



Gokula Education Foundation (Medical)

Inter Office Memo

From:
Office of the Chief Executive

To:
All Concerned

CE/ACA/023/2014-15

20-03-2015

Sub: GEF(M) Guidelines on Sponsored Research/Consultancy and Intellectual Property Rights

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List of abbreviations

DRP : Division of Research & Patents

IRDF : Institute Research Development Fund

IPR : Intellectual Property Rights

PI : Principal Investigator

IRC : Institute Research Committee

SRP : Sponsored Research Projects

IDF : Institute Development Fund

1. Introduction

Dr. M S Ramaiah, Philanthropist, Educationist and Industrialist established Gokula Education Foundation(GEF) in 1962. In 1979, the M S Ramaiah Medical College was set up. In 1985 M S Ramaiah Medical Teaching Hospital was started. In 1987 M S Ramaiah Nursing Education and Research was founded. In 1991 M S Ramaiah Dental College came in to existence. In 1992 M S Ramaiah College of Pharmacy and M S Ramaiah Institute of Hotel Management were inaugurated. In 1996 M S Ramaiah Institute of Physical Medicine & Rehabilitation and also post graduate course in M. Sc Nursing were opened.

After the demise of the founder in December 1997, M S Ramaiah Memorial Hospital was commissioned in 2004.

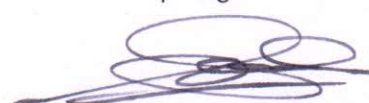
There are totally 12 Institutions/Departments under GEF(M) as on 01.01.2014.

The Institution is endeavouring to make a mark in the field of research in the global arena. Towards this end for further strengthening and augmenting the research environment of the Institution the following guidelines have been formulated.

The Division of Research & Patents has been established since 01.12.2012 to foster and coordinate the research activities in GEF(M)

Definitions:

1. RPA means The proposals submitted by a Department/ Center/ Employee of the GEF(M) or by the GEF(M) as such, involving the following activities are termed as "GEF [M] Research Projects Activity:"
2. SRP means Sponsored Research Projects involving external funding sources-state/federal/NGO and internal funding within the Institution.
3. IRC means International Research Collaborations involving international funding sources and/or international collaborators
4. ISP means Industry/ Organization Sponsored Projects, Industrial Consultancy involving funding from industry or other commercial sources.



5. CPD means Continuation of Professional Development through Organising Workshops and short courses for dissemination of knowledge as part of the research projects.

1.1 Scope

The guidelines hereafter shall be called as “GEF[M] Research Projects Guidelines”, and applicable to all activities stated herein.

2. Project Management

2.1 Seed Grant

The Institute gives a seed grant to new faculty for initiating research. The faculty member will write a research proposal. The proposal should include a description of research that he/she wishes to conduct over the next 2-3 years. It is a platform meant to help new faculty to prepare for subsequent proposal submissions. In other words the seed grant is seed for seeding bigger projects.

Guiding notes:

- Proposal will be submitted to the DRP. DRP will assign an unique research ID to all proposals submitted and arrange to get review comments from the subject experts. Review comments will be appropriately incorporated / addressed by the Faculty before final submission.
- Proposal will be presented by the faculty before an Institute Research Committee(IRC) chaired by Principal and Dean, consisting of Head, DRP, HoD of respective speciality, Biostatistician and 2 Faculty members to be nominated by Management GEF(M).
- The initiation grant will not be more than Rs 75,000/- , seventy five thousand only, to support the research as proposed by the faculty member and approved by the Institute Level Committee. A higher amount can be recommended by the Institute Level Committee as required.



- To encourage collaborative research, if two or more faculty members submit a joint proposal, the initial budget limit will be Rs.1,00, 000/- (One lakh rupees only)
- The Faculty member is encouraged to prepare follow-up proposal(s) to external sponsors. Follow-up proposals are expected/required mandatorily, if the Faculty member needs a higher than normal seed grant.

2.2 Sponsored Research Projects:

Sponsored Project refers to one in which the PI does not charge honoraria/consultation fee. For a project sponsored by a government agency, no honorarium in any form can be claimed. Amount may be used by the PIs as approved in the respective budget head by the funding agency. For projects from industry and other agencies, any balance funds at the end of the project may remain with GEF(M). In such cases, the balance funds will be distributed to Faculty and staff involved in the project, following guidelines as set forth

The Institute encourages investigation of basic and applied areas of science and technology, and high end technology development in the form of sponsored projects. Research grants for such projects are given by government agencies and industries (both national and international). These projects are usually of 2-5 years duration with periodic appraisals, while research objectives and goals may be refined along the way.

Collaborative Projects:

Faculty may also participate in collaborative projects with other domestic or foreign partners under the MOU signed by GEF(M). In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the Institute. The summary statement provided to the Institute should be based primarily on the portion to be done by the Institute. The Institute will treat this like any other sponsored project.



Institute Projects:

In case the Institute is awarded a sponsored project directly, or a proposal is submitted at the Institute level, the Principal Investigator would be identified by the Institutional Research Committee.

Guiding notes for preparing proposals for sponsored research:

1. Each funding agency has its own format and guidelines. The proposal should be submitted after thoroughly going through the guidelines.
2. While making an estimate of the funds required for a project, the following budget heads may be considered:
 - Salary of Project Staff including PhD scholars
 - Equipment
 - Consumables
 - Travel (domestic, international)
 - Contingency
 - Administrative Overheads
3. All project proposals are to be sent to DRP for approval to take up the Project. The 'Project proposal form' (Annexure-I) duly completed must be submitted along with the proposal.
4. DRP will assign a unique internal number to the project proposal.
5. IPR issue: All IPR related issues will be governed as per the agreement between the Institute and the funding agency read with statutory provisions.
6. MoU/Agreement preparation: The Institute has guidelines for drafting MoU/Agreement.
7. The project normally will be started after the receipt of funds.
8. The project inventory and expenditure for equipment and consumables will be maintained in a separate stock register by Principal Investigator(PI).



9. The statement of expenditure and utilization certificate will be prepared at every financial year end by the finance section of the Institution concerned(MSRMC,MSRINER,MSRINDIC etc) to the sponsoring agency with a copy to the DRP.
- 10.Submission of Progress Reports and other Deliverables: It is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency with a copy to DRP.
- 11.After completion of the project, final report should be submitted by the PI to the funding agency with a copy to DRP.
- 12.A completion certificate should be obtained by the PI from the funding agency for successful completion of the project based on which project account will be closed with intimation to the DRP office.
- 13.The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables to the Central stock register of the concerned Institution.
- 14.Collaborative projects between two or more institutes/organisations can be submitted only after the approval of Institutional Research Committee. The funds will be received by the host institute/organisation of the PI and the host institute/organisation will have the responsibility to transfer the funds to the collaborative institutes/organisations as specified in the project proposals. If the sponsor agrees, funds can be released by the sponsor, separately, to the participating institutes.

2.3Consultancy Projects

The Institute encourages its faculty to undertake consultancy work which is an important tool in industrial growth of the Country.

Guiding notes:

1. A consultancy project/task/work is one where faculty and research staff provide knowledge and intellectual inputs to industry (within India and abroad), primarily for their purposes. This is effectively a contract work in which all outputs belong to the client.



2. The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.
3. All payments for consultancy work must come in the name of the concerned Institution under GEF(M). The Institute and DRP will then do the needful for complying with statutory laws and then give the honorarium to the faculty/staff as the case may be.
4. Proposal is then prepared by the PI. It should specifically mention breakup of funds, normally consultancy fee [the minimum quantum will be specified by Institutional Research Committee (IRC) periodically] as the primary component. It may also have budget for supporting manpower, equipment, travel contingency, overheads and expenses for Intellectual Property Rights and related activities.
5. At the stage of proposal submission, the budget will reflect project costs, plus overheads 10% and service tax as applicable. Service tax is subject to periodic revision by the Government of India. Service tax is not deducted on projects, if the funds are received in foreign currency.
6. Service tax on equipment is not chargeable, in case equipment is to be returned to the funding agency/organization after completion of the project. This should be clearly spelt out in the MoU/proposal itself.
7. The Institute normally requires the cost of the consultancy project to be deposited by the client, in full, before the commencement of work. However, based on the needs of the client and circumstances, the Institute may, in exceptional cases, permit commencement of work with payment to be made as per agreed milestones. The expenditure and disbursements will be made through normal Institute procedures.
8. In international consultancy projects:
 - a. Funds are received in foreign currency;
 - b. Service tax is not applicable;
 - c. The research collaboration of GEF[M] with the other party/funding agency should be in conformity with the laws of all the Countries involved and/or International laws as the case may be.



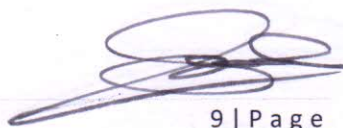
9. IPR issue: All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by GEF[M] and the funding agency.
10. MoU/ agreement preparation: Institute has guidelines for drafting, MoU/Agreement.
11. When MoU is clear from all angles and acceptable to both the parties, it is sent to the Head-HR & Legal, GEF[M] with copies marked to Office of CE, CFO and DRP for approval. A copy of the duly signed MoU will be sent to the other party and a copy retained in the office of DRP.
12. After approval, authorised signatories such as PI/HoD/DRP/Director as the case may be will sign the MoU.
13. Project responsibility: These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (co-PIs) and the deliverables are the responsibility of the PIs. The Institute provides the PIs all necessary support.
14. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables and consumables to the Institution.

2.4 Testing:

The word refers to testing a component or a product against a standard. Examples could be testing the new medical devices for safety and efficacy, validation of lab diagnostic kits, pharmaceutical evaluation of new drugs, devices equipments, prosthesis etc. The Institute will undertake testing jobs provided facilities are available and such testing does not interfere with any teaching or research work. The testing jobs can be initiated by faculty once request is received for the testing job.

Guiding notes:

1. The procedure for overall operation of the testing project is similar to that of consultancy project.



2. Certification: The Institute (through its faculty) is not authorized to undertake certification in any form. At best, one can say that, on a given day, with a given sample, a well-defined test yielded the following results.

2.5 Institute Supported Projects

The institute would encourage and support development and execution of innovative high impact and relevant scientific projects both within and among the collaborating Institutions.

2.6 Special Grants

Sometimes, there are special grants given to the Institute for purposes like grants for infrastructure improvement, lab improvement, conference (from DST/CSIR etc.), donations (e.g. alumni), etc., where no direct deliverables are envisaged.

Guiding note:

1. Such grants may be treated as a project for operational reasons. For such projects, the Institute overheads may be reduced or waived. The decision will be taken on a case-by-case basis by the DRP/ Director.

2.7 Fund for Improvement of Research Infrastructure

Several Government funds are available like for ex:-the Department of Science and Technology (DST) has a Fund for Infrastructure Science and Technology scheme to build infrastructure facilities in universities and higher educational institutions. The grant under this scheme is provided for strengthening infrastructure of the identified department in teaching and research and is to be spent exclusively for the said purpose.

Guiding note:

1. The Fund for Infrastructure Science and Technology account will be opened in the DRP Office for grant received. Operation of the project is just like any other project account.



4.6 Software or other product marketing

All software or products developed as a consequence of research activities at the institution duly copyrighted and patented may be marketed and the sale proceeds thus accrued shall be shared between the institute and the developers / consultants in the ratio of (3:7) for all the units after the payment of applicable taxes. If there is additional requirement of training, supporting services, the rules of the consultancy shall be applicable. If the production or marketing rights are transferred, then a separate agreement governing the same may be arrived after suitable approvals.

4.7 External Consultants in Consultancy Projects

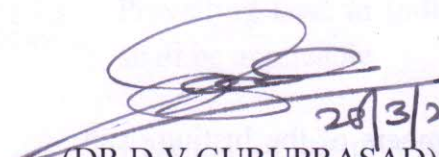
The services of external consultants may be utilized to a limited extent in order to provide comprehensive services to clients. Such external candidates will be entitled to a lump sum honorarium/ fees. The honoraria payable to external consultants may not exceed 30% of the total consultancy fee specified in the Consultancy Projects Proposal.

4.8 Purchases

GEF(M) approved purchase rules will apply.

5 Redressal of Disputes.

Any dispute which may arise between Sponsoring agencies/Consultants/GEF(M) or related entities shall be disposed off by GEF(M) Internal Redressal Committee. If any disputes remain further, this may be resolved by arbitration or in judicial Courts at Bangalore.


28/3/2015
(DR D V GURUPRASAD)
CHIEF EXECUTIVE- GEF(M)

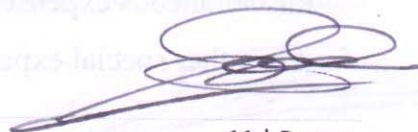
2.8 Courses/ Seminars/Symposia/Conferences/Workshops

In order to encourage awareness as well as to provide exposure/ skill development to state-of-the-art subjects in diverse areas of science and technology, the faculty and academic staff of the Institute offer Courses/ Seminars/ Symposia/ Conferences/Workshops for faculty members of various National Institutes, government medical and allied colleges, private colleges, researchers from National R&D Laboratories as well as to professionals from industries. The participants pay a registration fee to participate in such Courses/ Seminars/ Symposia/ Conferences/Workshops.

Organizing Courses/ Seminars/ Symposia/ Conferences/Workshops Courses/Conferences/Seminars/symposia/workshops are an important part of academic and research world, and academicians across the world voluntarily put effort in conference organisation. The Institute provides partial support for organizing Courses/ Seminars/Symposia/ Conferences/Workshops which help in building the brand image of the Institute and collaborating Institutions.

Guiding notes:

1. For organizing any Courses/ Seminars/ Symposia/ Conferences/Workshops request has to be routed through HoD to DRP who may obtain necessary approval of the Management at the required level.
2. The Institution may permit opening of a separate bank account in the name of the conference event, which will be jointly operated by the organiser(s) and one from the accounts. The cheques can be signed by any two. Such accounts must be closed within six months of completion of the event. The account should be audited by the Institute designated person before closing. The responsibility of operating the account, fulfilling the tax obligations, etc. rests entirely with the Organizers – the Institute is only a facilitator.
3. In case of Courses/ Seminars/ Symposia/ Conferences/Workshops, 5% of the total receipts (registration fees only) will be transferred to the Research account of the Institute.



3. Budget Heads

There will be a separate Institute account for project funds. All funds received for projects will be deposited in this account. This account will be used to maintain a number of funds as described below:

3.1 Institute Development Fund (IDF) or Research Corpus Fund

Overheads from projects and portions of payments made to consultants etc. will be credited to this fund as per details given below. The utilization of this fund will be decided by the DRP, GEF[M] and may be used for creating facilities in our Institutions.

3.2 Professional Development Fund (PDF)

PDF is created out of the following sources for professional expenses/development of the concerned investigators/ consultants of sponsored projects.

- a) Part of the overhead of sponsored research projects (as per the approved distribution).
- b) Full or certain portion of the balance amount/consultancy fee from consultancy projects.
- c) Any other income with the approval by the DRP, GEF[M]

The account thus generated can be utilized by the investigators in the expenses towards professional development as given below:

- Travel (within the country or abroad) for professional work including per diem expenses.
- Purchase of books, journals, membership fees of professional societies.
- Conference (within country or abroad) related expenses.
- Purchase of consumables for professional work.
- Purchase and maintenance of equipment, including AMC for equipment.
- Other expenditures such as AMC and maintenance charges for the equipments, cost of photocopying, binding, cost of telephone calls, hiring of manpower, hiring of services such as taxis, caterers and other miscellaneous expenses. needed for professional work.
- Any other special expenses permitted by DRP, GEF[M].

All purchases out of PDF shall be made following the Institute Purchase Rules for projects. No honorarium can be drawn from this account.

3.3 Institute's Policy on Overheads

3.3.1 Calculation of Overheads:

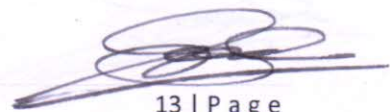
(a) SPONSORED RESEACH: Proposals submitted for sponsored research must show overheads as per the norms of the sponsoring agency. In case of norms of sponsoring agency not existing, the proposals must show overheads of 10%. When money is received as a consolidated amount, 10% would be deducted as overheads.

(b) CONSULTANCY: At the stage of proposal submission, the budget will reflect project costs (X), overheads at 10% and service tax at 14%. Service tax is subject to periodic revision by the Government of India.

- When money is received in a lump sum, the following procedure will be followed. At the first instance Service Tax is deducted. The balance funds are credited into the project account as per the budgetary allocations of the project.
- Service tax will be deposited in a suitable account in accordance with the prevailing rules of Government of India.
- Service tax on equipment is waived, if the funding agency-organization is to reclaim it at the end of the project, which should be the part of the proposal.
- Service tax is not deducted, if the funds are received in foreign currency.

(c) TESTING: At the stage of proposal submission, the budget will reflect project costs , overheads at 10% and service tax at 14 %. Service tax is subject to periodic revision by the Government of India.

(d) DISTRIBUTION: The overheads collected from sponsored and consultancy projects, testing as well as courses and conferences will be distributed within the Institute as follows. The PDF will be divided among the PI and co-coordinators according to the percentage



specified by the PI and agreed by the co-coordinators with the approval of DRP.

3.4 Equipment

All equipment, instruments and other immovable property procured for the purpose of the project will be the property of GEF(M).

3.5 Books

The rich outcome of the research endeavors can be seen in the large number of books. The strong academic environment prevailing in the campus encourages faculty members to write books in the area of their expertise. Following the practices across the world, books authored by faculty or research staff are not treated as projects or consultancies. Royalties received for books authored by faculty/staff members will not be shared by the Institute. Authors of the books are expected to donate copies to the Central Library.

3.6 Payment of Honorarium

Payment of Honorarium and distribution shall be proposed by PI and subsequently to be considered for approval by the of DRP.

3.7 Intellectual Property Rights (IPR) and Patents Norms

Before associating with any individual or organisation outside GEF (M) for any project prior approval of the Head of the Institution or GEF(M) is required

Prevailing laws in India regarding the IPR, Patents and connected matters shall be applicable.

Research of any product patent, the rights over that patent rests jointly with GEF(M) and the Researcher /s. The revenue generated by a product patented be shared jointly with GEF (M) retaining a minimum of 40%. However, the pattern of monetary share will be decided on case to case basis.



4. General Guidelines

4.1 Leave Provision

Institutional leave rules as incorporated in the prevailing service rules shall apply.

4.2 Limitations

It is expected that only those projects/consultancy works which provide challenges befitting GEF[M] Faculty members should be undertaken. Sufficient caution also needs to be exercised to ensure that consultancy projects do not interfere with the normal duties of Faculty members. By any of these Projects no fresh liability or encumbrance shall accrue to our Institution.

4.3 Involving Foreign Collaborators

The proposals involving foreign collaborators must have funding support given to each partner in accordance with the National Laws, Rules, Regulations and prevailing procedures.

4.4 Publications of Results

Investigators wishing to publish technical/ scientific papers based on the research work done under the project, should adhere to the guidelines of sponsoring agency and acknowledge the assistance received from sponsoring agency in the publications.

If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.

4.5 Retainership

With the permission of the GEF[M], the faculty members of the Institute can accept retainer ship of the reputed organizations. The fees thus earned shall be shared by the Institute and the Individual in the ratio of 3:7 only after payment of service tax, etc as applicable. An undertaking will be required from the concerned Faculty member indicating any conflict of interests between GEF(M) and other organisations.

