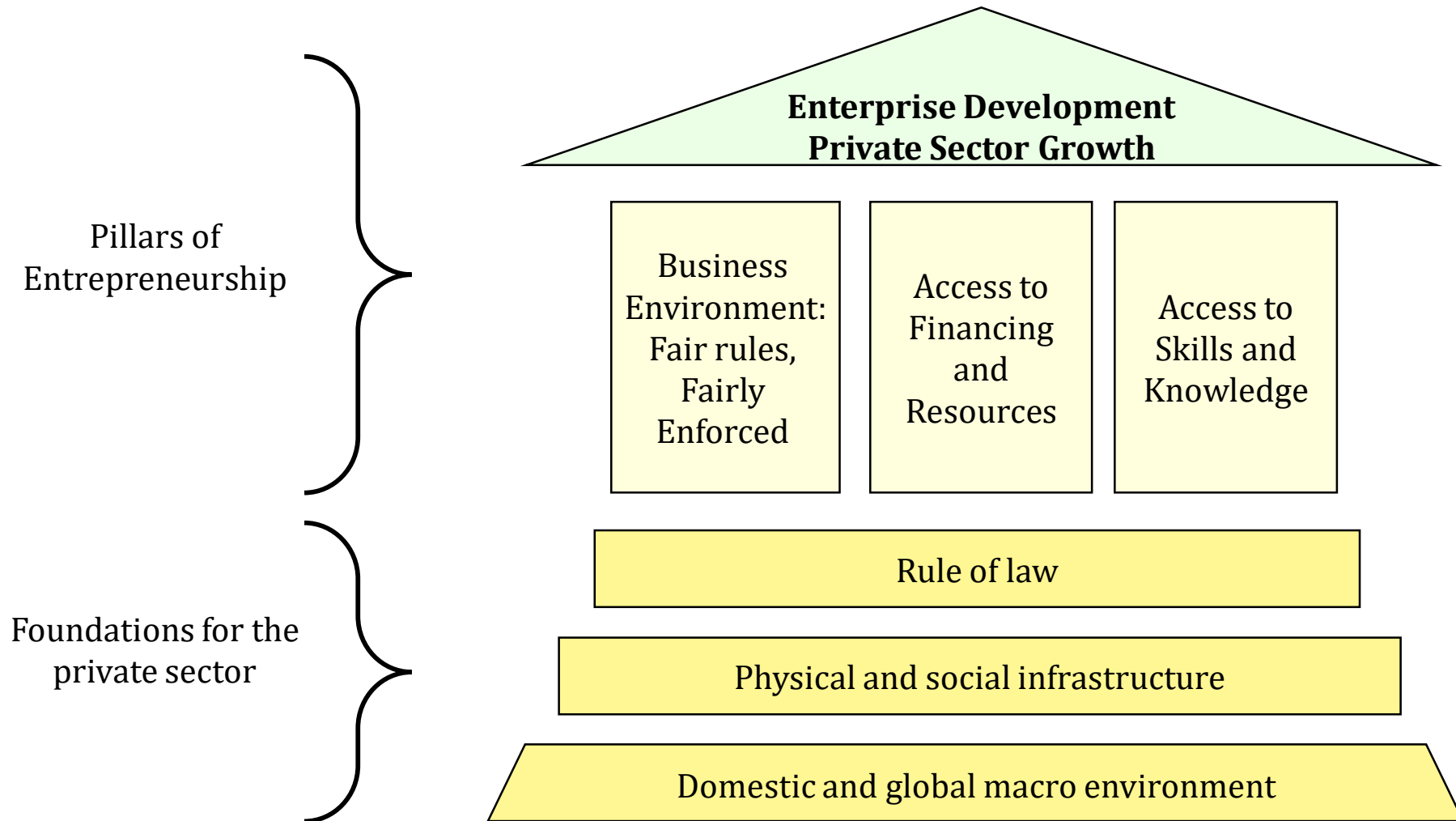
Role of Entrepreneur & Entrepreneurship in Economic Development

- Promotes Capital Formation:
- Creates Large-Scale Employment Opportunities:
- Promotes Balanced Regional Development:
- Reduces Concentration of Economic Power:
- Wealth Creation and Distribution:
- Increasing Gross National Product and Per Capita Income:
- Improvement in the Standard of Living:
- Promotes Country's Export Trade:
- Induces Backward and Forward Linkages:
- Facilitates Overall Development:

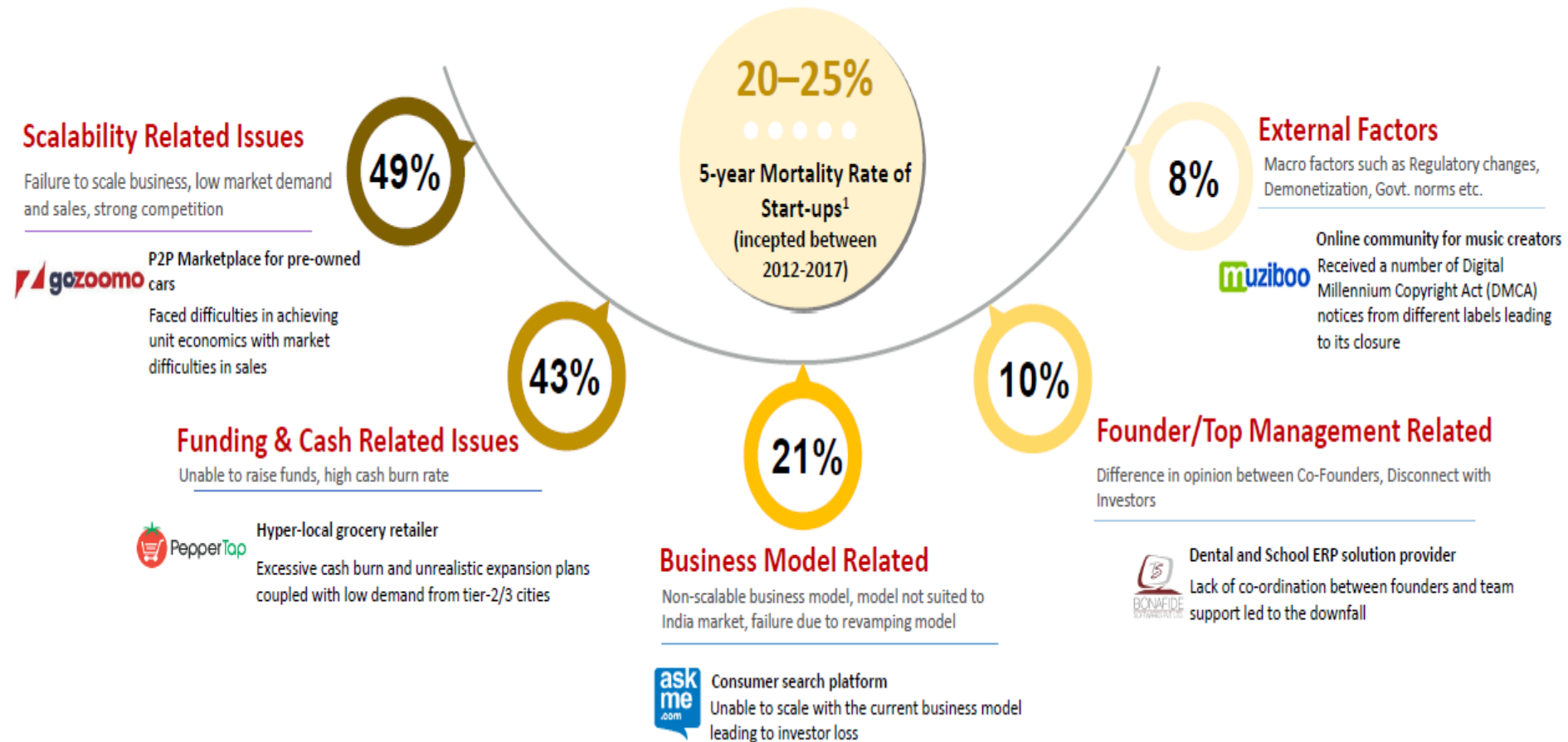
Unleashing Entrepreneurship: Private Sector Development

- Development of Entrepreneurship is not always spontaneous.
- The entrepreneurship is motivated and affected by the following factors
 - Economic environment
 - Social environment
 - **Type of Skill and technical knowledge**
 - Family background
 - Religious and cultural affiliation
 - Financial condition
 - **Availability of supporting facilities**
 - Psychological
 - **Government policy and Political environment**
- Type of education prevailing in the country is also an important factor for entrepreneurship development.
- In most of the developed countries, the educational system is designed in such a way that it creates more jobs creators.

Foundations for the Private Sector and Pillars of Entrepreneurship

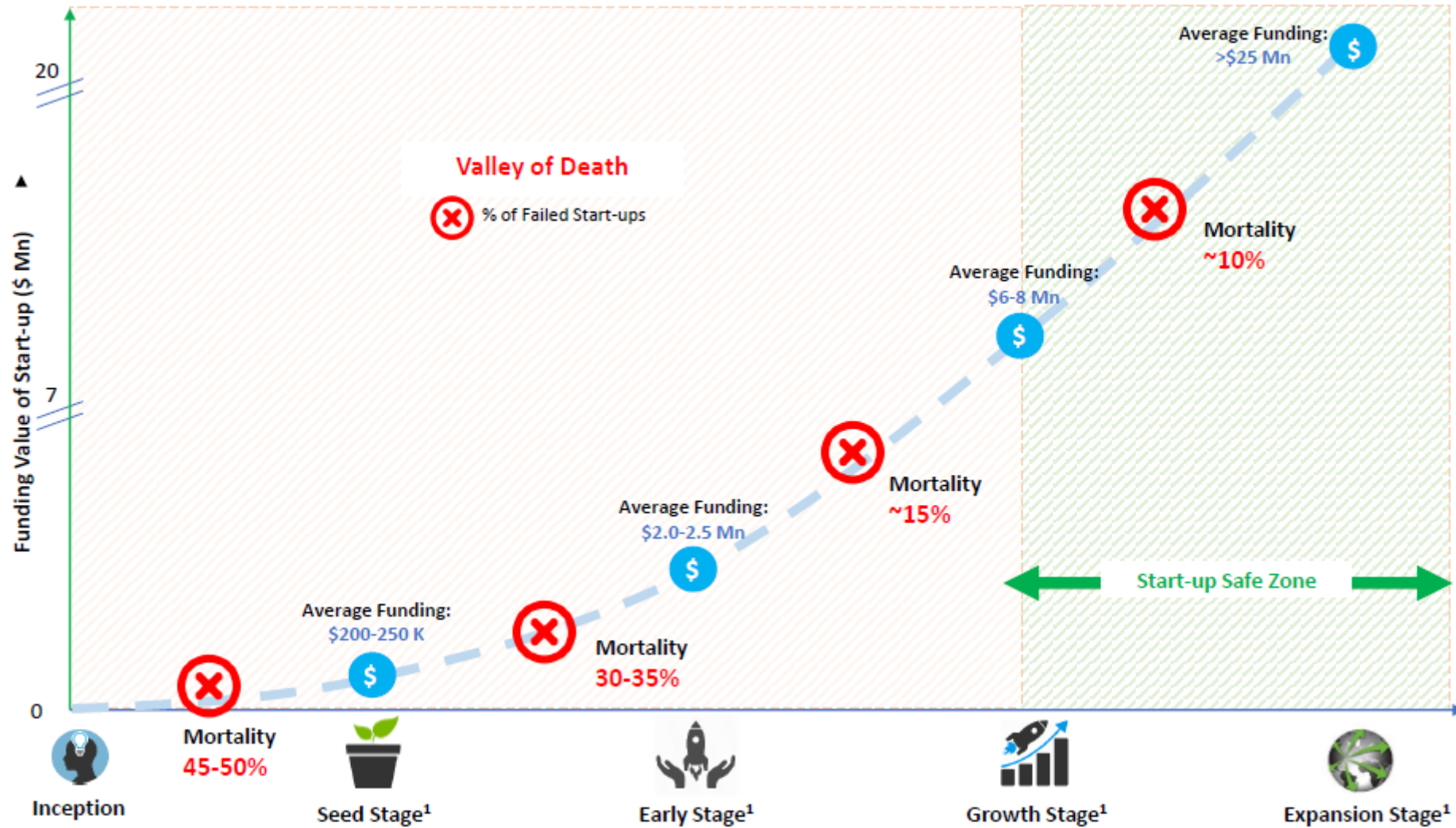


Start-up Mortality



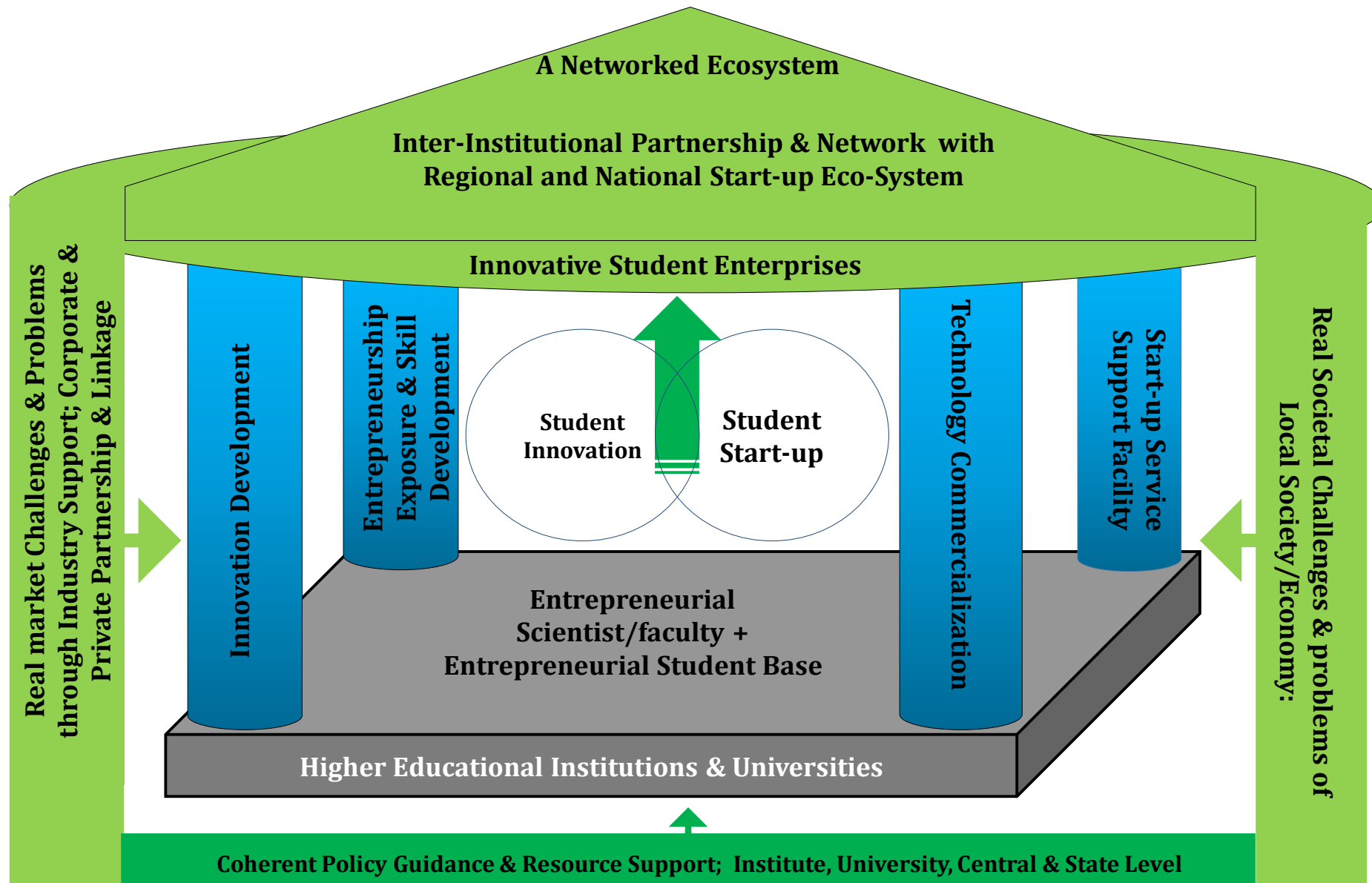
- Majority of Start-ups dying within 1.6-1.9 years of Inceptions
- 55% of failed start-ups have received funding
- 20% failed start-ups graduated from Incubators/Accelerators

Start-up Mortality

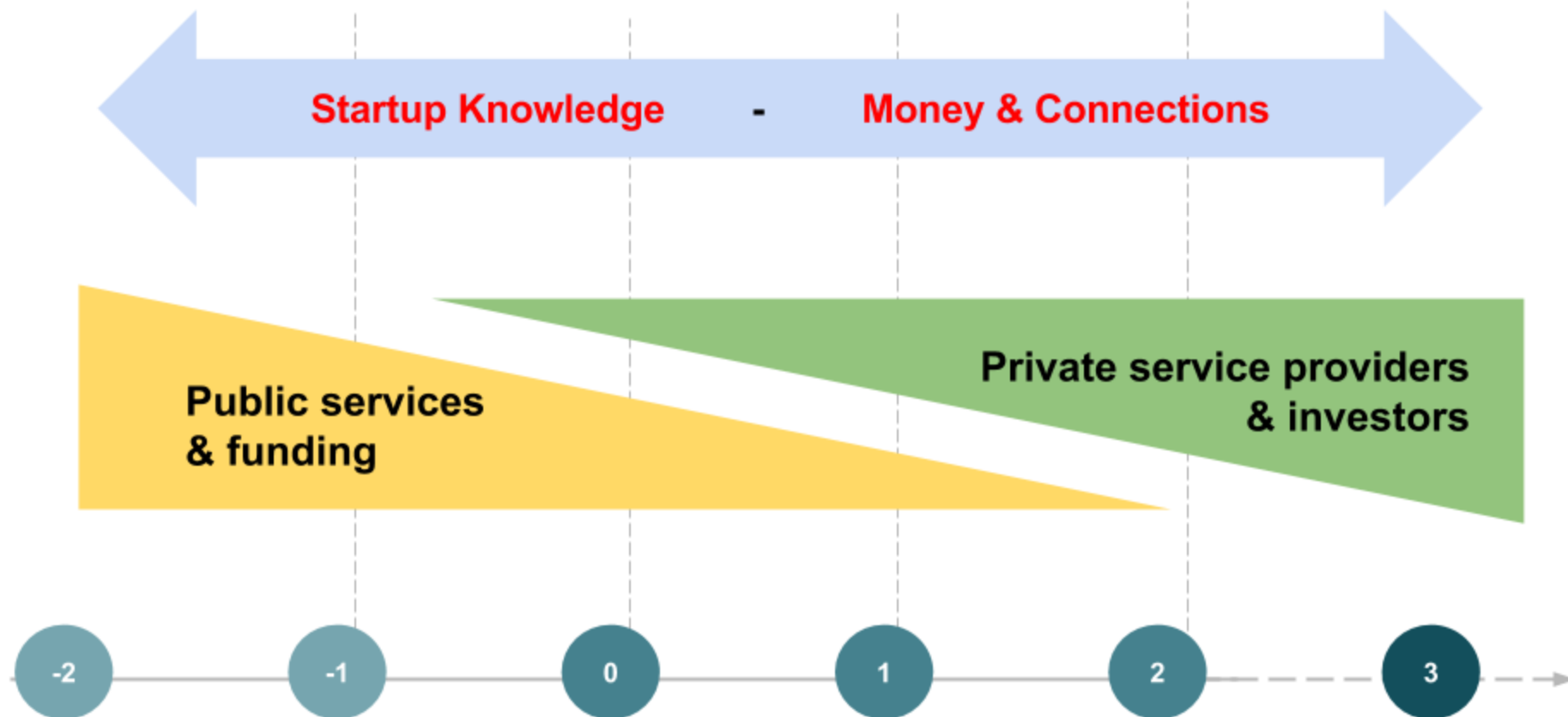


- Funding Amount - Seed Stage < Rs. 5 crore; Early Stage = Rs. 5 to 25 Crore; Growth Stage = Rs. 25 to 100 crore; Expansion Stage > 100 crore

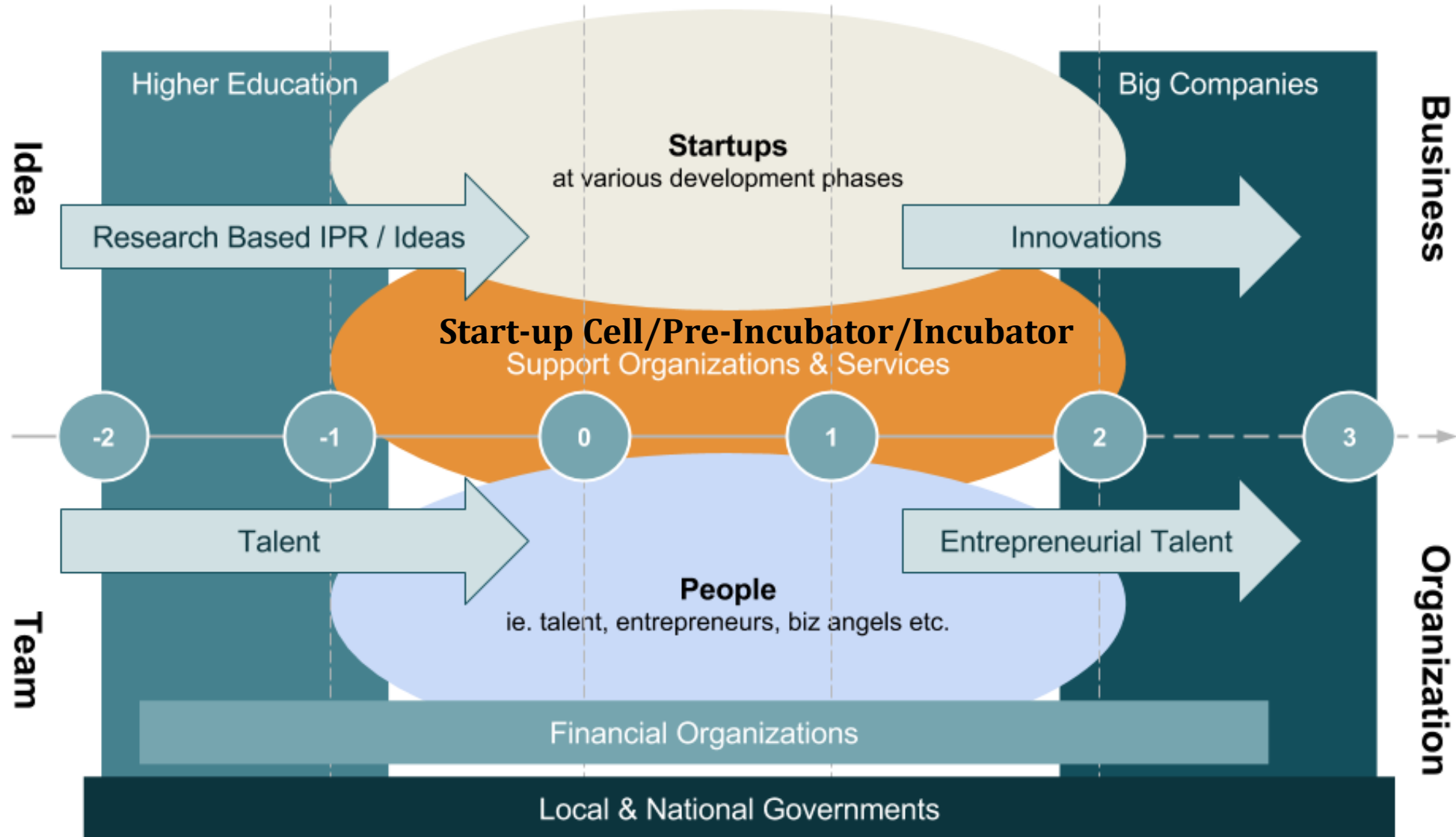
Start-up Ecosystem Framework - A Micro Ecosystem at Institution Level



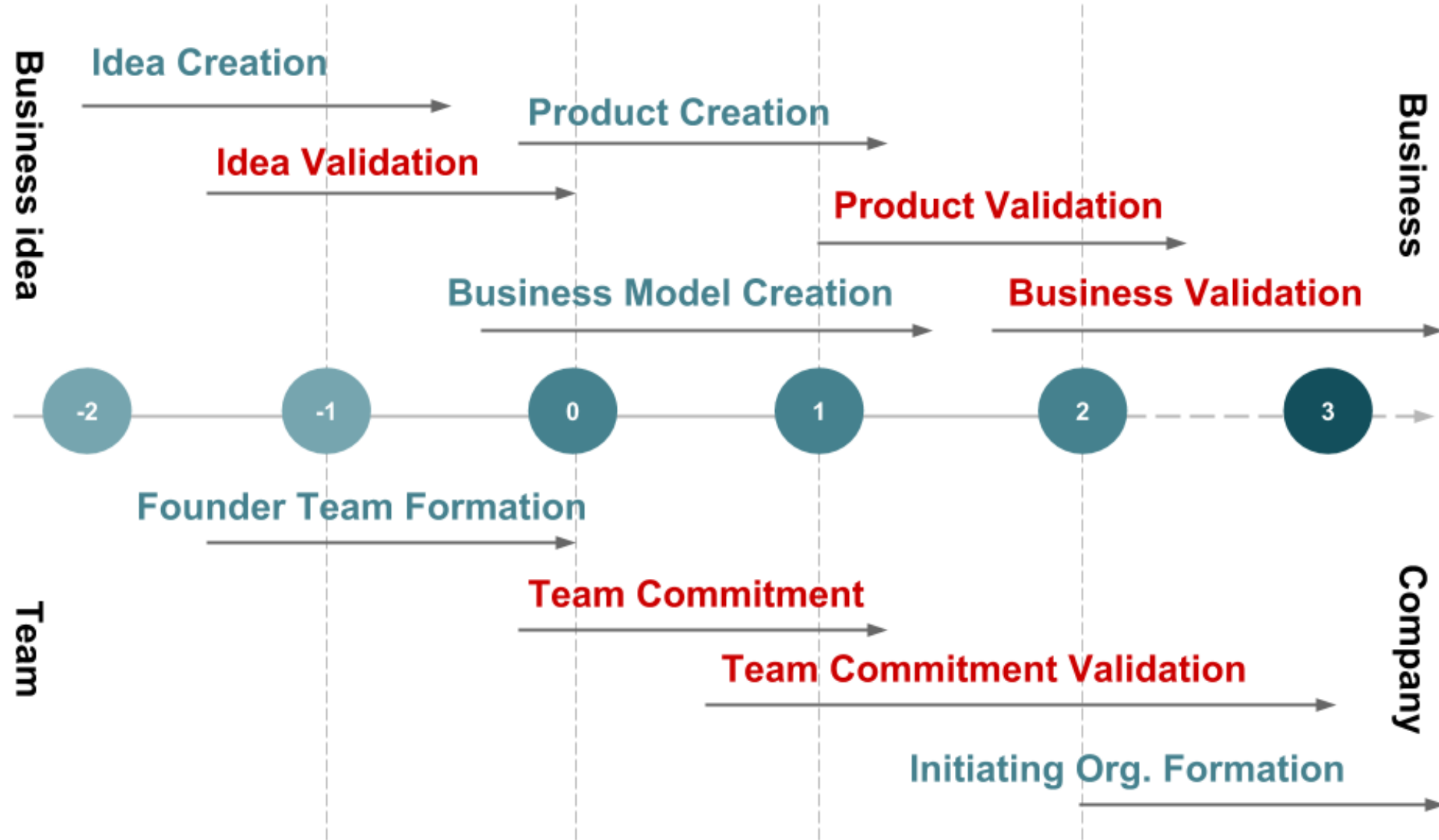
Start-up Development Phases: Key Requirement



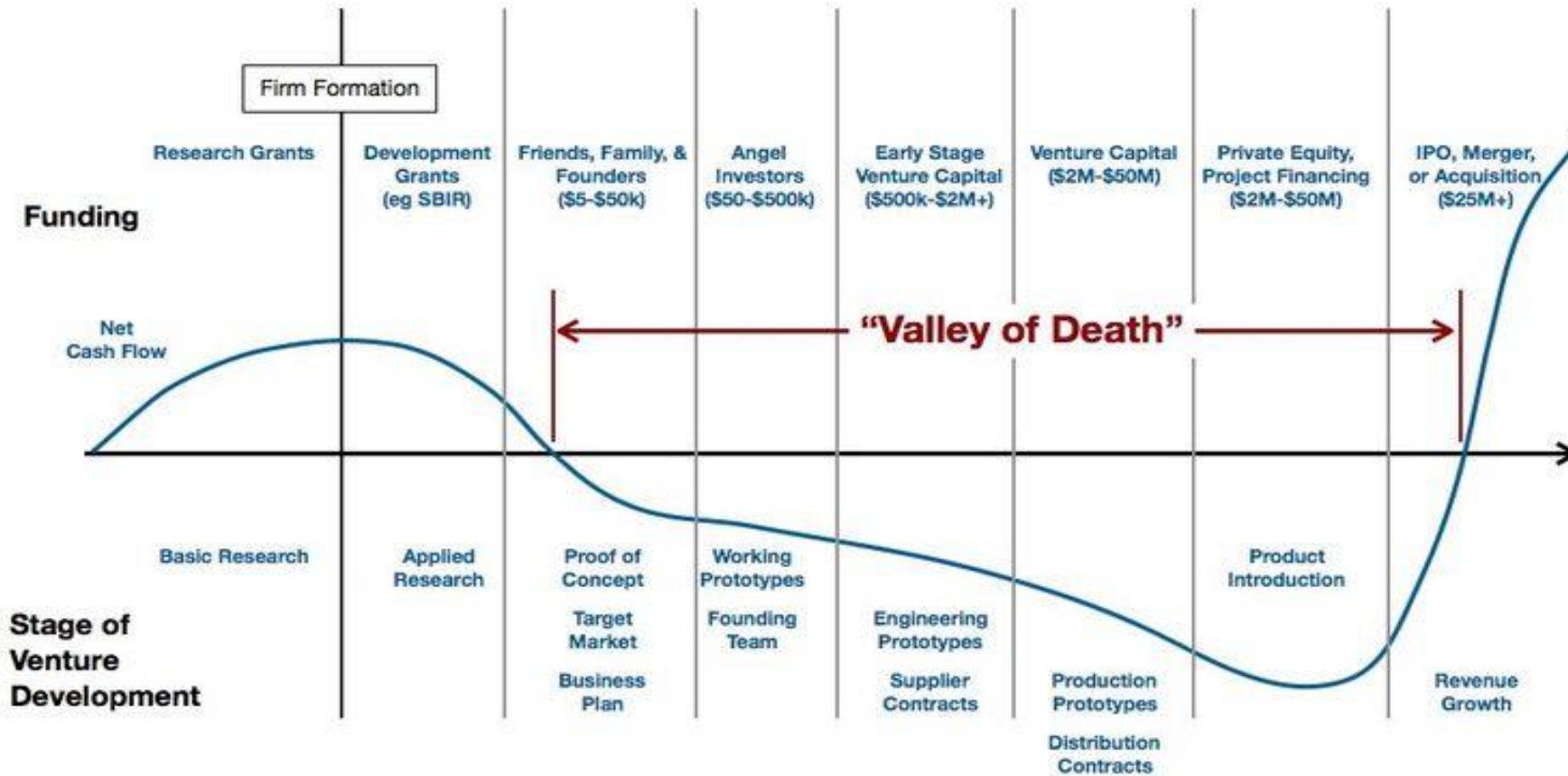
Start-up Development Phases: Key Stakeholders



Start-up Development Phases: Key Services



Lifecycle of a venture





2. Innovation & Entrepreneurship Measuring Frameworks - GII, GEM, GEI, ARIIA

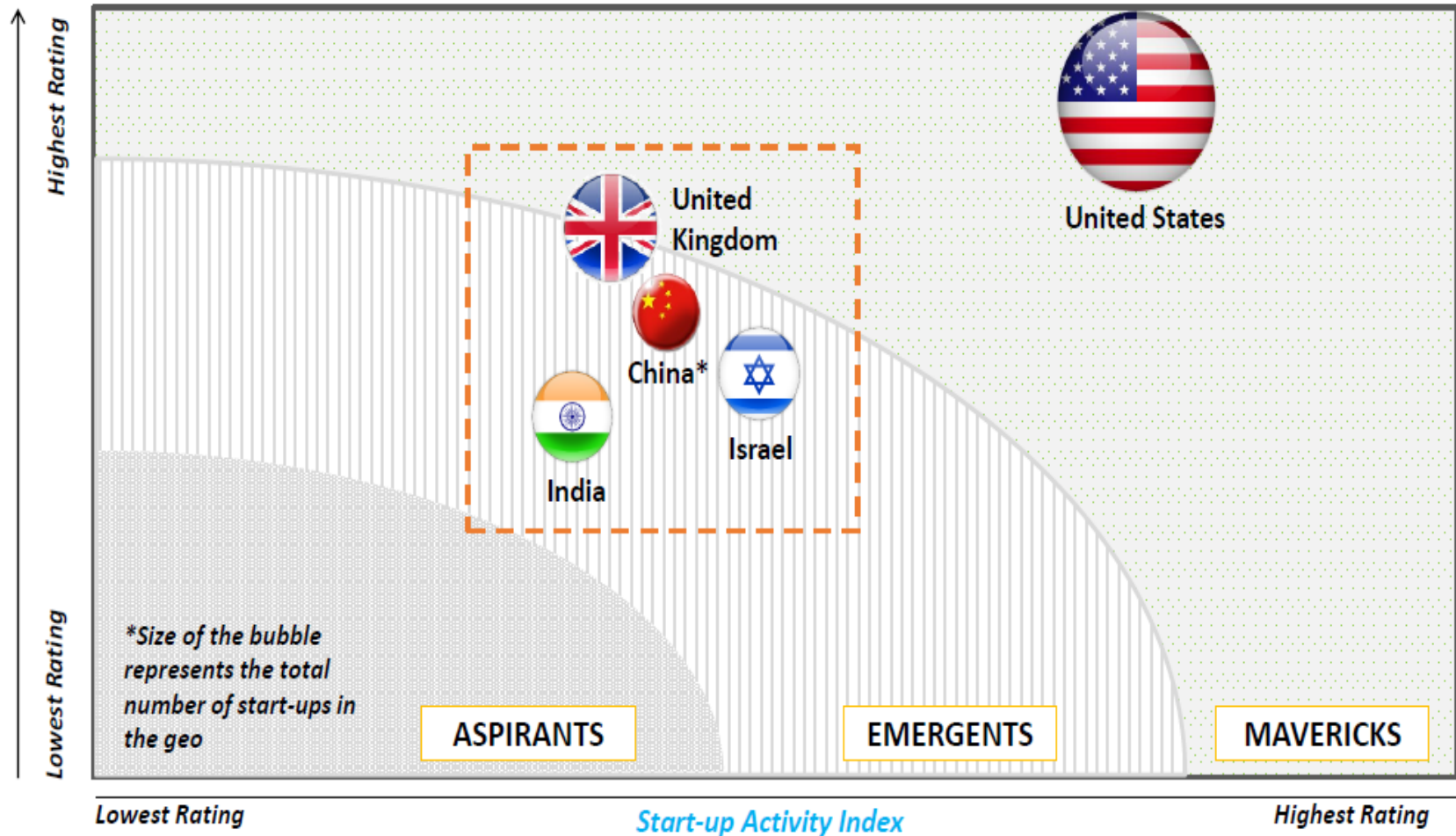
- Global Innovation Index
- Global Entrepreneurship Monitoring
- Global Entrepreneurship Index
- Atal Ranking of Institutions on Innovation Achievement



Global Start-up Landscape

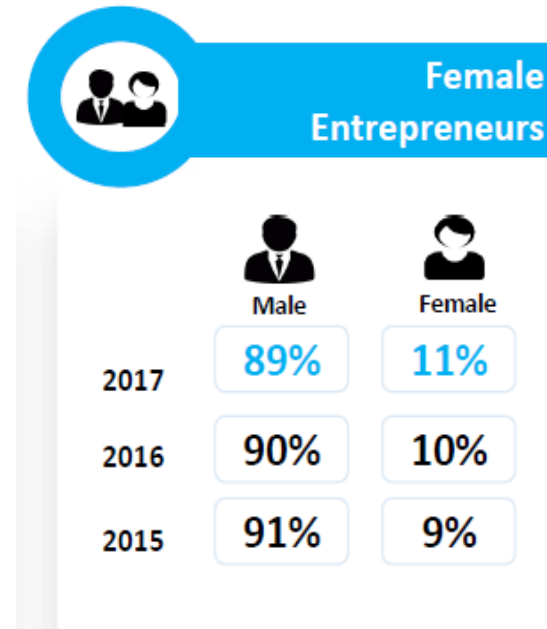
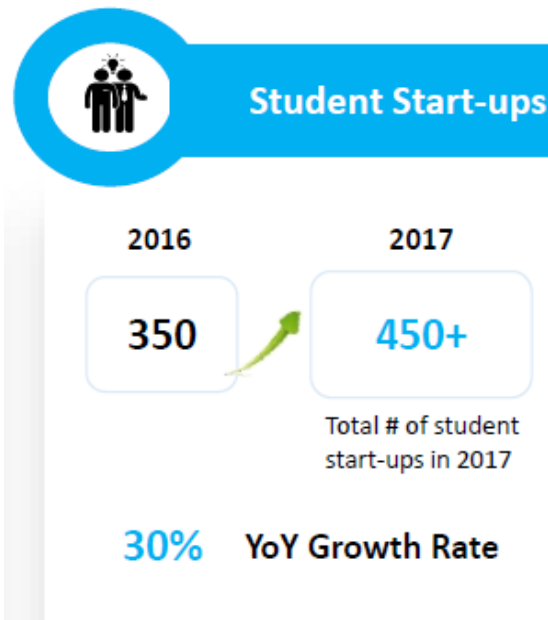
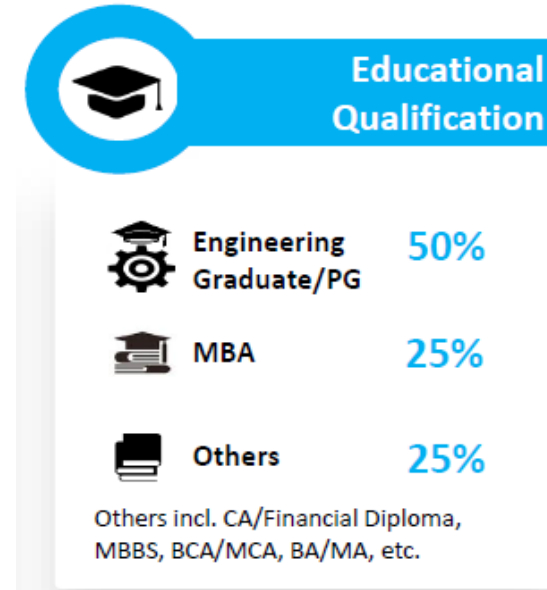
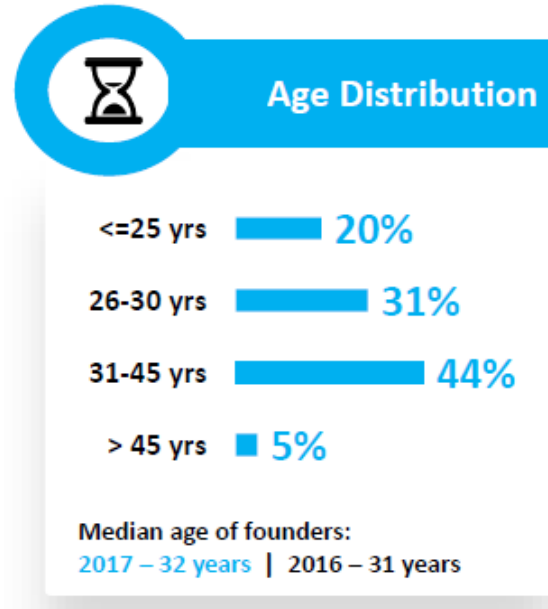
- India positioned 3rd and competing with Israel

Govt. Focus & Country Specific Indices = $f[\text{Government Initiatives (Govt. Policies, Govt. Funding), Country Specific Indices (Global Innovation Index, Ease of Doing Business)}]$



Start-up Activity Index = $f[\text{Landscape (Total Start-ups, Start-ups Per Capita, Acquisitions), Unicorns Analysis, Investors Ecosystem & Funding, Advanced Tech Focus}]$

I&E Ecosystem: Innovation & Start-up Among Indians

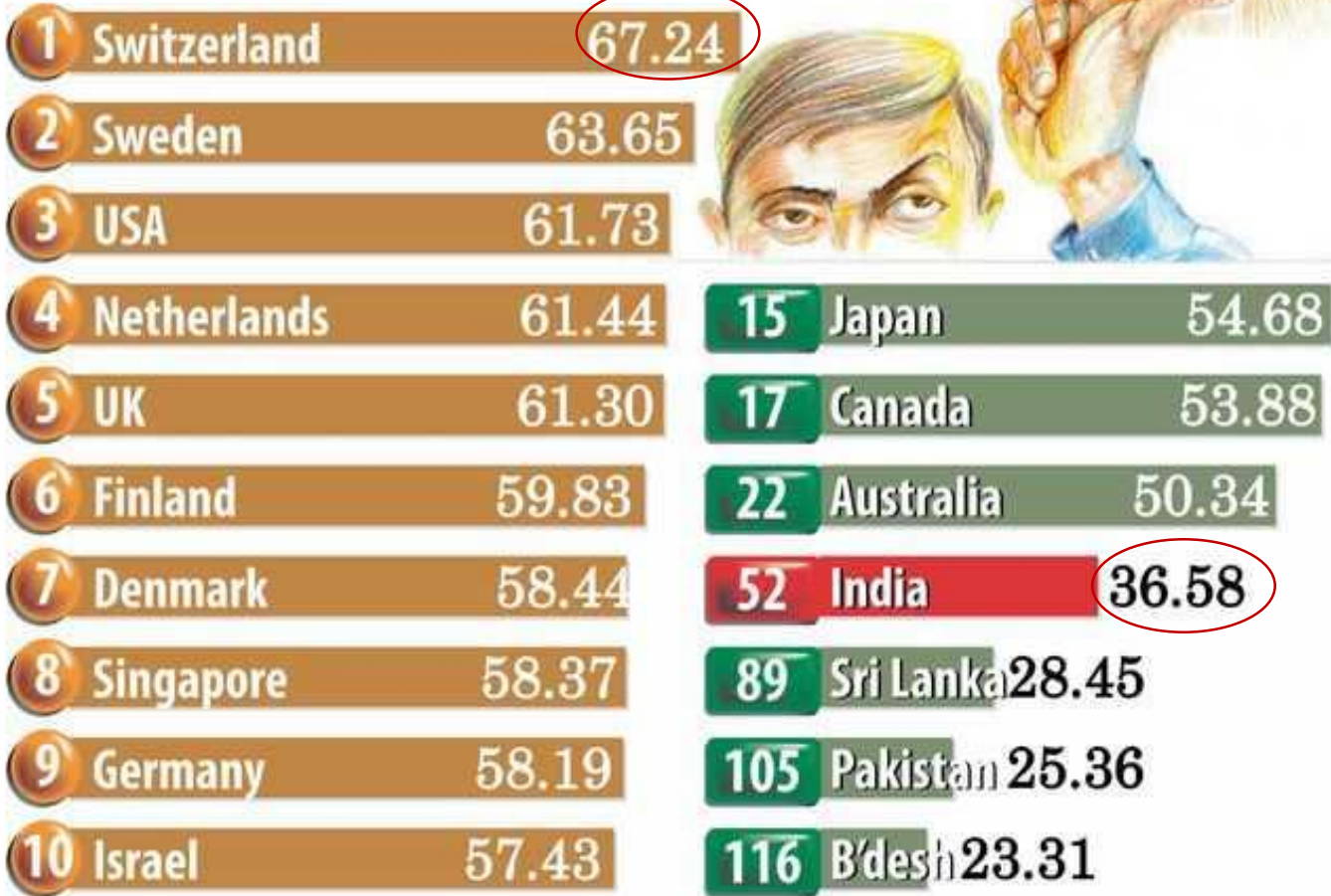


Measuring Entrepreneurship

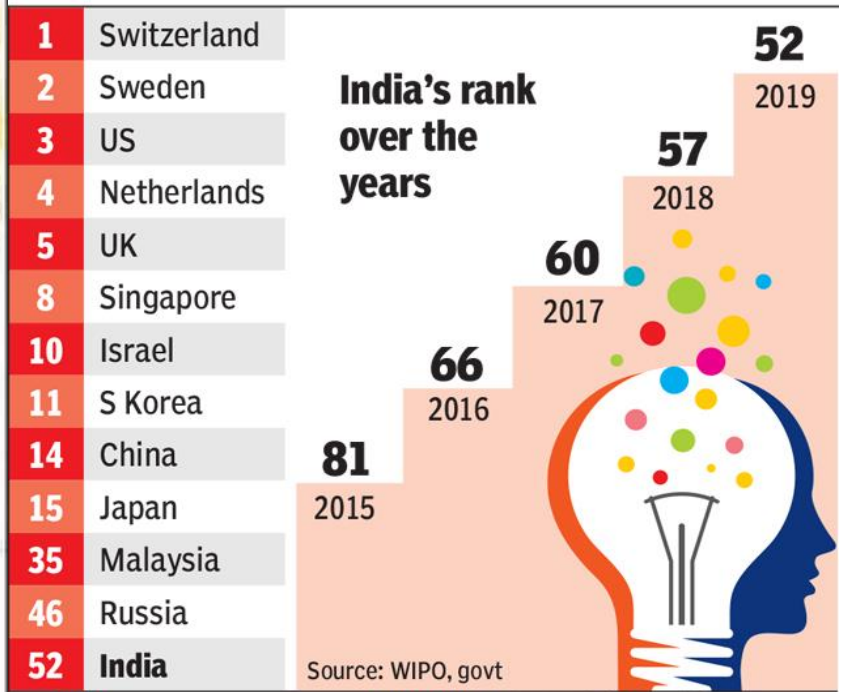
- In 1999, the [*Global Entrepreneurship Monitor \(GEM\)*](#), a global study started by a consortium of universities to analyze the level of [entrepreneurship](#) occurring in a wide basket of countries.
- In 2002, the *Doing Business* (DB) report of the World Bank Group first published as “The Regulation of Entry” and later developed into the [*Ease of Doing Business index*](#).
- In September 2006, the OECD launched a new [*Entrepreneurship Indicators Programme \(EIP\)*](#)
- In 2007, The [*Global Innovation Index \(GII\)*](#) ranks the innovation performance of 143 countries and economies around the world, based on 81 indicators. The GII is co-published by WIPO, [Cornell University](#) and [INSEAD](#).
- In 2016, The **Global Entrepreneurship Index** (GEI) is an economic activity index compiled by US-based The [Global Entrepreneurship and Development Institute](#), which looks at how individual countries across the world allocate resources to promoting entrepreneurship. It uses 14 ‘pillars’ to measure the health of the regional ecosystem in each of 137 countries.
- In 2019, [*Atal Ranking of Institutions on Innovation Achievements \(ARIIA\)*](#) Framework started by MHRD to measure innovation and start-up ecosystem exit in all HEIs.
- In 2019, [*Ranking of Indian States*](#) was started by Start-up India, DPIIT, Ministry of Commerce, GoI

Global Innovation Index 2019

The Global Innovation Index is computed as an average of the scores across input pillars (describing the enabling environment for innovation) and output pillars (measuring actual achievements in innovation)



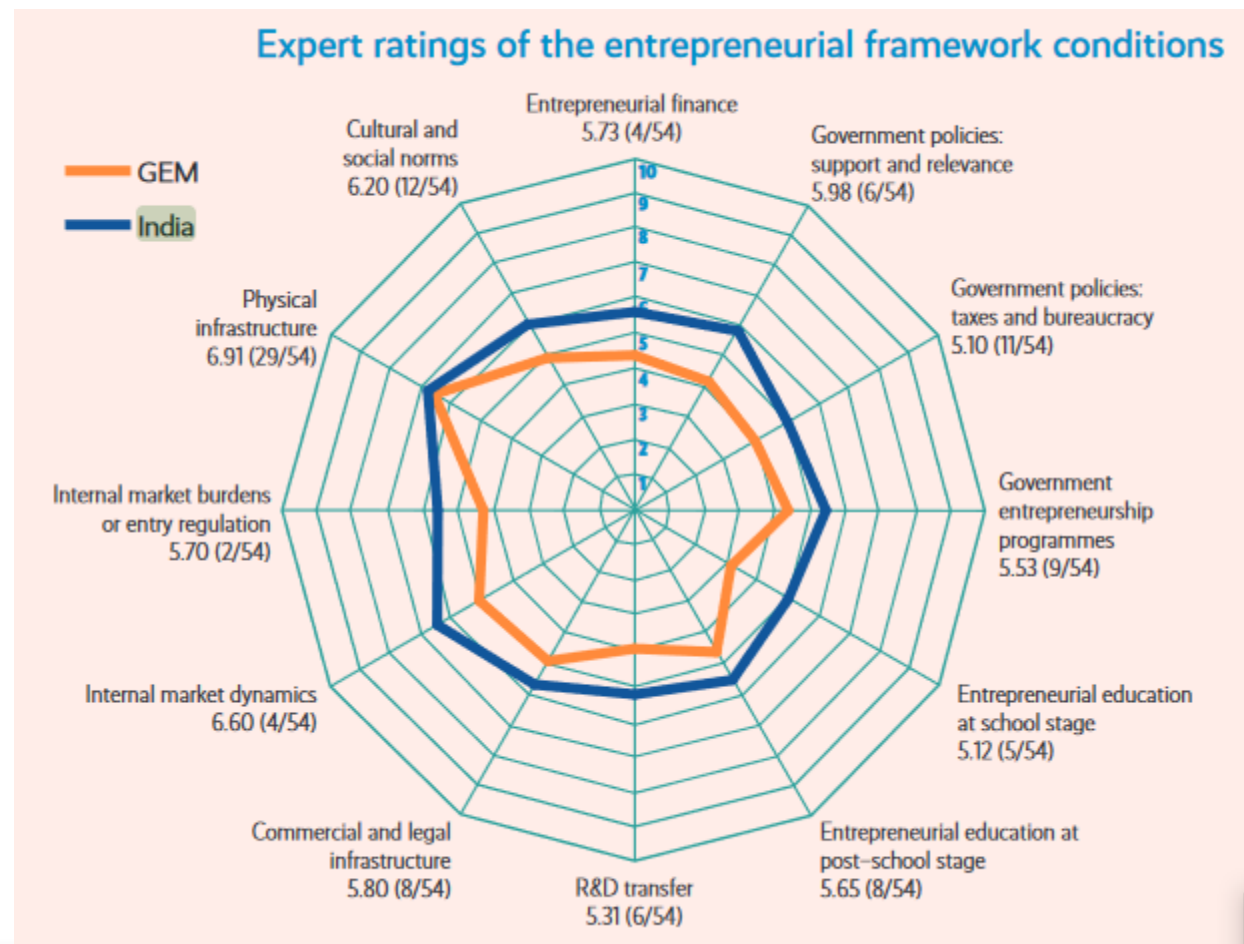
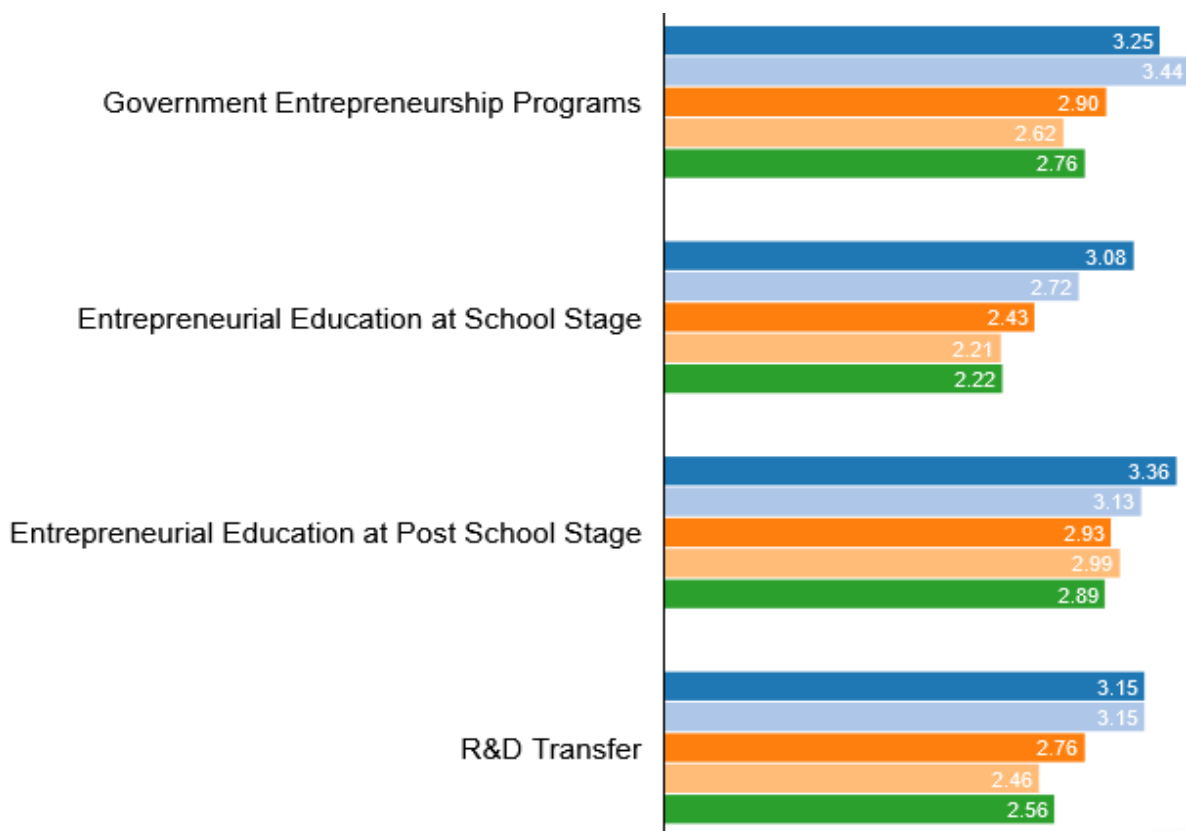
INDIA UP 5 SLOTS IN GLOBAL INNOVATION INDEX



Pillars in GI	2018	2019	Change
Knowledge & technology outputs	43	32	11 ↑
Market sophistication	36	33	3 ↑
Human capita and research	56	53	3 ↑
Business sophistication	64	65	-1 ↓
Institutions	80	77	3 ↑
Creative outputs	75	78	-3 ↓
Infrastructure	77	79	-2 ↓

Source : Global Innovation Index 2019

■ India 2019
 ■ India 2018
 ■ Regional Average
 ■ Income Level Average
 ■ Global Average



0 = very inadequate insufficient status, 10 = very adequate sufficient status. Rank out of 54 recorded in brackets



GLOBAL
ENTREPRENEURSHIP
INDEX
powered by GEDI

Global rank	Country	Score
1	United States	86.8
2	Switzerland	82.2
3	Canada	80.4
25	United Arab Emirates	54.2
26	Japan	53.3
27	Singapore	52.4
28	Qatar	51.6
29	Poland	49.5
30	Puerto Rico	48.7
31	Spain	46.9
32	Portugal	46.3

Global rank	Country	Score
48	Brunei Darussalam	36.5
49	Croatia	36.1
50	Greece	35.4
72	Belize	26.2
73	Vietnam	26.0
74	Argentina	26.0
75	Indonesia	26.0
76	Panama	25.5
77	Ukraine	25.2
78	India	25.1
79	Jamaica	24.8
80	Russia	24.8

Global rank	Country	Score
94	Moldova	20.2
95	Rwanda	20.0
96	Kenya	19.8
117	Guyana	16.3
118	Brazil	16.1
119	Nicaragua	16.1
120	El Salvador	15.7
121	Cameroon	15.6
122	Guinea	15.5
123	Mali	15.3
124	Angola	15.1
125	Uganda	14.8

Entrepreneurial Attitudes

Countries	ATT	Opportunity Perception	Startup Skills	Risk Acceptance	Networking	Cultural Support
United States	83.53	1.000	1.000	0.931	0.610	0.841
India	22.71	0.325	0.229	0.383	0.135	0.177

Entrepreneurial Abilities

Countries	ABT	Opportunity Startup	Technology Absorption	Human Capital	Competition
India	23.62	0.260	0.046	0.249	0.531

Entrepreneurial Aspirations

Countries	ASP	Product Innovation	Process Innovation	High Growth	Internationalization	Risk Capital
India	28.88	0.662	0.460	0.259	0.176	0.152

Designed taking the Indian innovation and start-up ecosystem in HEIs into account, various parameters comprise of input, process, output, and outcome parameters are included in the framework. Below are the major parameters considered in ARIIA for ranking:

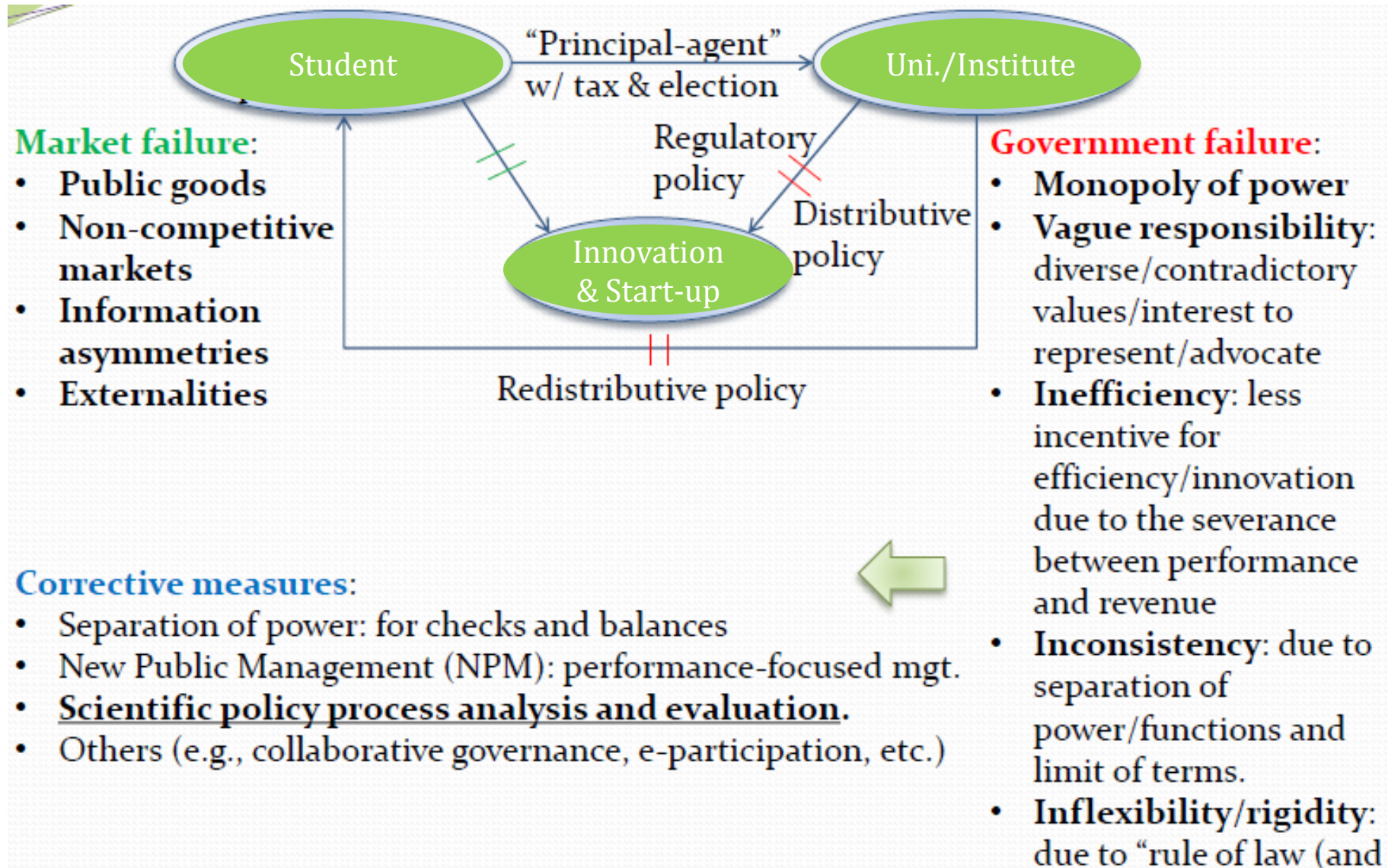
- Annual budget; expenses & revenues to support innovation & start-up in the campus
- Innovation, pre-incubation and incubation infrastructures & facilities on campus
- Academic courses offered by the institute on innovation, IPR and start-up
- Patent Granted and Published and Patents hold by Incubate Start-ups
- Innovation & Technology transfer and commercialization made
- Successful innovation and start-ups emerged from campus.
- **Innovation in Institute Governance**



3. Understanding Market Failure & Govt. Intervention – Problem Tree & Policy Logics

- What is Market Failure
- What is Govt. Intervention
- What is Policy Problem
- Problem Tree
- Objective Tree/Policy Logic

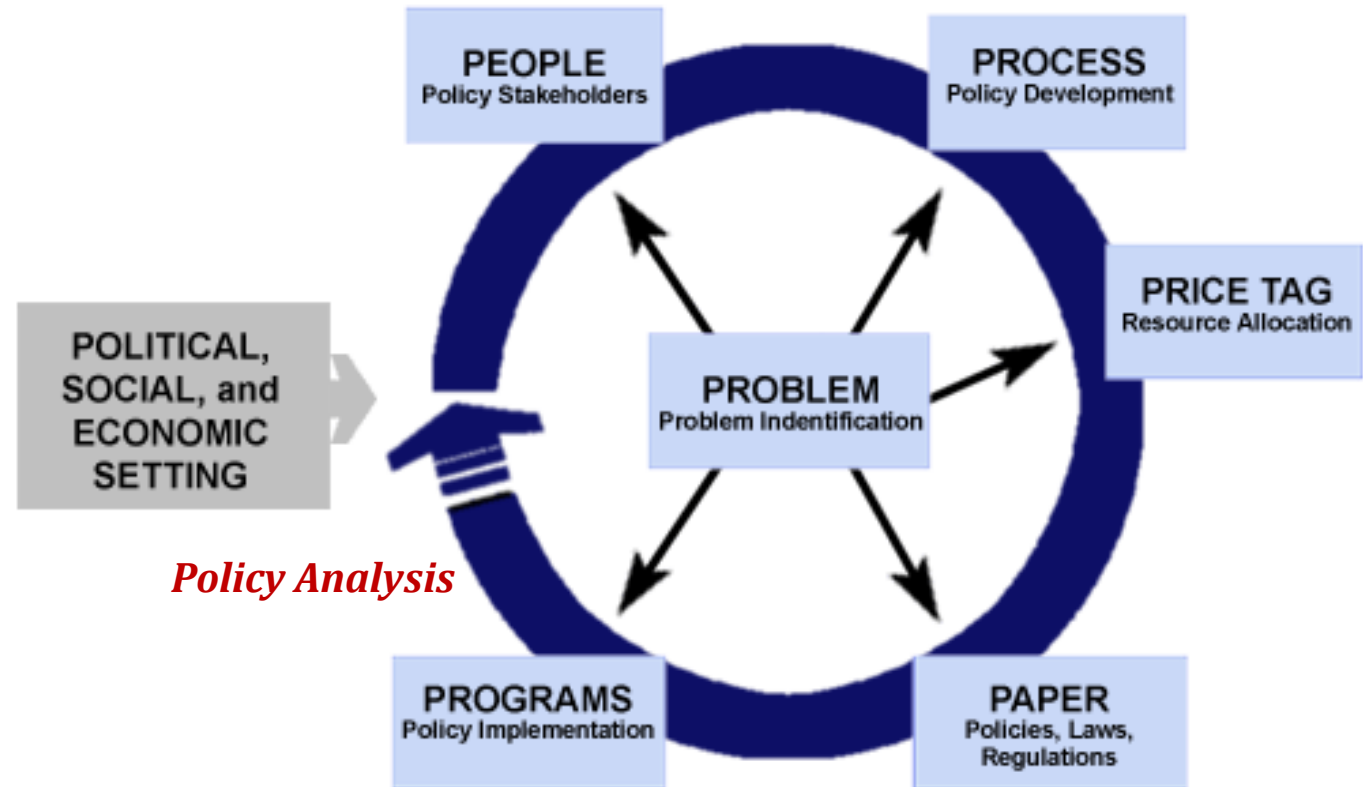
Market Failure, Govt. Intervention & Public Policy



Components of the 6 P's of Policy

Depict the complex and nonlinear nature of policy

- Challenges can be found in each of the six “Ps.”
- If a policy problem was not well articulated through adequate policy analysis.
- The problem is at the center of policymaking. Problems requiring policy attention abound and can be identified from many sources.
- The **Process** of policymaking. The process of policymaking includes:
 - Framing the “problem” (issue framing)
 - Getting the issue on the policy agenda (agenda setting)
 - Formulating the policy (policy formulation)



“in order to complete at least one cycle of formulation, implementation, and reformulation and to obtain a reasonably accurate portrait of program success and failure,” (Sabatier and Jenkins-Smith, 1993)

Policy Analysis:
Monitoring & Evaluation
Impact Evaluation

Policy (process) analysis can be defined as the systematic investigation of alternative policy options and the assembly and integration of the evidence for and against each option.

It involves a problem-solving approach, the collection and interpretation of information, and some attempt to predict the consequences of alternative courses of action.” (Ukeles, 1977)

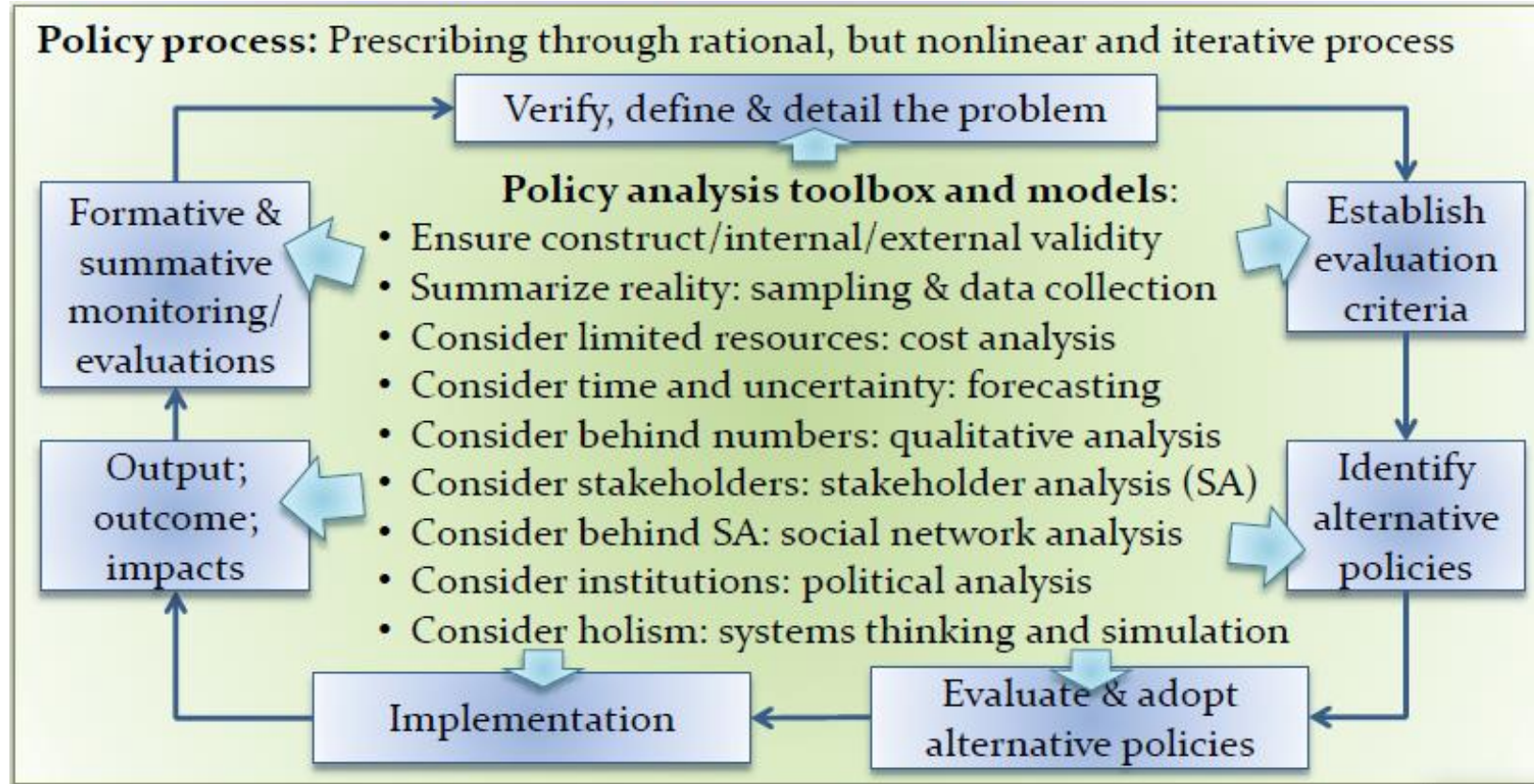
Balanced Problem Solving Approach – Policy Process Analysis

1

Worldview and philosophy:
Mission statement as a guiding hand

Logical thinking tools: Describing system of variables/parameters/structures/boundaries—logic tree of MECE; multi-dimensional matrix; flowchart

3



2

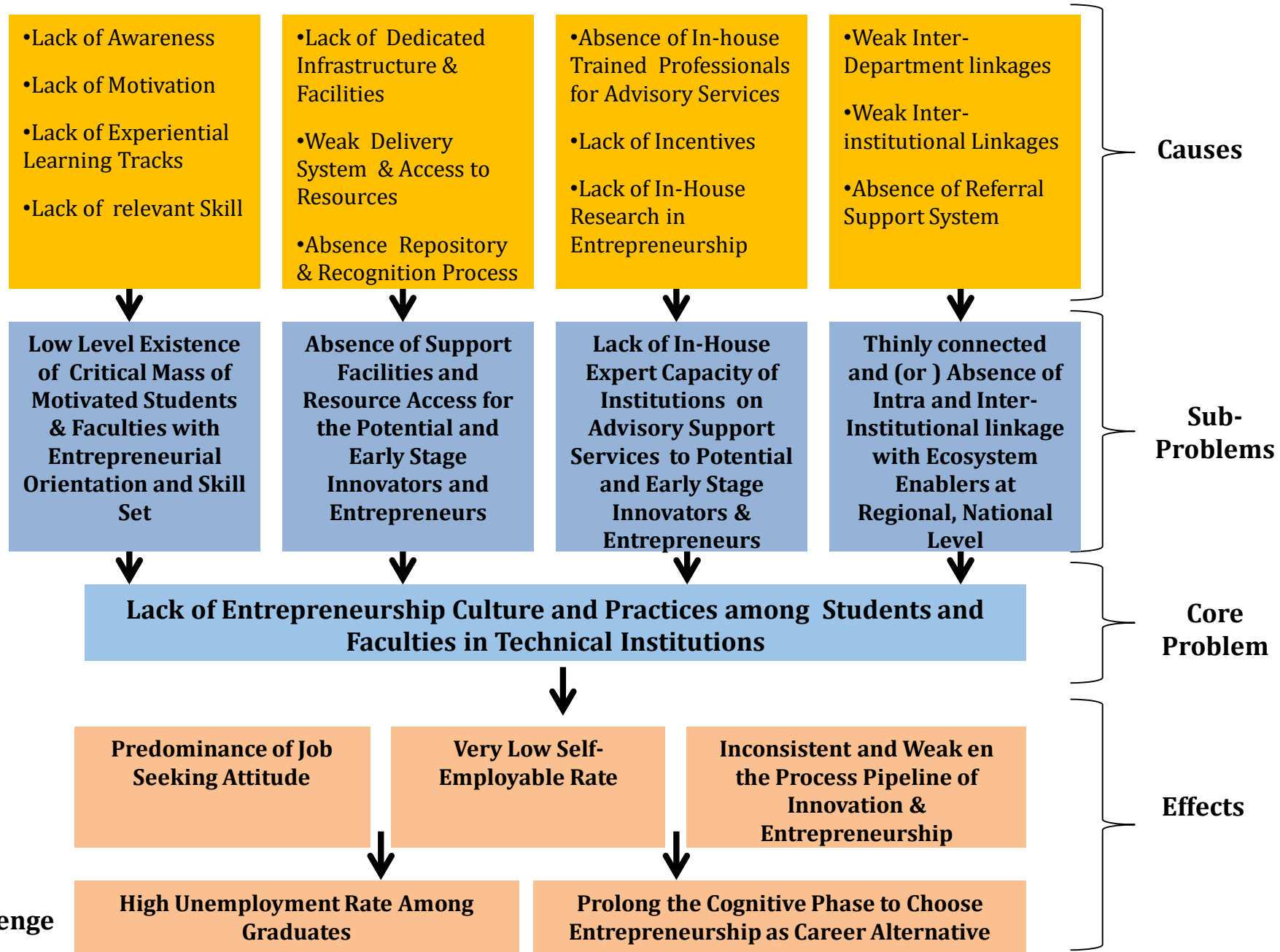
Environments (inside/outside system):
Actors/stakeholders (individual or collective); beliefs/values/interests; intellectual capacity (perceive, measure, interpret); resources (time, money, info., etc.); culture; institutions; technology

Limitations:

Deficiency/excess/instability/uncertainty/competition in every process, tool, model,

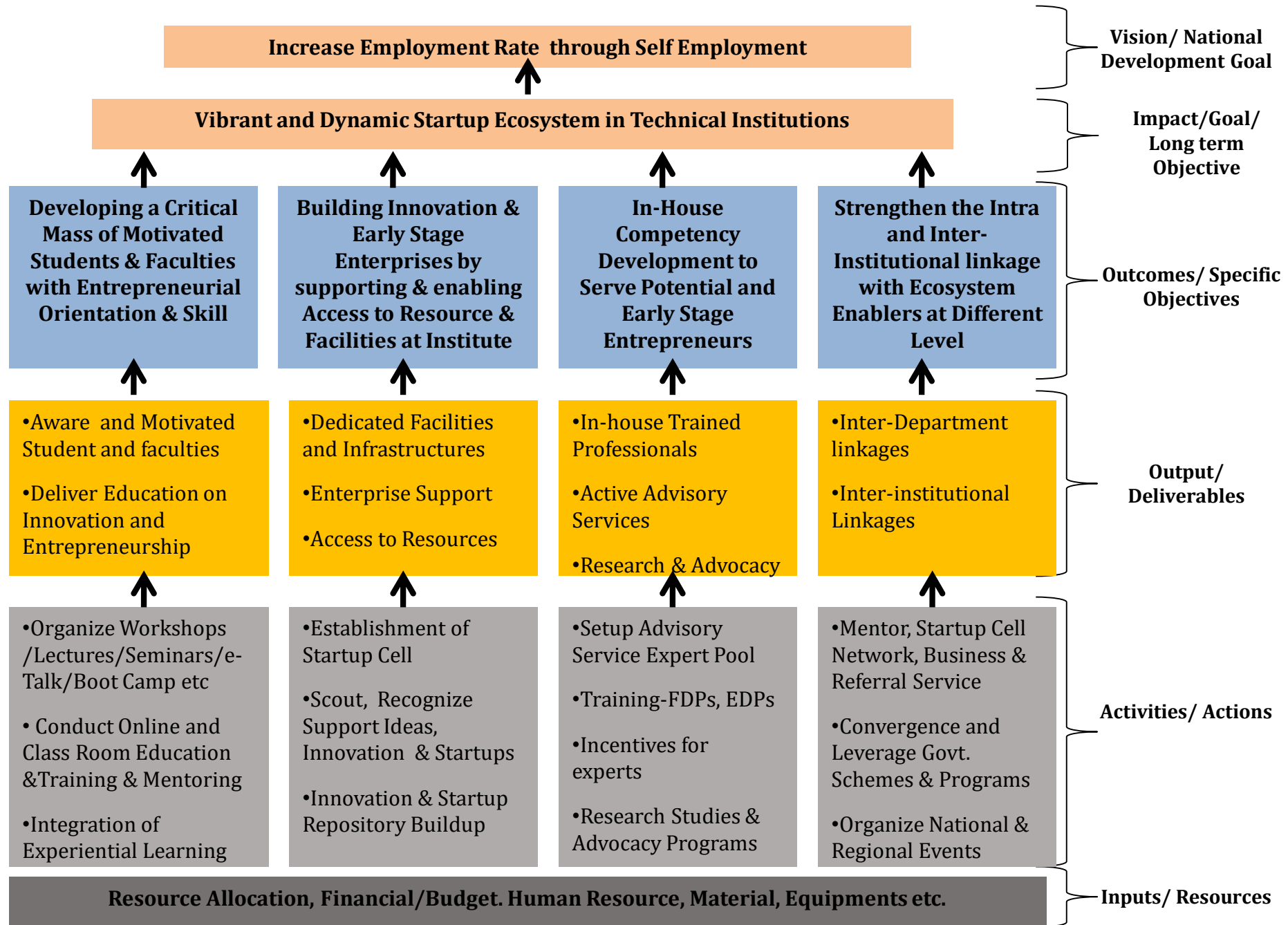
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Problem Tree – Start-up Ecosystem Development at Institution Level

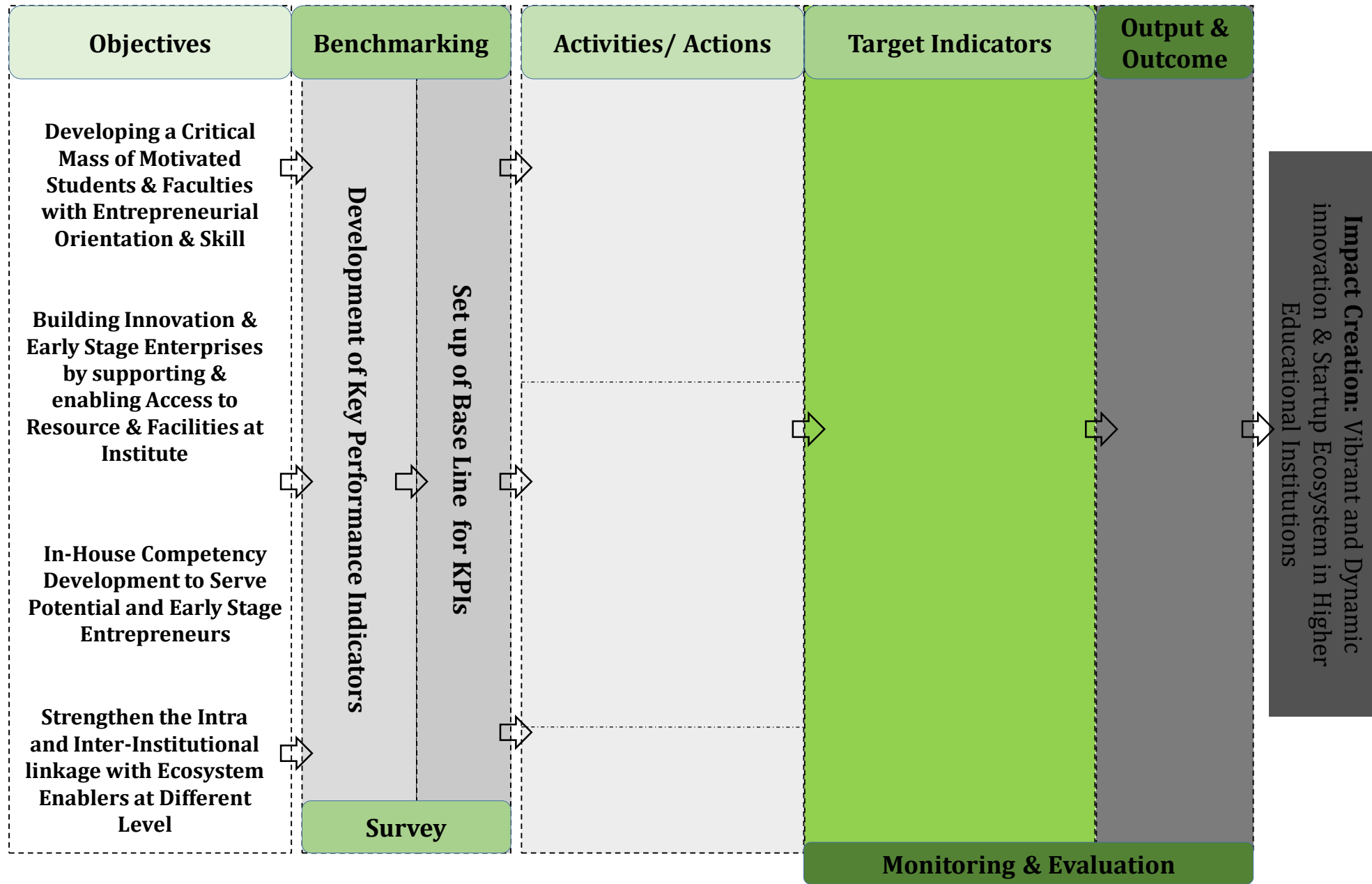


Development Challenge

Objective Tree/Policy Logic – Start-up Ecosystem Development at Institution Level



Sample Micro Action Plan Framework



KPIs – Innovation & Start-up Ecosystem Development at Institution Level

Hierarchy of Objectives	Key Performance Indicators (KPIs)	Means and Verification
Vision	<ul style="list-style-type: none"> •% Increase in Self-Employment Rate •No of Established Start-ups 	<ul style="list-style-type: none"> •DPIIT & NASSCOM •ARIIA
Goal/Impact	<ul style="list-style-type: none"> •Enabling Environment Established with multiple level of support for innovation & Entrepreneurship in Institute •No/% of Graduate students choose Entrepreneurship as career & # Increment/year •No/% of Student and Graduates Practicing Entrepreneurship & # Increment/year 	<ul style="list-style-type: none"> •Biannual Survey •ARIIA, NIRF Rankings
Outcomes	<ul style="list-style-type: none"> •Nos/% of student & faculty mass with entrepreneurship Orientation, # Increment/year •Nos/% of Student & faculty motivated to start any entrepreneurial activity & #Increment •No of IPR/Innovations developed for commercialization & # Increment/year •No of Student/Early Stage Start-ups formed & # Increment/year •No/% of In-house Expert Capacity available for Advisory Services & # Increment/year •% of Satisfaction over Advisory services offered to Innovators & Early Stage Entrepreneurs •Network Established with connecting multiple stakeholders & Ecosystem Enablers 	<ul style="list-style-type: none"> •Biannual Survey •Quarterly News Letter
Outputs	<ul style="list-style-type: none"> •No/% of Student & faculty mass exposed to awareness/orientation building programs & # •No/% of Students covered through entrepreneurship Education; MOOC, Class Room, Experiential Learning programs etc. & # Increment/year •No of beneficiaries are accessing the infrastructure & facilities per day, month & # Increment •No of innovators identified; No of awarded,/recognised; No of Supported, & # Increment •No of Entrepreneurs identified; No of awarded,/recognised; No of Supported, & # Increment •No of Student projects turns to (commercialize) Innovations •No of IPR based product/services generated and registration filed •No/% of in-house trained professional developed for advisory services & # Increment •No of Research Studies on Entrepreneurship published •No of Regional, National and International linkages established for the start-up & innovation •No/% Representatives of experts & entrepreneurial students across Dept & Disciplines. •No of Beneficiaries Referred to Incubators/investors for further support through Start-up Cell •No of Beneficiaries generated under various schemes and programs leveraged and converged at Start-up Cell 	<ul style="list-style-type: none"> •Biannual Survey •Monthly progress report
Activities	<ul style="list-style-type: none"> • No and types of Education/Skill certification program on Entrepreneurship, IIPR, Innovation etc. • No of workshops, awareness, market out reach events, orientation, advocacy meetings etc. • No of networking event (Intra and Inter-institutional, enablers, stakeholders) organized • No of skill and competency development training programs/FDPs/EDPs organised • No of research studies related to Entrepreneurship conducted • No of convergence and leverage with schemes/programs offered by major enablers • No of national and regional award and campus Hackathon like events organised • Incentivising Entrepreneurship and Innovation; services and facilities; Start-up Manual, policies, tool kits etc. • Amount of total budget/year spend against total institution revenue for start-up • Budget allocation and Spend ratio for the start-up mandate in institute 	<ul style="list-style-type: none"> •Biannual Survey •Quarterly News Letter •Monthly progress report •Review Meetings

Progress Monitoring Sheet

Sl. No.	Indicators	State/Uni./Institute Level
1	Received Positive Response or Letter of Interest obtained from Governor Office/State Govt.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Identification of State dept or agency as Champion organization to lead and coordinate the Start-up Movement	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	Conduct of State level Policy Consultative Workshop for Leaders from Academic and Ministries	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Preparation /Adoption of Student Innovation and Start-up Policy Guidelines and Measures at <ul style="list-style-type: none"> • State Level • University Level • Institutions Level 	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
5	Allocation and Securing Fund from State Govt. to support Student Innovation and Start-up	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Time bound implementation of Action Plan by Champion Organisation in the State and universities as per the plan	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Celebration of Innovation and Start-up by Regularising annual events such as Start-up Yatra or Innovation Festival at State level.	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Inclusion as an agenda item in Annual Progress review Meeting with VCs by Governor/State Govt.	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	Placing of System of Regular Monitoring Mechanism/ MIS system	<input type="checkbox"/> Yes <input type="checkbox"/> No



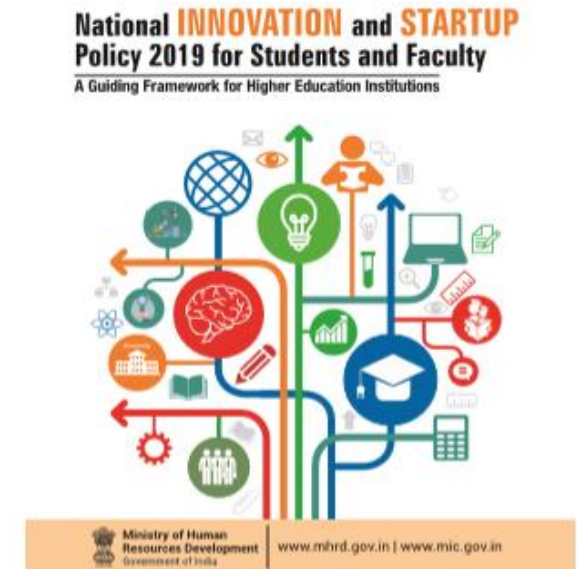
4. National Innovation and Startup Policy – Dimensions & Thrust Areas for HEIs to Implement

- Dimension & Thrust Areas
- Policy Provisions – HEIs to Adopt
- Where to Start

National Innovation and Start-up Policy 2019 for Students & Faculty



- NISP 2019 was launched by Hon'ble Minister of Human Resource Development on 11 September 2019.
- The policy intends to guide HEIs to promote students' and faculty driven innovations & startups.
- It will be instrumental in leveraging the potential of student's problem solving & entrepreneurial mind-set and promoting a strong intra and inter-institutional partnerships.





MHRD



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INSTITUTION'S
INNOVATION
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(Ministry of HRD Initiative)

Thrust Areas of NISP 2019

1

A. HEIs Strategies & Governance for Promoting Innovation & Entrepreneurship

A1. Creating Innovation Pipeline and Pathways for Entrepreneurs

A2. Building Organizational Capacity, Human Resources and Incentives

A3.

Collaboration
Co-creation
and Business
Relationship
and
Knowledge
Exchange

2

B. Norms for Faculty & Students Driven Innovations and Startups

B1 & B2. Incentivizing Faculty & Students for Entrepreneurship

B3. Norms for Faculty Startup

3

C. Incubation & Pre-Incubation support

4

D. IP Ownership Rights for Technologies Developed at HEI

5

E. Pedagogy & Learning Interventions for Supporting Innovations & Startups

6

F. Entrepreneurial Performance Impact Assessment

Highlighting features of the policy

•Creation of 'Innovation fund' for supporting innovative projects and Start-ups by allocating minimum 1% of institution's total budget

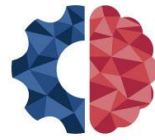
Academic break for a semester/ year to work on their startups
Credits for working on innovative prototype/ business models

•2% - 9.5% Equity/ stake in startup/ company by Institute's incubator
•Complete Ownership of IPR by the inventors in case of non-usage of institute's facilities/ resources

•Services to be offered by institution in lieu of equity, fee based or zero payment model



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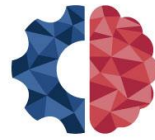
Part - I

A. HEIs Strategies & Governance for Promoting Innovation & Entrepreneurship

- ❖ A1. Creating Innovation Pipeline and Pathways for Entrepreneurs.
- ❖ A2. Building Organizational Capacity, Human Resources and Incentives.
- ❖ A3. Collaboration Co-creation and Business Relationship and Knowledge Exchange.



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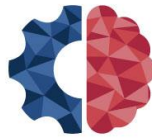
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A. Strategies & Governance for promoting Entrepreneurship

- HEIs should formulate University/HEI level Document in accordance with the NISP and State Startup Policies.
- HEIs should Achieve through Mission Statements rather than Stringent Control System
- A Sr. Faculty (at the level of Dean/Director/Equivalent Position) with less hierarchy and autonomy must drive the Entrepreneurial Agenda.
- Intra and Inter institutional Relation to promote E&I agenda & Institute can provide services and facilities to outsider entrepreneurs too.
- Resource Mobilization Plan Should be in Place
 - Own Resource: 1% fund of the total annual budget
 - Raising fund from Diverse Sources (State and Central Agencies)
 - Incubation Fund support under CSR, Section 135 of the Company Act 2013
 - Sponsorship, Donation from Alumni Network
- All HEIs should join the Institution's Innovation Council (IIC) network and participate, participate in Smart India Hackathon (SIH) and participate in Atal Ranking of Institutions Innovation Achievement (ARIIA)



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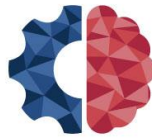
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A1. Creating Innovation Pipeline and Pathways for Entrepreneurs

- HEI to ensure maximum student should participate and go through pre-incubation process of Problem identification, Solution development, Proof of Concept validation and prototype development, business model and proposal development.
- HEI should link and collaborate their Incubation unit with external agencies and ecosystem enablers and provide network support to incubate startups.
- Connecting student entrepreneurs with incubate startups for internship, experience sharing and encouraging participation of students in innovation and business plan competitions and organize such competitions/hackathons on campus.



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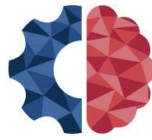
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A2. Building Organizational Capacity, Human Resources and Incentives

- Institute should recruit staff that have a strong innovation and entrepreneurial/industrial experience, behavior and attitude, this will help in fostering the I&E agenda and culture in HEI.
- Faculty and departments of the institute have to work in coherence and cross departmental linkage and maximum utilization of internal resources and knowledge.
- Faculty and staff should be encouraged to do courses/trainings/certificates on innovations, entrepreneurship and IPR.
- To retain talent, institute should develop academic and non-academic incentives and reward mechanism for all staff, faculty and stakeholders.
- A performance matrix should be developed and used for evaluation as part of annual performance and contribution of faculty/staff towards achieving I&E agenda should be part of matrix.



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A3. Collaboration, Co-creation and Business Relationship and Knowledge Exchange

- Institute should develop a policy or guideline document for forming and managing the relationships with external stakeholders including private industries.
- Knowledge exchange through collaboration and partnership should be made as part of institutional policy.
- Mechanisms should be devised by the institute to ensure maximum exploitation of entrepreneurial opportunities with industrial and commercial collaborations.
- Knowledge development should be done by the institute through development of innovation knowledge platforms using ICT capabilities. Repository of ideas, PoCs, Innovations and Startups can be managed through the platform.



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Part -II

B. Norms for Faculty & Students Driven Innovations and Startups

- ❖ B1. Incentivizing Students for Innovation and Entrepreneurship
- ❖ B2. Incentivizing Faculties & Staff for Innovation and Entrepreneurship
- ❖ B3. Norms for Faculty Startup



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B. Norms for Faculty and Student Driven Innovations & Startups

B1. Incentivizing Students for Innovation and Entrepreneurship

HEIs should establish process/clear guideline and mechanism for easy creation and nurturing of startups/enterprises by students (UG, PG and PhD), faculty and staff of HEI by setting up a committee and working committees on following:

- Allow students to setup Startup (Social and tech and non-tech) or working part-time for the startup while studying/working as intern
- Allowing students to earn credit for working on Innovative prototypes/business Models.
- Student Innovators/entrepreneurs may allowed to opt for startup in place mini project /major project, seminar and summer training etc.
- Allow student entrepreneurs to take a semester break/year break to work o their startup
- Allowing student entrepreneurs/innovators to sit for the examination. (institute need to set up minimum attendance and after reviewed by committee on case to case basis).
- Allowing Student entrepreneurs to use the address of Hostel (or) pre-incubation and (or) incubation unit to register their venture while studying at HEI.



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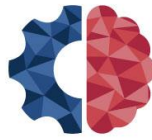
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B2. Incentivizing Faculty for Innovation and Entrepreneurship

- Allowing faculty to start Startup based on the technology developed in the lab at the institute or previously developed somewhere else but have ownership on IP, if technology based.
- Allow faculty and staff to take off for a semester/year as sabbatical/unpaid leave/casual leave /earned leave for working on startup and come back.
- No restriction on shares that staff and faculty can take as long as they don't spend more than 20% of office time on the startup in advisory or consultants role and don't compromise with their existing academic and administrative work or duties.
- In case faculty/staff is drawing salary form institute, institute's stake/equity on startup should be limited to 20% of total share of faculty/staff or 9.5% of total stake which ever is minimum.



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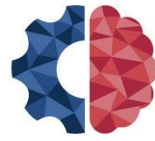
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B3. Norms for Faculty Startup

- Role of faculty while teaching may be as owner/founder/co-founder/Director-promoter/adviser/mentor/consultant but cant take role of employee as CEO or other managerial role in his/her startup and cant draw salary from startup and cant accept gifts from his own startup. He/she can take share on profit and dividend only if any from startup as owner/shareholder.
- Faculty must clearly separate and distinguish on-going research at the institute from the work conducted at the startup/company.
- In case selection for acceleration or incubation, he may take sabbatical leave or other leave up to one semester or year or more based on committee recommendation.
- Faculty must not involve research staff or other staff engaged in academic projects of institute in activities at the startup



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Part -III

C. Incubation & Pre-Incubation support Facility Creation and Access

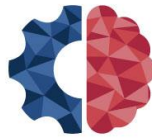
D. IP Ownership Rights for Technologies Developed at HEI

E. Pedagogy and Learning Interventions for Entrepreneurship Development

F. Entrepreneurial Performance Impact Assessment



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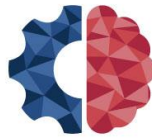
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C. Incubation & Pre-Incubation support Facility Creation and Access

- Creation of Pre-Incubation and Incubation (SPV – Section 8 of Company Act or Society Act)
- Pre-incubation and Incubation Support: Attach with nearest Incubation Unit if not exist in campus
- Promotion and intensification of Technology Commercialization efforts. Allow Licensing of IPR from Institute to Startup incubated at Incubation Unit.
- Facility should be accessible to 24x7 to student, staff and faculty of all discipline and department across the institute.
- Provision and streamline relevant services and mentoring support through pre-incubation/incubation units in-return for fees, equity sharing (or) zero payment basis.
- In return of services offered (Space, Infrastructure, mentorship, seed fund, accountant and legal and patent support) and use of facilities at institute/incubation unit may take 2-9.5% equity/stake in the startup/company incubated.
- In case of compulsory equity model, startup may be given a cooling period of 3 months to use the incubation services on rental basis to take final decision



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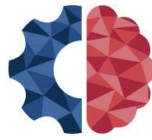
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D. IP Ownership Rights for Technologies Developed at HEI

- If fund and (or) resource of HEI used substantially, then IPR should be made jointly by Institute and inventor and license together and revenue sharing among the parties.
- If any one of inventor want to start a startup based on the technology developed as above, then it can be licensed to inventor with royalty would be no more than 4% of sales price, preferably 1-2%, unless it is pure software product.
- If it is in form of shares, then it will again between 1-4%. In case software share divide is based on mutually decided between the institute/incubation unit and incubate company.
- On any dispute on IPR ownership and revenue sharing and licensing, then a five member committee setup at HEI will look into the matter and recommend.
- Interdisciplinary research and publication on startup and entrepreneurship should be promoted by HEIs.



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E. Pedagogy and Learning Interventions for Entrepreneurship Development

- Adopt and produce desirable learning outcomes as part of curricular, co- curricular and extra curricular level.
- Create and publish tool kit on innovation and startup and IPR for open access to students and faculties.
- Student clubs/bodies on innovation and IPR and Startup must be established and engaged.
- HEI should start recognizing and giving Innovation and Entrepreneurship awards to best achievers form campus annually. And confer gold medal kind of rewards during convocations ceremony.
- Teaching on tolerating and encouraging failures.
- Creating awareness among students and teaching methods should include case studies of real business stories of failure and success, experiential learnings.
- Pedagogy changes nee to be done to ensure that maximum number of students projects and innovations are based around life challenges. It should be constantly reviewed and updated.
- Start a part time or full time MS/MBA/PGDM in Innovation , Entrepreneurship and Venture Development Course to be offered through Incubation Unit as per the AICTE guideline.



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F. Entrepreneurial Performance Impact Assessment

- Performance Analysis of services and facilitates on regular basis
- Development of key performance indicators
- Focus on Input, process, output, outcome and impact level



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- Download the Copy of NISP & Share with Students, faculties, and Head of Institute for Adoption. https://mic.gov.in/assets/doc/startup_policy_2019.pdf
- Institutes can join the NISP Campaign launched by MHRD's Innovation Cell: https://mic.gov.in/startup_application.php
- Institutes can Implement NISP by Appointing a Sr. Faculty as In charge and Nominate Details at https://mic.gov.in/nominate_faculty_for_nisp.php
- For detail explanation please watch video on MIC YouTube <https://www.youtube.com/watch?v=8vdEyL7uKXs&t=7330s>
- Recorded version of Training Session 1 on MIC Facebook: <https://www.facebook.com/mhrdInnovation/videos/1557696537724806>



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Thank you

Visit us at

www.mic.gov.in & www.aicte-india.org

Email: startup@aicte-india.org

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For General Query

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For Specific Query

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National Coordinator & NISP
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Innovation and Startup Policy Implementation Strategy and Progress Monitoring at HEI level

NISP Implementation Program
Ministry of Education's Innovation Cell

2nd Training Session (2020-21)

Date: 21 August 2020

www.mic.gov.in

Online Session 2: Innovation and Start up Policy Implementation Strategy and Progress Monitoring at HEI level

Opening Address by
Dr. Abhay Jere, Chief Innovation Officer

Topics Covered:

- ✓ What are the methods for the Innovation & Startup policy implementation?

Speaker: Dr. Pooja Rawat, Innovation Officer

- ✓ How to establish a framework for the policy implementation at HEI level?

Speaker: Dr. Mohit Gambhir, Innovation Director

- ✓ How to evaluate the progress and impact of policy by setting up KPIs?

- ✓ Task Sheet: To do list for Implementation

Speaker: Dr. Abhay Jere, Chief Innovation Officer

Tasks given post-Training Session 1 on 7 August 2020

Constitution of Committee for NISP Implementation

- Committee of experts comprising of people associated with delivering incubation and pre-incubation services and facilities, alumni, innovators, entrepreneurs, startup founders
- NISP Coordinator will be the convenor of the committee
- Representation from key industries/ ecosystem enablers from the region

Brainstorming Meetings of the committee members

- Identify thrust areas for policy intervention to achieve the policy goal
- Frame Vision (Goal), Mission, Impact (Long term Objectives), Outcome (Short term Objectives)
- Benchmarking of parameters and Key Performance Indicators for monitoring and Impact evaluation

Topics covered in previous Training Session 1 conducted on 7 August 2020

- ✓ Why HEIs should adopt and where to start adoption of NISP?
- ✓ What are the provisions and components in NISP for HEIs to implement?
- ✓ What are the desirable approaches, expected outcomes and likely impacts which will be created both at Micro & Macro level and Short- and Long-Term?
 - ✓ Task Sheet preparation: To do list for adoption

What are the methods for Innovation & Startup policy implementation?

What are the methods for Innovation & Startup policy implementation?

Strategic Measures at the University/ Institute Level



Formulation of the institute's innovation and start up policy and action plan in spirit of NISP

Development of an Entrepreneurial and Financial Strategy for the institute

Local ecosystem development along with Institution's innovation ecosystem

International partnerships including exchange programs, internships

What are the methods for Innovation & Startup policy implementation?

Pre-incubation Facility in the Institute?



What are the methods for Innovation & Startup policy implementation?

Support through Pre-incubation/ incubation facilities?

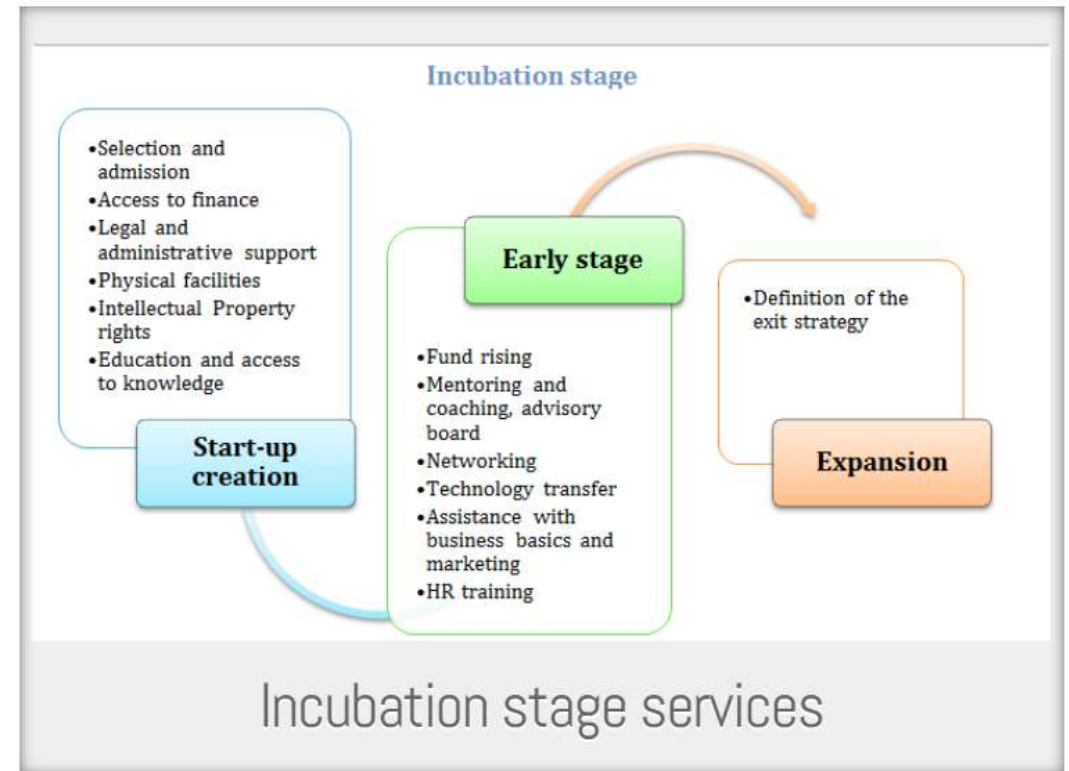
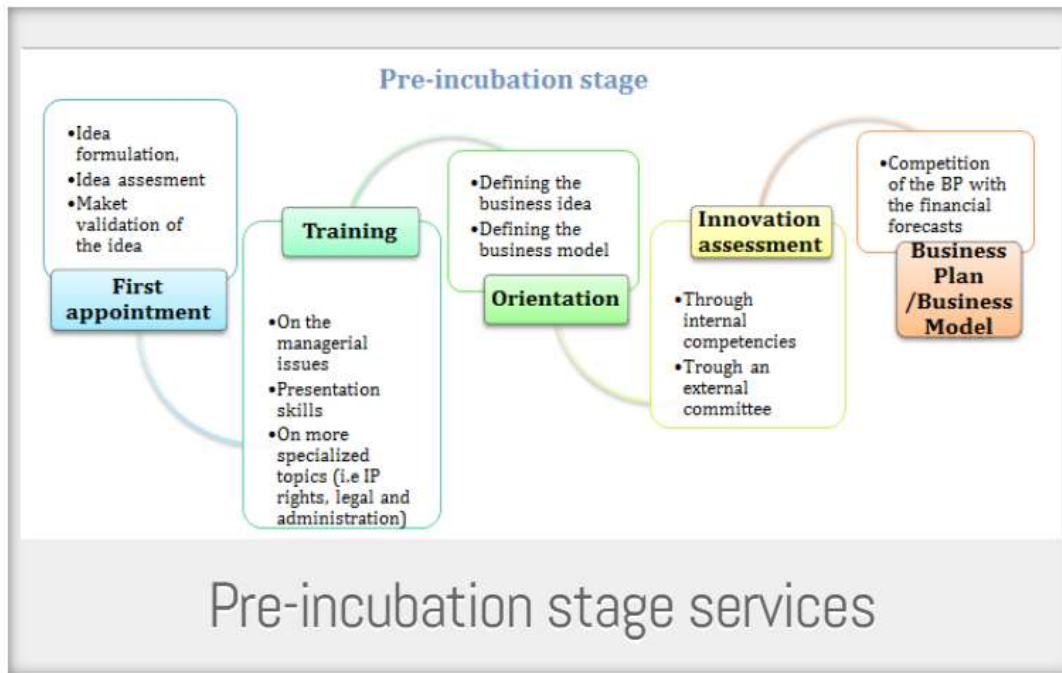


Clause 3 (i), NISP 2019

Reach out to the nearby institutions with existing facilities, in case institute doesn't have its own facility of pre-incubation and incubation, or institute is in the process of developing such facilities.

What are the methods for Innovation & Startup policy implementation?

Support through Pre-incubation/ incubation facilities?



What are the methods for Innovation & Startup policy implementation?

Financial Strategies and Resource Mobilization?

Generate funds through CSR for supporting the technology incubators

Government organizations such as DST, DBT, MHRD, AICTE, BIRAC, TIFAC, NRDC, MeitY, MSME, Startup India, Invest India, etc.

Alumni network for getting sponsorships and donations for activities

International partnerships including exchange programs, internships

Clause 1 (c), NISP 2019

What are the methods for Innovation & Startup policy implementation?

Eg. Incubation Centres under Atal Innovation Mission - 'Atal Incubation Centres'

Financial support in the form of Grant-in-aid for a maximum of 5 years

Grant-in-aid of Rs. 10 Crore - capital and operational expenditure

10,000 sq. ft of built up space with a lease period of 15 years for academic/ R&D institutions and 9 years for companies and individuals

More details at:

<https://niti.gov.in/writereaddata/files/Guidelines%20to%20setup%20AIC%20May%202016.pdf>

What are the methods for Innovation & Startup policy implementation?

E.g. DST, Govt. of India- National Initiative for Developing and Harnessing Innovations
Technology Business Incubator (NIDHI-TBI)

Registration of NIDHI-TBI as not-for-profit society/trust or a section 8 company by the Host Institution.

The minimum period of lease for which the HI should provide land & building is 30 years.

20000 sq. ft of furnished space for hosting the NIDHI-TBI.

Rs. 7- 10 Crore Grant

More Details available at: http://www.nstedb.com/New_Programmes/NIDHI-TBI.pdf

What are the methods for Innovation & Startup policy implementation?

Selection of business ideas for Pre-incubation/ incubation

Ensure Considerable commercial potential

Ensure commitment of the team to create a new start-up venture

Ensure IP filed

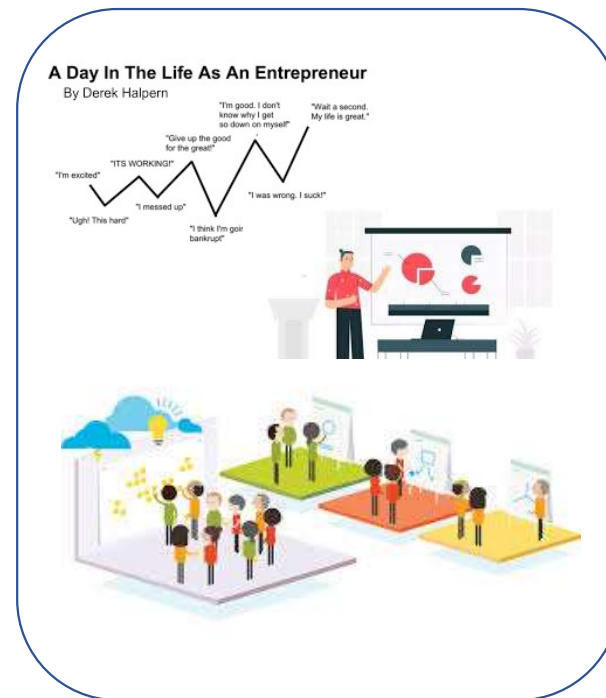
Ensure team leader take responsibility to lead the project once pre-incubation phase is over

What are the methods for Innovation & Startup policy implementation?

Creating Pathways for Entrepreneurs within Institute



DESIGN THINKING



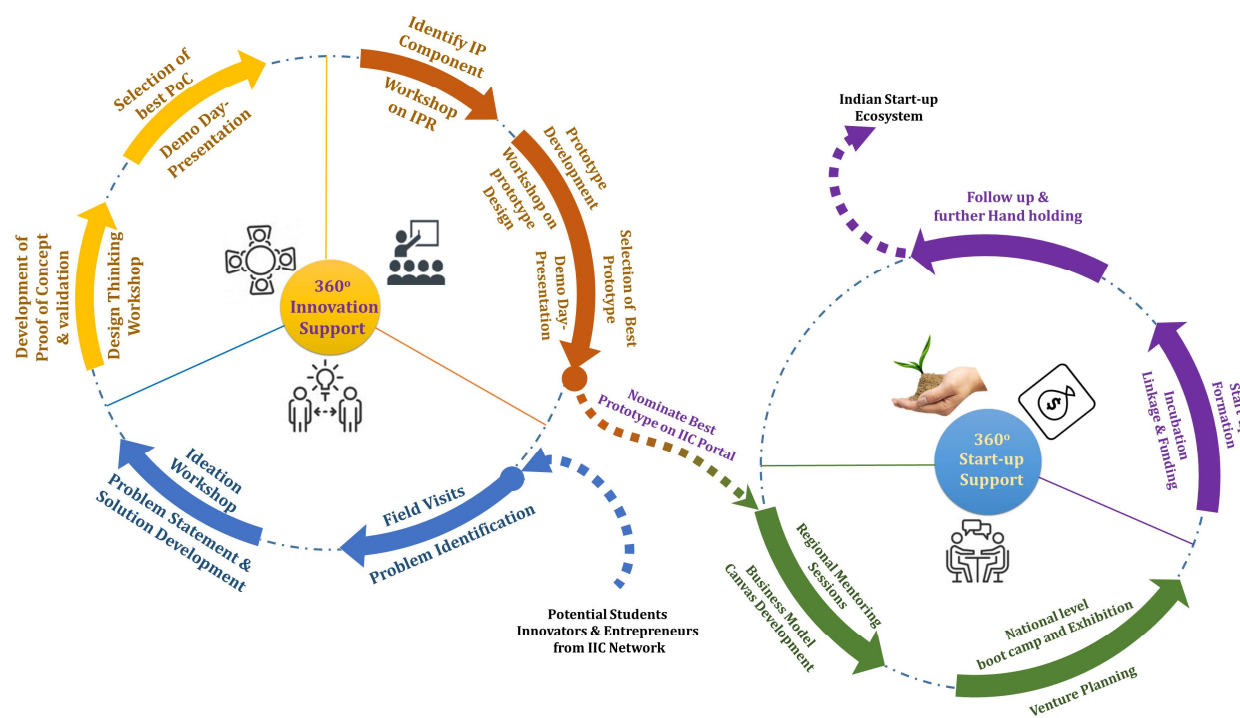
Clause 3 (g), (m), (n), (o), NISP 2019

HOW TO
**Sell your
big idea**



What are the methods for Innovation & Startup policy implementation?

Eg. Annual Innovation Contest by Ministry of Education



- MIC Annual innovation Festival
- National level Boot camp and Exhibition
- Regional Mentoring Sessions
- Prototype Development
- Workshop on IPR & Identify IP Component
- Demo Day- Presentation & Selection of best PoC
- Development of Proof of Concept
- Ideation Workshop & Solution Development
- Field Visits & Problem Identification

What are the methods for Innovation & Startup policy implementation?

Grand Challenge, Ideation Challenges by Govt., Private National/ International Organizations



Cyber Security Grand Challenge- MeitY

<https://innovate.mygov.in/cyber-security-grand-challenge/>



www.sih.gov.in



<https://home.kpmg/in/en/home/careers/grduates/kpmg-ideation-challenge-kic.html>

What are the methods for Innovation & Startup policy implementation?

Eg. Innovation Ambassadors' Trainings by Ministry of Education and AICTE



How to establish an implementation framework?

How to establish an implementation framework?

Identify Pillars of Implementation Framework for your HEI

- Startup Policy and Implementation
- Awareness and Outreach
- Incubation Support
- Seed Funding Support; Angel and Venture Funding Support
- Easing Institutional policy for students, faculty and staff

How to establish an implementation framework?

Pillars of Implementation Framework

- ✓ Organize Outreach events to showcase innovative ideas from your institute
- ✓ Organize bootcamps to identify student innovators
- ✓ Bootcamps on social entrepreneurship
- ✓ Organize hackathons, tech fest to find technological solutions for the challenges
- ✓ Entrepreneurship training
- ✓ Support participation of students in national, international events related to startups, entrepreneurship

Awareness and Outreach

How to establish an implementation framework?

Pillars of Implementation Framework

- ✓ Dedicated web portal presence on Institutions' website and display of Innovation Toolkit
- ✓ Institution's startup policy document on website
- ✓ Facilities available
- ✓ Activities Planned- idea competitions, hackathons, workshops, etc.
- ✓ Listing Regional Ecosystem enablers such as incubators, accelerators
- ✓ Status of activities, participation- dynamic
- ✓ IP support centers, Startup Cell, EDC, IEDC, IIC
- ✓ Partnerships and MoUs, Alumni network

Startup Policy and Implementation

How to establish an implementation framework?

Pillars of Implementation Framework

- ✓ Setting-up of the incubation facility and bearing of capital, operations and maintenance expenses
- ✓ Explore PPP mode in partnership with state government, corporates
- ✓ Identify faculty, alumni for Mentorship support

Incubation Support

- ✓ Reach out to State Seed Funding Support
- ✓ Make Seed funding guidelines and resources available to students, faculty
- ✓ Generate Seed funding support through appropriate financial strategies
- ✓ Explore creating a seed fund with support of Alumni network

Seed Funding

How to establish an implementation framework?

Pillars of Implementation Framework

- ✓ Easing policies related to students' such as Academic break, Credits, Internships, Relaxation in Attendance as mentioned in 3(b), NISP
- ✓ Easing policies related to faculty such as leaves, performance evaluation, faculty duties as mentioned in 3(g), NISP

Easing Institutional policy for students, faculty and staff

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Impact Indicators/ Parameters of Policy Implementation



1 a. IMPACT OF AWARENESS AND OUTREACH

- Program Conducted by Institute Related to IPR, Entrepreneurship / Start-ups & Innovation



1 b. IMPACT OF AWARENESS AND OUTREACH

- Participation / Representation of Students and (or) Faculties in Events / Programs related to IPR, Start-ups/ entrepreneurship & Innovation organized by reputed external institution at national/ international level



2. IMPACT OF FINANCIAL STRATEGY

- Annual Budget Spent on Innovation & Start-up funding, Income & Expenditure towards Promoting and Supporting Innovation & Start-up in Campus

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Impact Indicators of Policy Implementation



3. IMPACT OF INCUBATION SUPPORT

- Innovation, Pre-Incubation & Incubation Centre/Facilities exists in campus
- Grants / Funds Received by Pre-Incubation & Incubation Centre / Facilities exists in Campus



6. IMPACT OF INCUBATION SUPPORT

- Idea / Prototype / Innovation have received Grant / funding from Pre-Incubation / Incubation Centre / Facilities
- Start-ups have received Grant / funding from Pre-Incubation/ Incubation Centre/Facilities



4, 5. IMPACT AT IP FRONT & COURSES

- Patent Granted and Published
- Technology Commercialization / Transfer
- Courses on Innovation, IPR and Entrepreneurship Development Offered by Institute

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Impact Indicators of Policy Implementation

Number of Startups with CIN Number

No of Faculty as Founder & Co-Founder with
DIN

No of Startups with Annual Turnover Rs 50
Lakhs or 10 employee

No of Innovations in TRL 0-4; 5-7; 8-9

**IMPACT OF
INCUBATION
SUPPORT**

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Suggestive Indicators

Sr. no	Parameter
1	Parameter 1
1.1	No of Program Conducted
1.2	No of Program Participated
1.3	No of Awards
2	Parameter 3 Part 1 A
2.1	No of Centers Type of Facilities wise
2.2	Carpet Area in SqFt. if Pre-Incubation Centre and ≥ 600 if Incubation Unit and ≥ 1500 if Research Park/Innovation Park and ≥ 5000 if Centre of Excellence with Advance Tools & Equipment and ≥ 1000 if IPR Cell / Patent Facilitation Unit / Technology Transfer Centre
3	Parameter 6 Part 1 C
3.1	No of Innovations TRL 0-4
3.2	No of Innovations TRL 5-7
3.3	No of Innovations TRL 8-9
	Sub Total
4	Parameter 6 Part 1 D
4.1	No of Startups with CIN
4.2	No of Faculty as Founder & Co-Founder with DIN
4.3	No of Startups with Annual Turnover Rs 50 Lakhs or 10 employee

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Suggestive Indicators

5	Parameter 3 Part 2
5.1	Giving Incubation
5.2	Receiving Incubation
6	Parameter 6 Part 1 C
6.1	Parameter 6 Part 1 C: Total Angel/VC Fund Amount raised by Innovation
6.2	Parameter 6 Part 1 D: Total Angel/VC Fund Amount raised by Startups
7	Parameter 4
7.1	No of Full time Programs
7.2	No of Short time & Elective / Core Credit
7.3	No fo MDP, EDP, FDP Programs

How to evaluate the progress and impact of policy by setting up Key Performance Indicators (KPIs) ?

Suggestive Indicators

8	
8.1	Parameter 5.1
I	Patent Granted
ii	Patent Published
iii	Incubated Startup holds Patents
	Sub Total
8.2	IP and Technology Commercialization 5.2
i	No of IP Commercialized/Technology Transferred
9	Budget - Expense and Revenue (Parameter 2)
9.1	Total Expense towards innovation, IPR and Startup
i	Total Expense on Program Conducted and participated
	Program Conducted Amount
	Program Participated Amount
ii	Incubation Infra. (Capital Expenditure + Operational Expenditure)
iii	Total Seed Fund/Grant Disbursed to Innovations
iv	Total Seed Fund/Grant Disbursed to Startups
	Sub total
9.2	Total Revenue/Income from innovation, IPR and Startup and incubation
i	Total Income from Incubation (training and skill + mentoring + office space and rent)
ii	Total Revenue for Technology /IP Commercialization
	Sub Total

Action Items post-Training Session 2

Create dedicated
Web Portal for
display

- Create a dedicated web portal and prominent display on Institutions' website
- Institution's startup policy document on website, if created already/ NISP document
- Facilities available for startups and entrepreneurship
- Activities Planned- idea competitions, hackathons, workshops, etc.
- Listing Regional Ecosystem enablers such as incubators, accelerators
- Status of activities, participation- dynamic
- Explore IP support
- Partnerships and MoUs, Alumni network



Important Links

Recorded version of NISP Training Session 1 on MIC's social media:
<https://www.facebook.com/mhrdInnovation/videos/1557696537724806>
<https://www.youtube.com/watch?v=gD4idxmCPfU>

Recorded version of NISP Training Session 2 on MIC's YouTube channel
<https://www.youtube.com/watch?v=ntGm7GdlUc8>

Institutes can join the NISP Campaign launched by Ministry of Education's Innovation Cell
https://mic.gov.in/startup_application.php

Institutes can Implement NISP by Appointing a Sr. Faculty as In charge and send Nominations
https://mic.gov.in/nominate_faculty_for_nisp.php

For detailed explanation of NISP, watch video at
<https://www.youtube.com/watch?v=8vdEyL7uKXs&t=7330s>

Download the Copy of NISP & Share with Students, faculties, and Head of Institute for Adoption
https://mic.gov.in/assets/doc/startup_policy_2019.pdf



Thank you

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