



SANTOSH

Deemed to be University

(Established u/s 3 of the UGC Act, 1956)

F. No. SU/R/2022/57th BOM/1702

Dated 02.08.2022

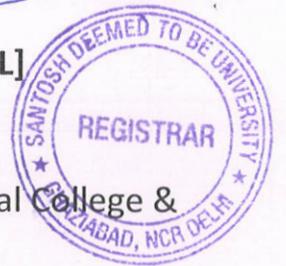
Subject: GUIDELINES OF INDUSTRIAL CONSULTANCY AND SPONSORED RESEARCH POLICY- SANTOSH DEEMED TO BE UNIVERSITY, GHAZIABAD, DELHI NCR

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The proposal to frame the **Guidelines for the Industrial Consultancy and Sponsored Research Policy** of the Santosh Deemed to be University was considered by the Board of Studies, Academic Council and Board of Management in their meetings held on 11.07.2022, 14.07.2022 and 16.07.2022 respectively. The BOS, Academic Council and Board of Management after detailed consideration **approved** the proposal for framing the **Guidelines for Implementation of Industrial Consultancy and Sponsored Research Policy** at Santosh Deemed to be University, Ghaziabad, Delhi NCR. The **Guidelines** of the Industrial Consultancy and Sponsored Research Policy are **enclosed** in this regard.

The above is circulated to all HODs and Faculty Members of the Santosh Medical College & Hospital and Santosh Dental College & Hospital for their information and necessary action.


[DR. ALPANA AGRAWAL]
REGISTRAR



Encl: As above

Distribution: All HODs and Faculty Members of the Santosh Medical College & Hospital and Santosh Dental College & Hospital [by email]

Copy to:

1. The Secretariat
2. The Chancellor
3. The Vice Chancellor
4. Dean-SMC & H
5. Dean-SDC & H
6. Dean-Academics
7. Dean-Research
8. Director IQAC
9. Dept. of Finance
10. Guard file

**GUIDELINES OF INDUSTRIAL CONSULTANCY AND SPONSORED RESEARCH
POLICY OF THE SANTOSH DEEMED TO BE UNIVERSITY AS APPROVED BY THE
BOS, ACADEMIC COUNCIL AND BOARD OF MANAGEMENT IN THEIR
MEETINGS HELD ON 11.07.2022, 14.07.2022 AND 16.07.2022 RESPECTIVELY.**

INTRODUCTION:

Santosh Deemed to be University ("SDU") recognizes that the Industrial Consultancy and Sponsored Research activities may be mutually beneficial to the faculty and the University. The benefits include enhancing the knowledge, expertise, and experience of SDU faculty; assisting in creating awareness of real work conditions; opening and expanding contacts and communications with other institutions, organizations, industry, governmental agencies, and other clients; and fostering public service activities otherwise unavailable. Thus, appropriate Industrial Consultancy and Sponsored Research activities enhance the professional development and reputation of faculty. This may result in improved teaching, research, and service. Hence, reasonable participation in consulting activities is encouraged.

The rationale of this Policy is to provide guiding principles and procedures for undertaking Industrial Consultancy and Sponsored Research SDU and by faculty members of the University. The Faculty Members of the Santosh Deemed to be University are encouraged to participate in Industrial Consultancy and Sponsored Research and other similar work provided it does not conflict with the interests of the University. It is expected that Industrial Consultancy and Sponsored Research will increase professional and academic competence by way of stimulating research and scholarship besides applying knowledge for solving real-life problems. This will further facilitate enhancing their problems solving capacity and enrich their professional experience outside academia and research and increase the contribution of the University to society and the economy. It is also envisaged that such an activity will help in developing links between the University and external organizations that in turn will be increasing opportunities for research and student recruitment and placement furthering the University to achieve its mission of knowledge transfer to improve the local and regional economies. The policy will help in generating additional income for the Staff members and increased funding for the University.

The direct benefits arising from Industrial Consultancy and Sponsored Research are considered to include:

- Increasing the expertise and experience of university staff by involving them in 'real world' problems, thus enriching their teaching and research experience.
- Enhancing staff training and career development.
- Generating additional funds for the staff and the University.



- Industrial Consultancy and Sponsored Research must be carried out using the services of the university where the contractual relationship is between the client and the University and not the individual.
- Clinical private practice, where clinical academic staff holding Honorary Consultant contracts are permitted to engage in private practice subject to the extent of such practice being consistent with the overriding obligations of teaching, research and clinical service attached to the holding of a full-time post and the approval of the relevant authority.
- Private consultancy, where the individual acts entirely in a private capacity with no legal link to or liability on the University. No University resources may be used for this activity. Examples of such resources are equipment, IT equipment including PCs, telephone, space, University name, expertise, and IP.

THE POLICY:

1. DEFINITION:

- a) **Consultancy policy** is the set of norms stipulated by Santosh Deemed to be University (SDU) as approved by its Board of Management (BOM)
- b) **Consultancy Rules** are the guiding principles governing the implementation of the Consultancy activities/programmes at SDU as approved by its Board of Management (BOM)
- c) **Industrial Consultancy** includes all advisory, technical, and R&D project implementation activities undertaken by Faculty members and Researchers for clients from Government/Non-Government agencies, industries, Start-ups/Incubates and needy individuals which are meant to mobilize extra-mural resources to the Deemed University with an in-built revenue sharing formula between the Consultants and the University.
- d) **Consultants** are the faculty members and Researchers of all the constituent Faculties of the Deemed-to be University who possess a proven record of accomplishment of Consultancy potential
- e) **Dean, Research**, refers to the Dean of Research at Santosh Deemed to be University.
- f) **Department** refers to all the academic schools, academic centres, centres of excellence and academic service centres at Santosh Deemed to be University.
- g) **Principal Investigator (PI)** is a member of the faculty (including Emeritus) of the University with the necessary expertise and competence to conduct a sponsored research/industrial



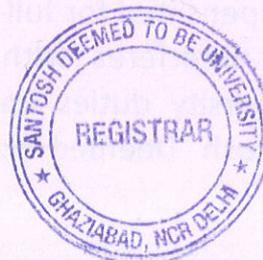
consultancy. Normally, the faculty who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI) under these rules. In a special case, PI may be appointed by the Vice-Chancellor on the recommendation of the Dean, Research and in consultation with the concerned Head of Department for administrative reasons if the original PI leaves his/her service or is not available for the project for any other reason.

- h) **Co-Investigator or Co-Principal Investigator (Co-PI)** is the working/retired faculty member co-opted by the Principal Investigator to work jointly with him/her and approved by the funding agency and/or Dean, Research.
- i) **Project Research Staff** is a person appointed/engaged on contract in conformity with the provisions of these guidelines in a sponsored research project as a fellow or associate or with a similar designation and receiving a fellowship.
- j) **Project Staff** is a person appointed/engaged on contract (excluding project research staff) following the provisions of these guidelines to work on a sponsored research project. The project staff includes research, technical and office personnel.
- k) **Sponsor** refers to the organization that offers a sponsored project/industrial consultancy to the University and provides necessary financial support for the successful completion of the project in time.
- l) **Sponsored Research Project** refers to research activity, being carried out by the university being sponsored (funded) by an external organization
- m) **University** refers to Santosh Deemed to be University (SDU).

2. SCOPE OF POLICY:

2.1 THIS POLICY IS GOVERNED BY THE FOLLOWING GUIDING PRINCIPLES:

- a) The Industrial Consultancy and Sponsored Research must not conflict with the University policies governing employment and code of conduct.
- b) It should not conflict with the functions, objectives or interests of the University or damage the University's reputation.
- c) It should demonstrate benefit to the University by way of income, enhanced reputation, and or increasing the expertise of the staff member.



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- d) Faculty members are not permitted to undertake external research activities where no formal agreement has been authorized by the University and approved by the relevant Dean of the Faculty.
- e) A staff member may undertake a Private Consultancy where there is no conflict with their obligations to the University or undertake activities which are contrary to the interests of the University.
- f) No responsibility for Private Consultancy undertaken by a staff member shall attach to the University.

2.2 The following are examples of activities which may be considered "Industrial Consultancy," or "Sponsored Research":

- a) Undertaking a paid advisory role acting for a company or public corporation,
- b) Undertaking the design or evaluation of a product or system for an outside party
- c) An outside organization hires the services of a specific, skilled individual member of staff because of their acknowledged research-based skills, knowledge, research-based products, and experience in the application for a direct commercial or industrial purpose.
- d) An externally funded academic/scientific research activity based in the University and using University resources such as scientific equipment, workshops, laboratories, technical and administrative support staff, and one or more researchers.

2.3 The following activities are NOT subject to this policy's guidelines and reporting requirements:

- a) External professional activities that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses and/or a nominal honorarium. These activities include service to governmental agencies and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other universities; and peer review activities are undertaken for either for-profit or non-profit publishers.
- b) Health care activities that are explicitly covered by approved practice plans.

2.4 Private Consultancy: Personnel on full-time appointments are compensated for full-time employment. Outside employment that in any way interferes with the performance of an employee's contracted University duties and responsibilities is not permitted. However, the Santosh Deemed to be University recognizes the value of certain



consulting and other external employment experiences to its personnel, the University, and the community. Such activities may enhance the professional abilities of the individual and bring credit to both the employee and the University. Therefore, external employment which may render valuable service and provide an important ongoing link between the University and business, industry, professional groups, governmental agencies, or other public or private organizations may be permitted, with the following stipulations:

- a) It does not interfere in any way with the employee's regular work (the benefit to the employee's professional status is one factor determining whether outside employment interferes with or benefits University business).
- b) Prior written approval is obtained from the employee's Head of Department and/or Dean and/or ICSRC.
- c) The activity is fully consistent with all rules promulgated by the University; and
- d) Private Consultancy undertaken in strictly personal and private capacity of the consultant, without involving any direct or indirect use of the University's resources, name, logo, professional indemnification insurance coverage, and with no liability to the University, undertaken in compliance with the above rules shall be without any fee sharing obligation with the University.
- e) If University facilities are to be used, financial arrangements are made through the Department Head and Dean.
- f) Use of Students - Although the involvement of students in the Outside Activities of Faculty Members under certain circumstances may enrich the students' educational experience, such involvement has the potential to create a conflict of interest when a Faculty Member has a role in supervising a student's research, classes or graduate teaching work. Therefore, involvement of a student in the Outside Activities of a faculty member who has any role with respect to the academic progress of the student may only be undertaken after disclosure to and approval of the Department HOD. The Department HOD /Dean shall promptly inform the Vice-Chancellor for all such approvals.
- g) Use of University Resources - Faculty Members may not perform 'Outside Activities' with significant use of University facilities and equipment, unless the Faculty Member (i) receives advance written approval of the proposed use from the Department HOD, (ii) academic uses of such facilities and equipment have priority, and (iii) the Faculty Member reimburses the University for the fair market value of such use (as charged by the University to other



outside users or, in the absence of such documentation, as determined by the committee). The Department HOD shall promptly inform the Vice-Chancellor for all such approvals. Use of library facilities, facilities available to the general public, and occasional use of office equipment and office staff will not ordinarily be considered significant in connection with Outside Activities. Faculty Members are prohibited from using University funds and University- administered funds in connection with Outside Activities. The Vice-Chancellor retains authority to overrule departmental approvals for significant use of university resources in connection with an Outside Activity.

- h) Private consultant groups comprised of university personnel will not be permitted to carry out private research contracts or to render other professional services to outside individuals, corporations, or agencies without approval by the University.
- i) Use of University Name - The name of the University shall not be used in relation to any Outside Activities except to describe the credentials of a Faculty Member and as otherwise by written permission of university authorities.

2.5 Deans, Directors, and Head of Departments are responsible for maintaining written records of the external engagement of their personnel.

3. INDUSTRIAL CONSULTANCY AND SPONSORED RESEARCH COMMITTEE (ICSRC)

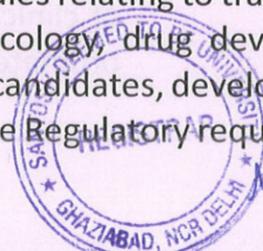
- a) SDU shall establish an Industrial Consultancy and Sponsored Research Committee (hereinafter referred to as **ICSRC**) to facilitate the Industrial Consultancy and Sponsored Research of SDU
- b) This ICSRC will have the following members:
 - i) Vice Chancellor - Chairperson
 - ii) Dean Medical - Member
 - iii) Dean Dental - Member
 - iv) Dean Academics - Member
 - v) Medical Superintendent - Member
 - vi) Dean Research - Co-Ordinator
- c) The Industrial Consultancy and Sponsored Research programmes are to be administratively coordinated by the Dean (Research), who is the authorized signatory of SDU for approvals, monitoring, and financial management of the Industrial Consultancy and Sponsored Research programmes/activities of SDU.



- d) The ICSRC can be expanded/reconstituted to consist of senior faculty, junior faculty and other interested parties and will be responsible for formulating, administering, reviewing, and modifying the ICSR policy under the guidance of the Vice-Chancellor.
- e) ICSRC may constitute sub-committees to focus on specific areas and make informed decisions within the authority delegated to each of the Committees
- f) The Industrial Consultancy and Sponsored Research programmes shall be guided by the Industrial Consultancy and Sponsored Research Committee of SDU, and the annual performance report needs to be presented before the Research Advisory Board and the BOM.

4. THE FUNCTIONS OF THE INDUSTRIAL CONSULTANCY AND SPONSORED RESEARCH COMMITTEE ARE AS UNDER:

- a) To create databases on the Industrial Consultancy and Sponsored Research potentials for the Faculty and Research staff of SDU with details of facilities available in SDU and to disseminate the data through various modes.
- b) To bring out brochures, fliers, and e-newsletters regarding the ongoing Industrial Consultancy and Sponsored Research activities, including the training programmes and discoveries made by the Departments/Researchers of SDU to keep the interacting industries/community informed of the developments and also to maintain good networking and liaison with them.
- c) To coordinate Industrial Consultancy and Sponsored Research projects between University Departments and Industries in the areas of Product/process development and technology transfer.
- d) To assist in (a) bringing about and registration of inter-institutional alliances/ Research collaborations in the form of MOUs/ Agreements and (b) in the development of ICSR/ Patentees by the Faculty/ researchers of SDU based on the products and processes invented by them.
- e) To provide Industrial Consultancy and Sponsored Research services of variable nature as outlined in this policy.
- f) To provide sophisticated medical laboratory diagnostic and reporting facilities to potential clients.
- g) To facilitate the faculty to undertake studies relating to translational R&D projects including preclinical toxicology, drug development and evaluation, standardization of drug candidates, development of diagnostic kits and clinical trials as per the Regulatory requirements.



- h) To link up experts of the industries in the academic and R&D programmes of the SDU Departments like (a) teaching programmes (b) curriculum development (c) PhD programmes and (d) research projects
- i) To conduct periodic dissemination programmes on the Industrial Consultancy and Sponsored Research potentials of SDU by way of Seminars, Workshops, Open Houses and Exhibitions
- j) Any other function assigned by the Vice-Chancellor from time to time.

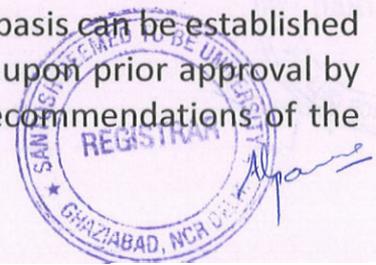
5. INDUSTRIAL CONSULTANCY AND SPONSORED RESEARCH RULES

- a) The faculty members and Researchers of SDU may, with prior intimation to the Dean (Research)/ appropriate authorities, undertake consultancy or provide technical services to the industry and other organizations using, if necessary, the facilities of the University.
- b) The Industrial Consultancy and Sponsored Research provided may be of the following types:
 - i) **Individual Consultancy** relates to such Consultancy undertaken by the academic staff member of the University based on his/ her expertise.
 - ii) **Institutional Consultancy** relates to Consultancy rendered to an Industry/organization (Government/Non-Government), or work done for them by a Department/Group/Individual on behalf of SDU. The requests for such consultancy will be identified/approved by the Vice-Chancellor, on the recommendations of the proposal by the Dean (Research).
 - iii) **Technical, Testing and Diagnostic Services** relate to providing advice on the development of gadgets/equipment etc., for use in inpatient services; conduct of sophisticated investigations, experiments of research value, evaluation of diagnostic kits/reagents and standardization of candidate drugs and certification of commercial drugs for clients as per the Regulatory requirements.
 - iv) **Sponsored Research/ Clinical Research/ Clinical trials** constitute the contract R&D projects/animal-based preclinical toxicology studies/ human clinical trials sponsored by Contract Research Organisations/Pharmaceutical Industries/Biotech Industries etc., to be carried out by a team of clinical and laboratory investigators/Faculty members co-ordinate by the Clinical Research Division, SDU.



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- c) The charges payable to SDU for the above Industrial Consultancy and Sponsored Research activities including sophisticated Investigations, testing and certification and use of equipment facilities would be approved by Dean (Research) as per the recurring expenses involved on yearly basis and defined project budgets to be worked out in consultation with the respective Consultant(s) as per the norms under clause 5(h), below.
- d) The Industrial Consultancy and Sponsored Research services may be categorized into the following classes
- i) **Advisory Consultancy** in which SDU facilities are not used and include retainer consultancies by the Consultants of SDU
 - ii) **Service Consultancy-Category I-** in which SDU equipment and infrastructure only are used, but either consumables, other materials or patients are not required.
 - iii) **Service Consultancy-Category II-** in which University equipment's used and materials including patients and consumables are provided by the Consultant/Institution.
 - iv) **Sponsored Research/ Clinical Research/ Clinical trials** in which Research & Development, Clinical Research/Clinical trials are conducted utilizing all the facilities, infrastructure, consumables, and patient study subjects are utilized.
- e) All requests for Industrial Consultancy and Sponsored Research services will be referred to Dean (Research) SDU. If received directly by a faculty member it will be forwarded to Dean (Research) for processing and facilitation.
- f) Approval of the Industrial Consultancy and Sponsored Research proposal will be governed by the procedure specified below.
- i) All Industrial Consultancy and Sponsored Research projects obtained through the Head of the Department/college concerned or directly from client organizations can be approved by Dean (Research) with the concurrence of the Finance Department.
 - ii) All Consultancy works/Projects will be accounted for and audited as per the norms governing the financial administration of Santosh Deemed to be a university.
 - iii) MOU with Industries, governmental and non-governmental agencies for conducting such Industrial Consultancy and Sponsored Research on a continuing basis can be established by the consultants/faculty members upon prior approval by the Vice-Chancellor, based on the recommendations of the Dean (Research).



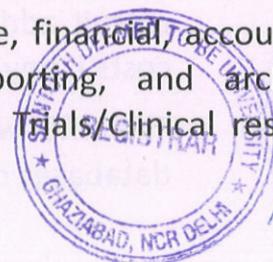
- g) While approving a consultancy proposal, the following aspects will be taken into consideration.
- i) An individual teacher does not allot more than 30% of his/her time to consultancy, the other 70% of the time being spent in teaching and research in approximately equal proportion without being detrimental to the allotted teaching & academic research responsibilities.
 - ii) Maximum days that may be devoted by a faculty member towards Consultancy shall be 20 (twenty) days per annum or such additional days as may be approved by way of special permission obtained from the ICSRC
- h) While working out the estimate for the consultancy project, the following aspects will be taken into consideration: -
- i) Cost of person-days of the teacher and staff taking part in the project.
 - ii) Cost of inputs relating to chemicals, reagents/kits experimental animals' patients and other types of consumables.
 - iii) Usage of equipment.
 - iv) Payments to outside consultants.
 - v) Payments to Research Staff/field workers
 - vi) Cost of undertaking fieldwork including field station expenditure/survey charges.
 - vii) Cost of stationery.
 - viii) Computer, internet charges.
 - ix) Equipment/Product cost if to be purchased exclusively for the work
 - x) Miscellaneous charges.
 - xi) Institutional Overheads / Consultancy charges including SDU administrative charges (a Minimum of 25% of the total budget); and
 - xii) Intellectual fee in cases where development of concept or analysis and ICSR protection is required (whenever applicable).
 - xiii) The consultancy project budget shall ordinarily exclude travel and dearness allowance as an arrangement between the consultant and the client unless the client prefers it as a part of the project budget.



- xiv) The cost of equipment where it exceeds Rs.50,000 will not be taken into consideration for calculating the consultancy charges. Such equipment(s)/Product(s) on completion of the consultancy project shall be retained as the property of the concerned department.
- i) The Client shall be required to pay an advance of 50% of the total project cost, or the cost of materials whichever is higher. All payments shall be made in favour of Santosh Deemed to be University specified Bank Account. However, ICSRC, may vary such terms, based on the recommendation of the Dean, of Research.
- j) Once the terms are approved and the contract signed and advance payment is received, it becomes the duty of the Principal Investigator in charge of the Industrial Consultancy and Sponsored Research to ensure satisfactory progress and time-bound completion of the project. For this purpose, he may make temporary appointments of staff, and draw advances and expenditures in accordance with the rules prescribed from time to time.

6. GUIDELINES FOR THE CONDUCT OF CLINICAL TRIALS BY APPROVED CONSULTANTS/FACULTY MEMBERS OF SDU:

- a) All Outpatient-based and In Patient-based Clinical Trials to be conducted at Santosh Hospital and Santosh Medical College, shall be coordinated both administratively and financially by the Clinical Research Division (CRD) of SDU.
- b) The Objective of the CRD is to create a professionally managed and long-term revenue model for SDU and Principal Investigators by creating and utilizing institutional competencies for clinical trials/clinical research.
- c) All the Clinical Trial Documents should be submitted by the PI/CRD to Institutional Ethics Committee (IEC) for approval before the start of any clinical trial.
- d) Clinical Trials may get sanctioned either by established Principal Investigators or through the marketing efforts of the CRD.
- e) Clinical Trials are envisaged to be conducted in true partnership with the Principal Investigators and the Institution as per the approved ethical standards laid down by the Regulatory bodies (DCGI/ICMR/CDSO etc.,) through the IEC and CRD
- f) The CRD will take the legal, administrative, financial, accounting, personnel, documentation, internal reporting, and archiving responsibilities of the conduct of Clinical Trials/Clinical research consultancy projects.



- g) The PI will be responsible for feasibility assessment, planning of the study, recruitment of patients, the conduct of the study, and presentation before the Institutional Ethics Committee for its approval and other statutory bodies, as and when required, besides participation in and leading the meetings with the Sponsors or the Contract Research Organization (CRO).
- h) Once a clinical trial inquiry is received by the CRD, the following process will be initiated:
- i) Designated personnel from CRD will interface with the PI and assist in developing the feasibility.
 - ii) The Protocols will be evaluated for inclusion/exclusion criteria, informed consent formats and a set of benchmarks that are to be created as per the Standard Operating Procedures (SOPs) to facilitate approvals, monitoring, and management of the study.
 - iii) The PI may have to sign a Confidential disclosure agreement with the Sponsor/CRO in the process of protocol development and feasibility assessment.
 - iv) The draft Clinical Trial Agreement (CTA) will be evaluated by the ICSRC, and the legal expert and requisite modifications, if necessary, will be recommended to either the sponsor or the CRO. All the CTAs will have the mandatory clauses of Indemnity, Insurance and Compensation as per the Regulatory requirements.
 - v) The CTA will have the study budget with the complete list of budget heads and there will be a minimum of **25% Institutional Overhead Charges** added to the overall budget worked out.
 - vi) All CTAs will be signed by the Dean (Research) on behalf of ICSRC as the approved signatory of SDU along with the PI and Sponsor in a three-party CTA. In a four-party agreement, the CRO also would be a signatory.
- i) Requisite personnel will be planned for assignment to the study & charged as per the study budget.
- j) Should there be a limitation in the recruitment of patients within Santosh Hospital /Santosh Medical College, the CRD will make arrangements for the induction of external co-investigators who can recruit additional patients and support the Principal Investigator, costs if any will be booked into the account of the PI.
- k) The CRD will, in collaboration with the PIs, create and maintain databases of patients and potential recruits for various areas.



- l) Should there be a paucity of Principal Investigators within SDU, then CRD may work with external investigators to conduct the study successfully.
- m) Once the CTA is signed, CRD will facilitate the management and administrative matters of the study including coordination, documentation, accounting, finance and archival, while the PI will look after the technical aspects of the study.
- n) The CRD will circulate periodic progress and accounting updates to the PI and the ICSRC/SDU administration. The CRD will also facilitate internal review meetings at regular intervals.
- o) Once the study is completed, closed and all financial parameters met, then a post-study costing will be conducted to enable a clear understanding of surpluses/deficits if any.
- p) The CRD will continue to interact with the Sponsor/ CRO for any post-study dissonance.
- q) Principal Investigator/ Co-Investigators are solely responsible for all the study related documentation. They also have to ensure all the Adverse Events (AE)/Serious Adverse Events (SAE) reporting is done as per SOP to the Institutional Ethics Committee as well as the Sponsor/CRO.
- r) In cases of any adverse events requiring financial support/compensation, CRD & PI will interface with the sponsor / CRO and arrange for support/compensation to the affected study-subject / their families, as provided in Rule 122- DAB in the Drugs and Cosmetics Rule, 1945.
- s) The financial methodology to be followed in the CRD -PI Partnership is the following:
 - i) Once the CTA is signed and Clinical Trial feasibility is established, sponsors will be requested to pay a minimum of 25% advance to meet initial expenses.
 - ii) It is envisaged that the Clinical trial expenditures will be met as per the head of the budget allocation agreed upon in the CTA.
 - iii) The distribution of revenues shall be in the manner as provided in clause 7.5 below.
 - iv) The Study Coordinator / Nurse / Technician / Social Worker payment will be disbursed to the individual as per the allocations provided in the clinical trial budget.



- v) Once the trial is completed and the accounts are finalized and audited internally, final payments will be made to P.I. Subject to the prerequisite of the applicable Income Tax rules.
- vi) The left-over amount, if any, in the clinical trial after closing out will be transferred to the hospital/SDU account.
- vii) All clinical trial accounts will be audited, and the Utilisation Certificate/Statement of Accounts shall be issued by ICSRC based on the details provided by CRD

7. FEE / REVENUE DISTRIBUTION

7.1 Private Consultancy undertaken in strictly personal and private capacity of the consultant, without involving any direct or indirect use of the University's resources, name, logo, professional indemnification insurance coverage, and with no liability to the University, undertaken in compliance with the above rules shall be without any fee sharing obligation with the University, and the same may be received directly by the Consultant.

7.2 Fee Realized for Advisory Consultancy as provided in Clause 5(d)(i)

- a) **70 %** of the fee received for the Advisory Consultancy in which SDU facilities are not used shall be distributed amongst the staff involved in the consultancy in the following manner:
 - i) Consultant/ Principal Investigator: 35% of fee Received
 - ii) Co-investigator(s): 20 % of fee Received
 - iii) Technicians/ Project fellows etc.: 10% of fee Received
 - iv) Administrative staff: 5 % of fee Received
 - v) In case no involvement of either of the Co-investigator, Technicians/ Project fellows, or administrative staff the entire amount falling to there shall be to the share of Consultant/ Principal Investigator.
- b) **30 %** of the fee received for the Advisory Consultancy, shall belong to SDU.

7.3 Fee/Revenue Realized for Service Consultancy-Category I as provided in Clause 5(d)(ii)

- a) **50 %** of the fee received for Service Consultancy-Category-I, in which SDU equipment and infrastructure only are used, not consumables, materials etc shall be the distributed amongst the staff involved in the consultancy in the following manner:
 - i) Consultant/ Principal Investigator: 25% of fee Received
 - ii) Co-investigator(s): 15 % of fee Received
 - iii) Technicians/ Project fellows etc.: 7% of fee Received



- iv) Administrative staff: 3 % of fee Received
 - v) In case no involvement of either of the Co-investigator, Technicians/ Project fellows, or administrative staff the entire amount falling to there shall be to the share of Consultant/ Principal Investigator.
- b) 50 % of the fee received for the Service Consultancy-Category I, shall belong to SDU.

7.4 Fee/Revenue Realized for Service Consultancy-Category II as provided in Clause 5(d)(iii)

- a) First from the Fee received for Service Consultancy-Category-I, in which SDU equipment and infrastructure are used, and material including consumables as well as patients are provided, all Expenses Incurred during the course of providing the Service Consultancy-Category II, shall be retained by SBU, thereafter the Fee Received LESS the expenses, herein referred to as Distributable Fee shall be the distributed
- b) 30 % of the Distributable Fee shall be the distributed amongst the staff involved in the consultancy in the following manner:
 - i) Consultant/ Principal Investigator: 15% of Distributable Fee
 - ii) Co-investigator(s): 9 % of Distributable Fee
 - iii) Technicians/ Project fellows etc.: 4% of Distributable Fee
 - iv) Administrative staff: 2 % of Distributable Fee
 - v) In case no involvement of either of the Co-investigator, Technicians/ Project fellows, or administrative staff the entire amount falling to there shall be the share of the Consultant/ Principal Investigator.
- c) 70 % of the Distributable Fee received for the Service Consultancy-Category II, shall belong to SDU.

7.5 Fee/Revenue Realized for Sponsored Research, Clinical Research/ Clinical trials as provided in Clause 5(d)(iv)

- a) First, the Research/ Trial expenditures as agreed upon in the Agreements with the clients will be recovered by SDU.
- b) Secondly, Institutional Overheads / Consultancy charges Consultancy as agreed upon in the Agreements with the clients, and any admissible Income-Tax shall be retained by SDU.
- c) The balance revenues shall be distributed amongst the staff involved in the Clinical Research/ Clinical trials in the following manner:
 - i) Principal Investigator: 50%



- ii) Co-investigator(s): 30%
- iii) Study Coordinator / Nurse / Technician / Social Worker Technicians/ Project fellows etc.: 12%
- iv) Administrative staff: 8%

7.6 Licensing Fee / ICSR Fee

Any Fee received by the University through licensing fee of the intellectual property/patents and periodic royalty payments received on commercialized products out of the patents shall be dealt with in the manner as provided in the ICSR Policy.

7.7 On completion of the consultancy project, a copy of the report shall be submitted to the ICSRC, along with the statement of accounts/bills/vouchers for verification/ record and issue of utilization certificate(s).

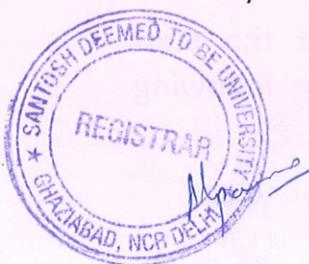
7.8 The Consultant/ faculty member and ICSRC shall be jointly responsible for submitting utilization certificates periodically during the course of the project and final audited statements of accounts on completion of the said consultancy project, certified either by a Chartered Accountant or by the University auditors, as provided in the project to the Sponsor/Funding agency (if required).

7.9 The details of the consultancy amount drawn by each faculty shall be submitted by the faculty concerned to the Accounts section of ICSRC/SDU for Income Tax calculation purposes by the end of January of each financial year.

7.10 ICSRC will maintain absolute transparency in the accounting of each project and share this data with the PI on a regular basis.

8. DISPUTE RESOLUTION

- a) In case of any disputes between Principal Investigator, Faculty, Sponsor, or Client, regarding the Consultancy Rules which shall include the apportionment of the cost and the expenses payable, then Party may appeal to the Vice-Chancellor of SDU. The Vice Chancellor's decision in this regard would be final and binding.
- b) Disputes arising from Collaborative research or externally sponsored research out of or in relation to the construction, meaning, scope, and operation shall be governed by the Associated Agreement.
- c) Provided, in the absence of any written Associated Agreement and if parties thereto agree, the Vice-Chancellor of SDU shall refer the dispute to an independent expert who shall conciliate and pass an award that shall be final and binding on all the relevant parties. The



seat of conciliation shall be New Delhi and the proceedings shall be conducted in the English Language.

9. POWERS TO AMEND ICSR POLICY

SDU, on the recommendation of the ICSRC, through the Board of Management and/or the Vice Chancellor's office, will have the full power to make changes to the Consultancy Policy or bring out a new policy as and when it is felt necessary. The changes or the new policy shall apply to all Consultants, Researchers, Faculty, project staff etc.

10. JURISDICTION

As a policy, all agreements to be signed by SDU will have the jurisdiction of the Courts in Delhi and shall be governed by appropriate laws in India.

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