



St. John's National Academy of
Health Sciences

Entrepreneurship Policy

2022

for

Medical Professionals, Scientists and Technologists

Version	1.0
Effective Date	15 December 2022
Responsible officer(s)	Deans, St. John's Medical College/ St. John's Research Institute/ CMS, St. John's Medical College Hospital, Principal, St. John's College of Nursing
Oversight officer(s)	Associate Director – College and Research Institute Associate Director – Hospital Associate Director – Finance
Approving Authority	Governing Board – CBCI Society for Medical Education

Executive Summary - Entrepreneurship Policy, SJNAHS

Government of India through its multiple initiatives has been promoting innovation led scientific start-up ecosystems. Through a 2009 office memorandum, GoI has approved promotion of academic innovators and institutes to have equity stake in scientific enterprises, set up of incubation centers by research and academic organizations and facilitate movement of faculty and researchers between industry and research and academic organizations.

Purpose

1. To create an ecosystem to empower and enable SJNAHS stakeholders in promoting Innovation and Entrepreneurship development.
2. To achieve excellence in healthcare through scientific knowledge, research, innovation, and entrepreneurship to serve the underserved, increase knowledge, and employment, with a proactive sense of social responsibility.

Scope

- Covers all stages of the entrepreneurship continuum.
- Applies to All Administrative Units of SJNAHS
 - St. John's Medical College
 - St. John's Medical College Hospital
 - St. John's College of Nursing
 - St. John's Research Institute
 - St. John's Institute of Allied Health Sciences

Objectives:

- To encourage the students, faculty, researchers, scientists, staff and trainees of the Academy to create an Ecosystem for promoting Innovation and Entrepreneurship development.
- To promote Biomedical Innovations and Entrepreneurship by Medical Professionals, Scientists and Technologists to foster the development of unmet need-driven, impactful Technologies for societal benefit.

Review and Exclusions of this Policy

- Review: This policy document may be reviewed anytime by a committee appointed by the Director, SJNAHS, and terms may be revised from time to time as deemed necessary.
- Exclusion: Vendors and other stakeholders with no interest in entrepreneurship or innovations do not fall under the purview of this Policy.

Policy Details:

Setting up an Office of Licensing of Innovation Ventureship and Enterprise (OLIVE)

- St Johns Health Innovation Foundation (SJHIF) will serve as OLIVE
- Facilities provided by OLIVE (subject to applicable fee)
- Conducting workshops, symposiums, talks/orations, seminars, networking events, courses
- Organizing hackathons, innovation challenges and demo days

- Developing an ecosystem of professionals
- Providing space for incubation for a period of 3 years, including laboratory or co-working space.
- The usage of space and facilities of incubator facility at the Institutes by the faculty-owned company may be paid as per existing incubator norms.
- Providing business development and techno-legal expertise to support investigators' ability to execute partnerships.
- Engaging with other registered incubators through MOU's.
- Facilitating technology exchange and collaboration
- Improving access to finance and funding
- Optimising the regulatory environment in SJNAHS

SJNAHS' guidelines

- To create an ecosystem for innovation including an incubation centre and other initiatives for the creation and transfer of knowledge.
- Encourage joint investment in Research and Development and Entrepreneurship from the private sector shall as Collaborations, PPP or contract research mechanisms.
- Shall endeavour to enable the faculty members to balance the academic, and patient care responsibilities along with research and innovation activities.
- Encourage and prioritize participation and involvement of its personnel in entrepreneurship and enable the formation of Spin-offs and start-ups.
- Create suitable mechanisms and also set-aside dedicated funds raised from innovation activities and research, to reward their Faculty, Student, and Staff Innovators.
- To develop and implement inter-disciplinary course curriculum to foster interdisciplinary innovations such as MD-PhD, MBBS-MTech, MBBS/MD-MSc.

Guidelines for Innovators (including faculty, researchers, scientists, and staff)

- The innovators should register the idea or concept with Academy's IPR Office.
- Owners or shareholders of the start-up company or spin-off and may hold the position of a Non-Executive Director on Board while simultaneously working as faculty, researcher, scientist, resident or trainee.
- If a faculty chooses to opt for an operational and full-time role in the start-up company, then they will have to avail sabbatical leave, if available, as per SJNAHS leave rules. Max 2 years continuous can be considered.
- Faculty may also choose to dedicate a part or all of the days for consultancy work in the start-up as per the norms of the Consultancy policy of SJNAHS.
- The Revenue sharing from faculty owned Start-ups with SJNAHS will be based on the CBCI-SME's IPR Policy.
- Balance of time spent by Faculty/ Researcher(s)/ Trainee(s) amongst his/ her diverse duties and responsibilities conforms to SJNAHS policy regarding conflict of commitment.

Incubation

- A start-up operated by an Innovator of SJNAHS
- Up to 3 years, extendable subject to merits, opportunities & approval by committee

Spin off from SJHIF:

- Following the incubation period.
- Innovator may be allowed to maintain equity in the company functioning outside the premises also

Approval of Entrepreneurship Activity

- Proposals for innovations, start-up companies, and consultancy will be reviewed by SJNAHS Director, through St Johns Health Innovation Foundation.
- SJNAHS Director and Executive Committee will have the right to make the decision to accept or decline the proposal.

Conflict of Interest, Disputes, and Its Resolution

A conflict of interest (Col) shall be considered as a case where an employee engages in entrepreneurial activities at the expense of the interests of SJNAHS as defined by the Executive Committee, SJNAHS.

- Engagement in entrepreneurship must not create any perceived/ actual conflict of interest.
- Col, if any, must be immediately reported to the Director, SJNAHS
- Director, SJNAHS may appoint a committee/ombudsman for resolution of any Col and/or disputes
- Any violation of the above policy shall be dealt with as per SJNAHS service rules

Impact Assessment

The Director SJNAHS may appoint a committee in collaboration with SJHIF to assess the impact of the faculty's entrepreneurial initiatives.

Income Distribution

1. The Intellectual Property Rights (IPR) ownership, IPR Licensing, and Revenue sharing will be as per the **CBCI-SME IPR Policy**.
2. Income earned by individuals will be taxable as per Govt. of India rules.
3. Equity Sharing/Holding
 1. 2% to 10% in start-ups incubated at SJHIF

All transactions will be cashless to an authorized Institutional bank account through bank transfer.

Entrepreneurship Policy Details

Introduction

Over the last decade, there has been a growing recognition of the importance of innovation-driven academic entrepreneurship at national, state and institutional policy-making levels. This is especially true for academic medical and research institutions funded by public, private, or by the not-for-profit sector. Several important initiatives have been taken by the Government of India at the national, state and institutional levels that focus on supporting inventions, innovations, entrepreneurship and start-ups in higher educational institutions. e.g. Start-up India, Atal Innovation Mission (AIM), Scheme for facilitating Start-ups Intellectual Property Protection (SIPP) by DPIIT etc and several innovation driven programs or Centres have also been set-up to foster biomedical innovations.

The Ministry of Science and Technology, Government of India in its Office Memorandum **DSIR OM No. 3/3/2009- TU/V/ Knowledge-to-equity dated May 25, 2009**, approved the Proposal by the Department of Scientific and Industrial Research on "*Encouraging Development and Commercialization of Inventions and Innovations – a new impetus*". The key components of the proposal approved for implementation were:

- i. Permitting the faculty and researchers to have an equity stake in scientific enterprises or spin-offs while in professional employment with their research and academic organizations (universities, academic and research institutions)
- ii. Permitting the research and academic organizations to invest knowledgebase as equity in the enterprises.
- iii. Encouraging the research and academic organizations to set up incubation centres; and
- iv. Facilitating mobility of faculty and researchers between industry and research and academic organizations

Based on the above order, on February 24th 2022, the Union health ministry launched the **ICMR/ DHR Policy on Biomedical Innovation and Entrepreneurship for medical professionals, scientists and technologists at medical, dental, para-medical institutes.**

This Entrepreneurship policy, developed from the above two policy documents, aims to create an ecosystem that would empower and enable the faculty, scientists, researchers, residents, staff, students, and trainees of St. John's National Academy of Health Sciences (SJNAHS), Bengaluru in promoting Innovation and Entrepreneurship development. The Institute in line with its vision statement aspires to achieve excellence in healthcare through scientific knowledge, research, innovation, and entrepreneurship so as to serve the underserved, increase knowledge, and employment, with a pro-active sense of social responsibility.

Scope of the Policy

The scope of this Policy is to cover all stages of the entrepreneurship continuum, in line with the existing National Policies specifically in view of the prevailing needs in the biomedical domain.

This Entrepreneurship Policy aims to support and promote entrepreneurship for the faculty, scientists, researchers, residents, staff, students, and trainees of SJNAHS. It sets out a structured framework of relevant policy areas, embedded in an overall entrepreneurship strategy that helps guide the stakeholders through the process of creating an environment that facilitates the embedding of entrepreneurship in the curricula, the emergence of entrepreneurs and start-ups in healthcare, as well as the growth and expansion of new enterprises.

This policy document covers innovation in all facets that impact the creation and functioning of the national healthcare system. This includes innovations in Public health delivery systems, Healthcare Business Model Innovations (including digital healthcare delivery systems) and category-specific innovations such as those pertaining to Pharmaceuticals (Drugs and Biosimilars), Nutraceuticals, Vaccines, Diagnostics, and Medical Devices (including healthcare software systems and health and wellness mobile apps as medical devices) and inter-disciplinary innovations.

This policy is applicable to all departments, divisions, units, and personnel of St. John's National Academy of Health Sciences (SJNAHS) owned by the CBCI Society for Medical Education for those interested to undertake innovation or entrepreneurship activities.

The scope of these policies will be applicable to all the following administrative units of the Academy:

1. St. John's Medical College
2. St. John's Medical College Hospital
3. St. John's College of Nursing
4. St. John's Institute of Allied Health Sciences
5. St. John's Research Institute

This policy will apply to all the following members at SJNAHS and includes:

1. Academic staff (professors, associate and assistant professors, senior residents, lecturers, tutors)
2. Medical students, residents, Doctoral trainees
3. Researchers and Scientists
4. Technical assistants, paramedical staff
5. Incubator or support staff
6. Any other short-term or long term trainee or employee of SJNAHS who may be engaged in biomedical innovations, technology access, utilization, entrepreneurship, health-tech start-ups, spin-offs or related activities (Collectively referred to as Innovators and Innovator singularly).

Vision

To create research and innovation-led entrepreneurial ecosystem in the Academy with the ultimate goal of positively impacting human health, well-being and benefiting society.

Mission

1. To create and disseminate knowledge to reach the needy in a global context.

2. To foster research, innovation, and entrepreneurial culture in the Institute through curriculum, leadership, and mentoring.
3. To equip faculty, students and staff for developing innovative solutions in healthcare
4. To develop faculty as thought leaders and mentors
5. To ingrain ethics, sustainability, and inclusive growth in all the entrepreneurship activities

Objectives

1. To encourage the students, faculty, researchers, scientists, staff and trainees of the Academy to create an Ecosystem for promoting Innovation and Entrepreneurship development.
2. To promote Biomedical Innovations and Entrepreneurship by Medical Professionals, Scientists and Technologists to foster the development of unmet need-driven, impactful Technologies for societal benefit.

Office of Licensing of Innovation Ventureship and Enterprise (OLIVE) -- St Johns Health Innovation Foundation (SJHIF)

St Johns Health Innovation Foundation (SJHIF) will function as the OLIVE as recommended by the ICMR-DHR policy. It will conduct activities to enable medical professional, faculty, staff and students to undertake entrepreneurship and innovations. SJHIF is registered as not-for-profit Section-8 Company under the Ministry of Corporate Affairs, Govt. of India. It was incorporated on 27th June 2018 under the companies' act of 2013 to foster health innovations for society.

SJHIF will bring together talent from different disciplines such as engineering, electronics, computer science, biotechnology, data analytics and other domains to collaborate and work with doctors and health professionals. The objective of SJHIF is to develop innovative solutions for common health problems. The facilities provided by SJHIF will include the following (SJHIF may charge appropriate fees for the same): -

- Conducting workshops, symposiums, talks/orations, seminars, networking events, courses
- Organising hackathons, innovation challenges and demo days
- It will develop an ecosystem of professionals such as patent agents, Chartered accountants, company secretary, mentors, experts on regulatory affairs, legal attorneys etc. Incubated companies can access such services at discounted and nominal rates.
- Provide space for incubation for a period of 3 years, including laboratory or co-working space. The usage of space and facilities of incubator facility at the Institutes by the faculty-owned company may be paid as per existing incubator norms.
- To provide business development and techno-legal expertise to support investigators' ability to execute partnerships. SJHIF may also engage another registered incubators through MOU's to provide support towards IPR and techno-legal activities of the incubated companies.
- Facilitate technology exchange and collaboration
- Improving access to finance and funding
- Optimising the regulatory environment in SJNAHS

The SJHIF will hold a liability-free equity stake of 2% to 10% in any external start-up companies that are incubated for a duration of 10 years. If the Company owned by the faculty is incubated at the SJHIF, the equity/ stakes against Incubation will be held as per **SJNAHS (CBCI-SME) IPR Policy**.

Duration of Incubation:

1. A start-up operated by an Innovator may be allowed to operate in the incubator (SJHIF) for a duration of up to 3 years (the incubation period).
2. Following the incubation period, the start-up may be 'spinned-off' from the SJHIF premises. However, the innovator may be allowed to maintain equity in the company functioning outside the premises also.
3. The incubation period may be extended by the committee on a case-by-case basis or on the incubation opportunities available at SJHIF.
4. An extension beyond the initial housing period (further up to three years) may be granted to the company upon request to the incubator (SJHIF), based on the merits of the business opportunity it holds

Impact Assessment

The Director SJNAHS may appoint a committee in collaboration with SJHIF to assess the impact of the faculty's entrepreneurial initiatives. This may be assessed regularly using well-defined assessment parameters such as:

- Monitoring and evaluation of IP(s) filed, technologies licensed or commercialized, products developed by the faculty may be assessed.
- Number of employments generated, start-ups created, support system provided at the institutional level and satisfaction of participants, new business relationships created by the institutes may be recorded and used for impact assessment.
- Impact assessment may also include the support system provided by the medical institute to the faculty member, trainee and other staff for IPR protection, technology incubation, industrial collaboration, exposure to entrepreneurial eco-system etc.
- The impact assessment may also include sustainable social, financial, and technological impact parameters, as may be identified by the SJNAHS. For the technologies which are at the pre-commercial stage, the development of a sustainable enterprise model is critical. Commercial success is the best measure for long-term assessment.

Review and Exclusions of this Policy

Review: This policy document may be reviewed anytime by a committee appointed by the Director, SJNAHS, and terms may be revised from time to time as deemed necessary.

Exclusions: Vendors and other stakeholders with no interest in entrepreneurship or innovations do not fall under the purview of this Policy.

Policy Details

A. For the Academy (SJNAHS)

- i. St. John's National Academy of Health Sciences shall create an ecosystem for innovation including an incubation centre and other initiatives for the creation and transfer of knowledge. The incubator established at SJNAHS shall be in the form of a legal entity that will enable statutory registrations, access funding, and facilitate the free formation of Public Private Partnerships.

- ii. St Johns Health Innovation Foundation, incorporated as a Section 8 Company will serve as the incubator and will function as the OLIVE for SJNAHS,
 - a. It will facilitate and recognize what motivates each of the relevant stakeholders
 - b. It will enable the stakeholders to receive the specific benefit they expect in exchange for their contribution to the innovation process. This framework shall incentivize participation, ensure due recognition to stakeholders and establish well enunciated measurable incentives.
- iii. Investment in Research and Development and Entrepreneurship from the private sector shall be encouraged such as Collaboration or contract research mechanism. The joint use of resources is considered as one of the main drivers. Academic research can offer a high degree of disruptive innovation to diversify therapeutic research; vice versa the private industry can provide the technical, organizational, and financial means to scale-up early research and catalyse proof-of-concept to the translational stage.
- iv. The Institution shall conduct workshops, seminars on Intellectual Property Rights (IPR), grant writing, hackathons, prototyping workshops, demo days and Industry-Academia innovative practices. Awards for innovation won by Institution(s)/teachers/ research scholars/trainees, start-ups incubated on-campus shall be explicitly commended by the Institution.
- v. The Deans and Heads of various administrative units in SJNAHS shall develop suitable mechanisms or a platform to utilize various funding schemes of the Government of India and others.
- vi. The Deans and Heads of various administrative units in SJNAHS shall endeavour to enable the faculty members to balance the academic, and patient care responsibilities along with research and innovation activities. More importantly, acquiring Intellectual property rights, their successful translation and promoting entrepreneurship shall be given equitable weightage along with the academic and patient care responsibilities.
- vii. SJNAHS will strive to improve utilization of Government and Private Sector schemes that support greater, better and purposeful protection, use and leveraging of IP created by faculty, scientists, researchers and trainees in academic medical institutions and bio-medical research institutions in India.
- viii. The process for grant application and grant utilisation shall be simplified and standardized. Separate interrelated processes will be involved in an Online system for applying for grants, innovations and grants management.
- ix. SJNAHS shall encourage and prioritize participation and involvement of its personnel in entrepreneurship and enable the formation of a legal entity at the institute, if required, in the following manner:
 - a. Company jointly owned by the faculty members, researchers, scientists, clinical innovators, trainees, and alumni (along with external partners) will be encouraged.

- b. Company owned by the faculty members (one or many) along with other entrepreneurs from outside the institute will also be encouraged.
- x. SJNAHS through the incubator SJHIF shall create suitable mechanisms and also set-aside dedicated funds raised from innovation activities and research, to reward their Faculty, Student, and Staff Innovators.
- xi. SJNAHS shall to develop and implement inter-disciplinary course curriculum to foster interdisciplinary innovations such as MD-PhD, MBBS-MTech, MBBS/MD-MSc.
- xii. SJNAHS has created an independent research institute with various laboratories that will facilitate evaluation of technologies and pre-clinical or clinical evaluation of biomedical products and devices.
- xiii. Any funding for tasks received by the SJNAHS may be undertaken by the entrepreneurs from the Institutes. However, the Institute's overhead charges will be applicable.
- xiv. Income earned by the start-up will be shared as per the ownership equity between the institute and the entrepreneurs.

B. For the Innovators (including faculty, researchers, scientists, and staff)

- i. The innovators should register the idea or concept with Academy's IPR Office.
- ii. The concept or idea will be evaluated as per the SJNAHS (CBCI-SME) IPR Policy.
- iii. If acceptable, the innovators in coordination with the mentor will develop a proper business plan to undertake the innovation activities and obtain funding for the same.
- iv. The role of a faculty member, researchers, scientist, residents, or trainees as Innovators may differ from being an owner or direct promoter, advisor, consultant, or as member of the start-up. It is expected that the innovator faculty member, researchers, scientist, residents, or trainees would be owners or shareholders of the start-up company or spin-off and may hold the position of a Non-Executive Director on Board while simultaneously working as faculty, researcher, scientist, resident or trainee.
- v. If the faculty member, researcher, scientist, resident, or trainee chooses to opt for an operational and **full-time role** (Scientific Advisor, CEO, On-board Executive Director or member etc) in the start-up company, then they will have to avail sabbatical leave, if available, as per SJNAHS leave rules. The following options as may be applicable:
 - a. He/ She may opt for a sabbatical (if applicable) and work full-time in the company. He/ She may avail maximum leave (as sabbatical/ casual leave/unpaid leave/ earned leave) of one semester per year which may be permitted to the faculty member, Innovator. This

may be extended based upon the decision of the review committee constituted by Director, SJNAHS. A maximum period of 2 years at a stretch may be permitted.

- b. He/ She may dedicate a part or all of the days for consultancy work in the start-up company or spin-off. However, under no circumstance, the total number of days of non-institutional activities would exceed the SJNAHS's norms as per the **SJNAHS Consultancy Policy**.
 - c. The Innovator may act as a licensor to the business, whereby the business pays a recurring licensing fee, royalty any other form of benefit sharing to the Faculty, Researcher(s), Trainee(s) for the intellectual property created by the Faculty/ Researcher(s)/ Trainee(s) for the business. The Revenue sharing with SJNAHS will be based on the **SJNAHS (CBCI-SME) IPR Policy**.
- vi. The Innovator shall ensure that his/her duties and responsibilities conform to SJNAHS policy regarding conflict of interest and commitment. This may, amongst other things, ensure that the balance of time spent by Faculty/ Researcher(s)/ Trainee(s) amongst his/ her diverse duties and responsibilities conforms to SJNAHS policy regarding conflict of commitment.
 - vii. The Innovators may undertake projects (Public or Private funded) that could be conducted at SJNAHS and managed through their companies. However, the institute's overhead charges shall be duly paid as per the applicable norms and standards of SJNAHS.
 - viii. The Bank account of the innovation- driven spin-off or start-up may be kept separate and may be audited from time-to-time, by a certified chartered accountant.
 - ix. Any honorarium or overhead obtained as a result of being a consultant for engaging in a company-in incubator or sponsored project of an innovation will be considered as income and the percentage of income bifurcation needs to be made as per the **SJNAHS Consultancy Policy**.
 - x. Financial, non-financial disclosure, collaborative research and any other necessary agreements need to be signed as per the existing institute norms and standards of practice. In case the faculty is involved in clinical validation of biomedical research and innovation in start-up, prior ethics committee (EC) approval may be obtained from the Institute Ethics Committee. Any scientific presentation coming out of such an initiative may have a clear disclosure about the faculty's financial interest in such innovations as per SJNAHS Policies.
 - xi. Any financial assistance (in form of salary, consultancy or licensing fee) paid to the founding members of the company may be considered entirely as income of the involved faculty members during the incubation period within the campus. Once the company moves out of the institute, the faculty member may be permitted to take a sabbatical and work with the company as per the existing rules of the institute. He/she may also receive financial assistance in the form of a consultancy fee as per the **SJNAHS Consultancy Policy**.

- xii. The start-up so created will comply with all the statutory, financial, and non-financial obligations and disclosures required by law.

Outsourcing of sponsored research/ consultancy assignment:

In case transfer of equity is being done through empanelled techno-legal facilitator agencies, the provisions of this section may be referred to. The techno- commercial facilitators (*such as Kalam Institute of Health Technology, FITT, Sree Chitra Tirunal Institute for Medical Sciences and Technology- Technology Business Incubator for Medical Devices and Biomaterials SCTIMST-TIMed under DST, Atal incubators under NITI Aayog, Technology Transfer Office (TTO) under DBT-BIRAC, Bio-Nest centres under DBT- C-CAMP, etc.*) may be allowed to take up to 2% equity for their role.

Outsourcing of SJNAHS projects (part or full) to a faculty-owned company, if permissible, would be governed by this existing policy and will be decided on a case-to-case basis by a committee constituted by the Director, SJNAHS.

Intellectual Property

The Intellectual Property (IP) ownership, IP Licensing, and Revenue sharing will be as per the SJNAHS (CBCI-SME) IPR Policy.

Taxation of Innovation, Entrepreneurship and Start-Ups

The tax applicability shall be as per the provisions of taxation of Innovation, Entrepreneurship and Start-ups as per existing Tax Laws by the Government of India, which will be revised from time to time.

Conflict of Interest and its Resolution

It is imperative for the faculty member to disclose development of a Conflict- of-Interest (COI) Management Plan to clarify allowable research activities and to ensure that such activities occur within the boundaries of SJNAHS policies and applicable laws. The faculty member may always operate from the principle that the primary duties and obligations towards his/her institute are supreme.

- i. The innovator shall inform and take prior permission from the Director, SJNAHS before starting any Company or associating with any enterprise and shall abide by the consideration decided by SJNAHS.
- ii. The Innovator shall not influence a departmental decision for acquisition of laboratory and/or equipment which could benefit the Company and/or any associated enterprise.
- iii. The Innovator shall not circumvent the prevailing policies for making use of SJNAHS' facilities for the benefit of the Company and/or any associated enterprise.
- iv. The Innovator shall comply with the different provisions and Government rules and regulations.
- v. Internal complaint redressal mechanisms shall be adopted by the SJNAHS for resolving any Conflict of Interest. If case any conflicts arises when trainee(s)/ postdoctoral fellow(s)/ resident doctor(s) supervised by the faculty member who are working on a research project sponsored by that faculty's start-up company or due to other entrepreneurial endeavours, an ombudsman/

independent committee may be appointed by the Director, SJNAHS to deal with such conflicts/complaints and facilitate a resolution.

- vi. In case of any disputes which are not settled within the independent committee, the matter may be taken for arbitration or conciliation as a dispute resolution mechanism as per the Arbitration and Conciliation Act 1996 amended as on date.

References

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