



**STUDENT, FACULTY,
INNOVATION &
ENTREPRENEURSHIP
POLICY**

INNOVATION HUB POLICY IS ENVISIONED TO BE CENTRE FOR DRIVING A VIBRANT ECOSYSTEM TO DEVELOP AN END-TO-END INNOVATION AND ENTREPRENEURIAL CULTURE ACROSS UTTAR PRADESH

**INNOVATION HUB
DR. APJ ABDUL KALAM
TECHNICAL UNIVERSITY
LUCKNOW**

STUDENT, FACULTY, INNOVATION & ENTREPRENEURSHIP POLICY

Policy for the Promotion of Innovation, Incubation, Entrepreneurship, and Startups in Uttar Pradesh

"The Policy aims to inculcate Entrepreneurship, foster Innovation, and inspire Innovators' lives with necessary Infrastructure Support, Mentorship, and Informative Outreach Programs that Inform, Empower, Educate, and Create Opportunities for all Ecosystem Enablers!"

INNOVATION HUB

Dr. A.P.J. Abdul Kalam Technical University, Lucknow

1. Introduction

1.1 Importance of Innovation: Indian Context

Innovation is typically associated with the development of new products that offer performance or functional enhancements over existing ones. These are referred to as "product innovations" and are generally more visible than "process innovations." Innovation has been a major global driver of change, consistently delivering accessible and affordable solutions to meet the ever-evolving needs of customers.

Driven by the 'Viksit Bharat' and 'Aatmanirbhar Bharat' initiatives, there is a strong push to empower local manufacturing sectors, which will, in turn, contribute to the production of innovative products at an economical cost. India has also sought to improve the scale of production and enhance its research capabilities with the introduction of the new Science, Technology, and Innovation Policy 2020.

Today, India is striving to establish itself as a global leader in high-end technology products and services. With the advantage of a dynamic and youthful population, coupled with the pressing need for change across various sectors and regions, India is on a path of innovation-driven, rapid, and inclusive growth. This will lead to significant social and economic transformation, ultimately contributing to the goal of becoming a \$5 Trillion economy.

1.2 Innovation in Uttar Pradesh

Uttar Pradesh stands at 9th Rank in the Innovation Rankings, NITI Aayog with a score of 22.85. Government of Uttar Pradesh is working on Innovation fields which are as follows:

1. Building Human Capital by increasing the enrollment in Engineering & Technology and Ph.D., Schools with ICT Labs, more NAS (National Achievement Survey) and NAAC Grading (National Assessment & Accreditation Council).
2. Increased investment and expenditure in Higher & Technical Education, R&D, STEM.
3. Creating a conducive Business Environment like developing Incubators, CFCs, Cluster identification and segmentation, internet subscribers, and online services transactions, resulting in ease of doing business.
4. Associating with the Knowledge workers for knowledge-intensive employment, and developing State-funded and Private R&D units.
5. Increasing the Knowledge Output via Grassroot innovations, Patent and Trademarks filed, publications, supporting startups, and newly registered businesses.
6. Knowledge Diffusion production via capacity building, ICT Exports, Tech manufacturing entities, and the citations.

Innovation and Entrepreneurship have emerged as one of the key points of the Higher & Technical Education system with a focus to give impetus to overall economic development for realizing the vision of a self-reliant India (Atmanirbhar Bharat). This Innovation Hub Startup Policy shall also act as a catalyst in creating more campus entrepreneurs by providing awareness on taking entrepreneurship as a preferred career.

2. About Innovation Hub

Innovation Hub is conceptualized by Government of Uttar Pradesh under Startup Policy 2020 to make strategic interventions to develop a benchmark startup and incubation support system in Uttar Pradesh. The main objective of Innovation Hub is to inculcate the entrepreneurial spirit in the youth and drive them to be the Changemakers of the Society. The Innovation Hub is established at Dr. APJ Abdul Kalam Technical University

Lucknow. The Innovation Hub works on Hub & Spoke model and will provide the state-of-the-art infrastructure and world-class lab facilities to the innovation centers and to the students, startups and incubates across the state of Uttar Pradesh.

2.1 Vision

To inculcate Entrepreneurship, foster Innovation, inspire Innovators lives with Informative outreach programs that inspire, inform, empower, educate and create opportunities for all the ecosystem enablers.

2.2 Mission

To introduce Global Innovation Practices through Research & Development targeted towards enabling various associated ecosystems for supporting innovation, entrepreneurship and incubation leading to produce socially and economically viable innovative startups which can contribute in Nation-Building.

3. Policy Goals

1. Outreach and sensitize 5 lakh students on innovation and entrepreneurship across 750 degree level institutions and 100 schools in the state.
2. To support school level (9-12 Class) 1,000 students-led Proof-of-Concepts /innovations/ prototypes.
3. To develop pre-incubation support systems in 750 AKTU Affiliated institutions to execute comprehensive innovation agendas.
4. Assistance to at least 500 IP(Intellectual Property) filings/regulatory filing.
5. To develop incubation centres in at least 300 AKTU affiliated institutions.
6. To incubate, groom and upscale at least 1,500 startups.
7. To create atleast 15,000 jobs in 5 Years
8. Financial Assistance to 1000 student ideas within a period of 5 Year.
9. To inspire, encourage and engage 200 faculty startups.
10. To support 5 model incubation centres of Uttar Pradesh
11. To establish Accelerator at Noida to support minimum 100 startups.

4. Strategies & Governance for the Promotion of Entrepreneurship & Innovation

The main objective of Innovation Hub is to inculcate the entrepreneurial spirit in the youth and drive them to be the Changemakers of the Society. Incubators are the most critical component of the startup ecosystem. They are mostly established by Government at the Engineering Institutes and private Institutes in commercial spaces to support startup companies during their early stages of life to develop a scalable business model. They are envisioned to provide startups with various resources such as physical office space, coaching, mentoring, legal & corporate services and providing network connections to grow their business.

4.1 Infrastructure & Strategic Planning Activities

In the context of this policy, incubators will serve as the first point of contact for startups to get their business plans evaluated for availing of any incentives as per the UP-Startup Policy 2020. Also, the startups shall be able to apply for financial incentives to the Startup Nodal Agency only after approval by the incubators. An incubator shall also mean an Accelerator/Technology Business Incubator recognized by the Government of India.

4.1.1 Innovation Hub would be connected to all the Government of Uttar Pradesh recognized incubation centers through Hub & Spoke model where incubators spread across the state will act as Spokes and draw synergies from the Innovation Hub at AKTU.

4.1.2 Innovation Hub AKTU has established Incubation Centers at various AKTU Institutions.

- 4.1.3 Innovation Hub will closely work with Startup Nodal Agency to launch various Startup Challenges Programs providing startups a fair opportunity to partner with the State Government and play an important role in finding solutions to large-scale problems.
- 4.1.4 Innovation Hub, AKTU will design the entrepreneurial curriculum to be adopted by schools and colleges in the state.
- 4.1.5 Innovation Hub is offering the guidelines on establishing the latest core infrastructural facility for innovation and startup activities at these Incubation Centers such as ready to use infrastructure including fully furnished spaces, co-working spaces, cafeteria, meeting rooms, computers with internet connectivity, electricity, water, security and other offices.
- 4.1.6 Innovation Hub will guide, monitor and ensure facilities such as Research Labs, Testing Labs, Design Studios, Entrepreneurship Development Cell, Technology transfer cell, IPR cell, Technology-enabling center, to be made available at the Incubation Centers.
- 4.1.7 Apart from physical infrastructure, Innovation Hub will propose Incubators to set up digital infrastructure for incubation services and engagement with startups/stakeholders digitally.
- 4.1.8 The Innovation Hub will jointly host and run contests with Government of Uttar Pradesh Incubators like Hackathons, Ideathons, Boot Camps, Grand Challenges, Workshops, FDPs, and various other activities related to innovation and startups as promoted by MoE, UGC, AICTE and other government bodies, industry and academia in order to develop the spirit, skill and competencies of innovation and entrepreneurship.
- 4.1.9 Innovation Hub AKTU will introduce a Ranking system for the AKTU incubators across the state, to create an institutional framework for effective implementation, monitoring and evaluation of this policy in the state via introducing the Institution Innovation Ranking Framework (IIR) and felicitate the Innovations via Incubator Awards.
- 4.1.10 Innovation Hub jointly with Incubators will host and support regularly startup-related national-level dialogues, workshops and conferences to benchmark its own progress and influence national policymakers to shape futuristic policies and action strategies to promote Innovation, Entrepreneurship, and Student Startups.
- 4.1.11 Innovation Hub AKTU will organize various programs, workshops and bootcamps to encourage and train incubators to avail State, national and international grants for incubator and startups.

5. Enabling Ecosystem for Promoting Entrepreneurship and Startups

5.1 Students:

- 5.1.1 All students should be encouraged to pursue entrepreneurship and consider starting startups or interning with them.
- 5.1.2 Apprenticeship – All educational institutions offering undergraduate courses shall implement a AICTE mandatory scheme of internship/apprenticeship from the first year of the course in association with the startups incubated. This may be waived off for students who are setting up their own startups in incubators.
- 5.1.3 Students shall be encouraged to undertake their Industrial Seminar, Project Seminar and Industrial Visit at Technology Business Incubators or Innovation Hub where the additional facilities are being set-up like the IDEA Lab, Fabrication Lab, etc.
- 5.1.4 Select student minor/major projects with a focus on incorporating a commercial perspective and it may be converted to startup.
- 5.1.5 The student startup should be considered as their major/minor project.
- 5.1.6 Students can also establish campus companies and the internship in the startups and campus companies should be considered as summer internship.
- 5.1.7 Student Innovators/entrepreneurs may allow to opt for initiating the startups (With registration under MCA) in place of mini project /major project, seminar, and summer training etc.

Under the Student Entrepreneurship Initiative, three stages will be recognized in the incubation process.

Stage 1: Ideation Stage

Ideation Stage is the process of generating, exploring, and evaluating new technology /business ideas that can give the business proposed by the student entrepreneur a competitive advantage. The expert committee formed for the evaluation of the ideas should interview each entrepreneur and analyze the business potential and feasibility.

Stage 2: Teaming & Company formation

Team Formation is the key for an entrepreneur in commencing his journey before starting his own company. The team should ideally have a mix of co-founder with complementary skill sets. Having complementary set of experience is very important for a well-rounded team from the inception. The team has to register it as private limited company/ Limited Liability Partnership (LLP)/Partnership of any legally recognized entity.

Stage 3: Prototype Development/ Business started

The working model or the prototype of the Technology Idea to be developed and this to be certified by the experts for commercialization or Technology Transfer.

OR

If it is a business service idea, the company or legally recognized entity should start the business operation as per the business plan and start generating Income.

Process for Student Entrepreneur/Innovator Selection

- The institute incubation centre will provide assistance to the student entrepreneur in prototype development market survey, company registration, preparation of business plans including introducing the student entrepreneur to mentors/consultants to help them prepare the plan along with information and recommendations for different grants.
- An expert committee attached to the incubation centre should review the business plans/ Product Idea submitted by the student entrepreneur. This expert committee consists of a minimum of 5 members including technical/domain expert, a finance expert, an Infrastructure expert, a marketing expert and business expert. The entrepreneur is invited to give a presentation to the expert committee for a thorough review of the business plan. If there are gaps in the business proposal, the committee recommend to provide all the necessary assistance in making the business plan full proof to student centre. Once the committee approves the admission of the entrepreneur, the enterprise will be provided with all the incubation facilities, available with the institute to start operations without delay.

Student Innovation and Startup Performance Reviews

An expert committee at the institute level will conduct **annual, half-yearly, and quarterly reviews** to evaluate the progress of student entrepreneurs. These reviews will assess performance across various areas, and corrective measures will be recommended to address any shortcomings effectively.

Student Duty Leave

- Students may avail a maximum of 15 days of Duty Leave during an academic year.
- This leave is granted to student entrepreneurs who secure prior permission from the Head of Institution to participate in innovation, startup and entrepreneurship related EACs (Entrepreneurship Awareness Camps)/Seminars/Workshops/Competitions/In-house training by the Incubation Centre/Techno-Business Training Programs etc.
- Faculty accompanying students or student teams as mentors or guides are also eligible for this leave.

Student Benefit in Curriculum

Academic Credits are awarded to students involved in startups, as part of the AKTU Curriculum.

5.2 Faculty Members

Faculty members will be aligned with startups and entrepreneurial initiatives based on their expertise.

Engaging with Startup

A faculty member may be engaged with following categories of Startups:

- a. Startups founded by Faculty, alone or along with other faculty members of AKTU Institutes
- b. Startups founded by Faculty along with AKTU Students
- c. Startups founded by Faculty along with Non-AKTU Students or Faculty Members
- d. Startups not covered under point

Companies eligible under this Policy:

Such a Company must pursue businesses that are a direct result of the research and development activities of the faculty member of AKTU institutions. In such cases, the faculty member(s) and student(s), if applicable, will be known as a founding member(s)/Promoter(s) in a Non-Executive position of the Company.

Companies not eligible under this Policy:

A faculty member cannot associate, either as a Promoter or in an “Executive Capacity”, with:

- a. Companies involved in Teaching and/or development of educational content. On the other hand, companies developing innovative technology platforms that facilitate delivery of content are permissible.
- b. Companies whose business will be to provide consultancy services.
- c. Such class of Companies that may be prescribed and notified by Innovation Hub AKTU from time to time.

Role of the Faculty Member

The Faculty member has to take prior permission from the Institute before associating with any business venture or starting a new venture in the application format prescribed by Innovation Hub AKTU. It is expected that the faculty member would be:

a Promoter of such Companies and/or a Director on its Board. In addition, the faculty member can choose one of the following options:

a. Provide consultancy to the Company in a non-executive capacity. However, the total number of days allocated by the faculty member for the consultancy activities should not exceed the maximum number of days allowed by the Institute for such activities. Undertake projects that could be executed at Innovation Hub AKTU, and manage through the Company. However, this may be undertaken only after obtaining explicit permission from the competent authority at Innovation Hub AKTU and entering into an explicit agreement with the Institute following existing processes.

b. Take a sabbatical and/or Leave without pay and work full-time for the Company in an Executive Capacity (COO, CEO, Vertical Head etc). Eligibility and approvals of such leave are governed by the extant rules of the Institute.

It should be noted however that the faculty member of AKTU Institution should take all possible steps to ensure that his/her duties and responsibilities as a member of AKTU Institution faculty, take precedence over all other activities regardless of the nature of his/her engagement with the Company.

While taking any of the above-mentioned role in AKTU incubation centre, the faculty members shall ensure that there is no conflict of interest with their core job responsibilities assigned to them at their respective institutes. Also, the permission from the competent authority of the institutes should be taken before getting involved in such participation.

Faculty as a Founder /Co-Founder

In case a faculty member is forming a startup, the brief procedure is listed as below:

- i. Should take permission from the institute Director/competent authority prior to the commencement of company.
- ii. Discuss the idea in a meeting convened by the Incubation Governing Board and Faculty Incharge about the startup. The meeting may cover the following agenda, amongst other things,
 - 📌 Idea and its potential
 - 📌 Potential Intellectual Property Consideration
 - 📌 Usage of Institute Facilities
 - 📌 Help Required in Incorporation
 - 📌 Funding Requirement(ifany)
- iii. Submit the necessary declarations to campus Incubation Faculty-in-Charge and Institute Director:
 - 📌 Complete Disclosure Form
 - 📌 Declaration of Conflict of Interest
 - 📌 IP Commercialization Form (in relevant cases)
- iv. Post submission of the necessary documents, Institute Director shall issue a No Objection Certificate to the faculty, post which the faculty can move forward to incorporate their startups without hampering the academic responsibilities.

In case a faculty is not engaged with a startup, they may take up one of the following roles in the startup, along with following disclosures:

Role	Disclosure Required?	Type of Disclosure	Governing Policy
Mentor/Advisor	No	Only inform to incubation centre and respective Department	No
Investor/ Promoter	No	Only inform to incubation centre and respective Department	Yes

Executive / Non-Executive Director or Professional	Yes	Conflicts of Interest	Faculty Entrepreneurship Policy
Consultant	Yes	Consultancy Fee sharing	IP and Consultancy Policy

For engagements not covered above, it is recommended that the faculty makes a voluntary disclosure to the campus incubation centre faculty incharge of the nature of the engagement.

Incubating the Faculty Startup

Faculty, in startups where they are founders / co-founders, would have to necessarily incubate their startup in any one of the AKTU Incubation Centre.

The faculty may compete for funding by applying to various funding programs at the incubator. The final decision to fund a startup lies with the investment committees of the respective incubation centre.

- A. Equity Consideration: For incubating at any of the campus AKTU incubation centre, the incubators may take 2% to 4% equity in the startup, irrespective of funding. In case the funding is provided by the Incubator, an extra 1% - 3% of equity may be charged by the incubator OR success fee, whichever is less. In any case, the total equity to be divested shall not exceed 6% as per NISP policy.
- B. Office Space: The incubator shall make their best efforts to provide dedicated/shared office space to the faculty startups on a chargeable basis or free of cost as per The UP Startup Policy 2020 (Amended Version) or institutional incubation policy.
- C. Grants: The Incubator shall not be charging any success fee from the startup on the Grants availed be it from the State Government or Union Government.

Faculty Startup members are committed to seek prior approvals from concerned authority before commencing work on their idea.

6.Organizational Capacity Building & Human Resources

- 6.1 Innovation Hub will organize capacity building and training programs for incubation managers and support staff from time to time on innovation and entrepreneurial/industrial experience, behavior and attitude to help in promoting innovation at all levels. All AKTU Incubators can request support from Innovation Hub, for an extended sustenance and involvement.
- 6.2 The faculty will be trained in entrepreneurship development skills through various Entrepreneurship Development Programs.
- 6.3 The concept of Innovation Hub mentors “Margdarshak’ in all Incubators will help in cross-disciplinary research and innovation with linkages in various thrust areas identified.

7. Collaboration Co-creation and Knowledge Exchange

7.1. Stakeholder Engagement

- 7.1 Innovation Hub to extend the role of the existing incubators and Innovation Hub in conjunction with UP Startup Nodal Agency to encourage co-creation, bi-directional flow/ exchange of knowledge.
- 7.2 Innovation Hub shall organize networking events with Incubators such as Innovation Challenges, UP Startup Conclave, Startup Summits, Startup Investors Meet, Innovation Exhibitions and Startup Fairs, etc.
- 7.3 Knowledge capitalization mechanism to be developed by the Innovation Hub.

- 7.4 Review of Policy and Guidelines for external stakeholders for joint project/ collaboration such as Incubation, development of product/service/IP sharing, etc.
- 7.5 Faculty, staff, and students of the Incubators to be encouraged to connect with industry for research, development, and funding.
- 7.6 Innovation Hub and the Startup Nodal Agency will be Point of Contacts (POC) mechanism for stakeholders to ensure access to information.

7.2 Procedure, Guidelines and Eligibility for Institutions

Eligibility

To be eligible to take benefit of the scheme, educational institution shall have to be :

- Affiliated to Dr. A.P.J. Abdul Kalam Technical University, Lucknow.
- The institution must have attained the rank in the Institution Innovation Ranking but institute will not be eligible for consecutive year.

The Policy Implementation Committee of the Student Innovation and Entrepreneurship Policy shall evaluate each institute application for eligibility based on the merit and the most preferable ones shall be selected as beneficiaries of the scheme per the criteria as defined by the relevant agency.

Application process and evaluation

- Application process: Innovation Hub, AKTU shall notify the initiation of the policy period with various performa and formats of the application. Each potential beneficiary institute shall apply via a proposal with detailed action agenda, timeline, deliverables through means defined by the Policy Implementation Committee.
- Evaluation: An expert technical committee appointed by the Steering Committee shall scrutinize applications received annually and invite eligible and selected organizations for a formal presentation at the University-level.

8.Incentives to Student Startups under this policy

8.1 Financial Support Structure

The Student, Faculty, Innovation and Entrepreneurship Policy provisions for creation of a Student Innovation Fund (SIF) 15 Crore for the period of the Policy. Rs. 15 Crore (SIF) shall be provisioned through University budget for the Policy period. This fund will be disbursed amongst the selected institutions to support ideators as per the provisions of the Policy.

8.2 Support to Educational Institutions

A grant up to Rs. 25 lakh to be disbursed to maximum 10 eligible institutes per year (This number may be varied based on the performance subject to funds availability and approval of competent authority). At least 200 student ideas per annum are expected to be supported at these institutes. Institute may extend the support for preincubation, prototyping development, mentoring, events, outreach activities, and exposure. Institutes may receive the grant in the subsequent year, subject to satisfactory progress report submission. Rs. 20 Lakh per year per institute to be utilized for PoCs/Prototypes and Company registrations of student innovators/ideators. Remaining Rs. 5 Lakh of the fund may be utilized for programmes, pedagogical interventions, events, special endeavours etc.

The matching grant of Rs. 5 Lakh must be contributed by selected institute to support school students with Rs. 4 lakh and grass root innovators with Rs. 1 lakh.

8.3 Support to Individual Beneficiaries/student innovators/ideators

The support and financial provisions for individual beneficiaries/student innovators/ideators satisfying eligibility criteria, are as per the Table below:

Beneficiary	Support
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All Beneficiaries	<ul style="list-style-type: none"> • Exposure to Tinkering Lab, Innovation Lab, Incubation Centers • Large scale sensitization, events and programs for developing Scientific Mindset • Collective/Community level support system and activities • Capacity Building
Class 9 to Class 12 (from matching grant of Rs. 4 lakh)	Maximum INR 20,000 per PoC/Prototype /Innovation
Grassroot Innovators (from matching grant of Rs. 1 lakh)	Maximum INR 50,000 per PoC/Prototype /Innovation
AKTU Affiliated Institution student	• Maximum INR 1.00 Lakh per PoC/Prototype /Innovation

9.IPR Support

The cost of filing of successful patent including Government & Professional Fees shall be reimbursed to the incubated startups for Indian as well as foreign awarded patents.

A State-level IP Facilitation Center (IPFC) will function at Innovation Hub, which will be responsible for assisting Grantees and Beneficiaries in IP related activities. i-Hub will maintain a robust IP support system for innovators and Startups. The necessary guidelines for IP support will be issued by the Innovation Hub, AKTU.

10.Evaluation and Assessment

- An online web portal will seamlessly integrate all stakeholders to monitor each milestone in real time. Progress of key goals with respect to set KPIs will be publicly shared periodically.
- The Steering Committee under the chairmanship of Vice Chancellor AKTU shall review overall policy objectives and its implementation and will advise smooth deployment of the goals.
- Beneficiaries of the scheme comprising universities and institutes shall present half-yearly progress and impact report. Each university if receiving grant will submit tentative plan of action in the beginning.
- If a beneficiary is found unable to deliver the desired outcomes through annual reviews, the further grant to be released shall be reconsidered. The release of the grant after the first instalment and every subsequent installment will be based on satisfactory implementation of the policy objectives.
- Observers comprising of industry persons, ecosystem stakeholders, academicians, Startup, nominated by the Steering Committee may visit Grantees periodically for ascertaining progress of work or resolving any difficulties if encountered for effective implementation of the Policy.

11.Interpretation and Ambiguity Resolution

In case of any ambiguity or difficulty or query concerning interpretation and/or implementation of the Policy, the decision of Policy Implementation Committee (PIC) with the approval of the Steering Committee shall be final and binding for all.

REFERENCES:

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(3) Gujarat Student Startup and Innovation Policy (2017-2021)

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(7) BITS Pilani Faculty Entrepreneurship Policy

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<https://www.aicteindia.org/downloads/Startup%20Policy.pdf>

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(11) World Economic Forum (WEF), <https://www.weforum.org/>

The above policy statements have been inducted keeping in mind the current student startup, incubator, initiatives/practices undertaken by the Innovation Hub and can be modified from time to time as and when required.

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