

KALINGA UNIVERSITY



RESEARCH, CONSULTANCY & IPR POLICY w.e.f.2013



1. RESEARCH POLICY OF KALINGA UNIVERSITY

Research and developmental activities create and disseminate new knowledge in range of fields, promotes innovation and these will motivate better learning and teaching among faculties and students of our University as these are often incorporated in the courses. Research is the foundation of knowledge that brings new energy, builds state of the art facilities, promotes research publications, develops collaborations and becomes part of active community that shares the mission objectives. Taking these into considerations, Kalinga University Research Policy is implemented.

1.1 Purpose

The purpose of the Research Policy is to create a vibrant atmosphere of research among faculty and researchers in Kalinga University. The policy shall serve as an overall framework within which research activities may be carried out.

1.2 Objectives

- To create an enabling environment within Kalinga University in order to foster a research culture as well as provide required support through research framework and guidelines.
- To ensure high level of efficient and effective support system to facilitate faculty and researchers in their research activities.
- Ensure publications in quality journals, indexed in Scopus/Web of Science and/or with impact factor.
- To nurture an environment of undertaking socially useful research with potential for commercialization.
- Establish Research Center within Kalinga University with potential for Excellence.
- Forge interdisciplinary collaborations and partnerships nationally and globally.
- To identify and establish linkages including MOUs for long term relationships with national and international academic organizations for widening the scope of research opportunities and funding options available to the teachers and students of the University.
- To identify and establish linkages including MOU s for long term relationships with industry bodies and individual companies for creating opportunities for teachers and students of the University to involve themselves in real life research projects and obtaining sponsorships.
- To develop rules, procedures and guidelines for granting research



support, instituting awards, and supporting all other related activities.

- To develop rules, procedures and guideline for granting study leave, industrial training, duty leave, reduction in work load etc for faculty members undertaking research activity.

1.3 Custodian of Policy

The implementation and updating of Research Policy shall be carried out by Dean of Research & Development, Dean (R&D), Kalinga University. The Research Policy shall have a research advisory body to function under Vice Chancellor, Kalinga University and research committee, to assist and advise in matters related to research within Kalinga University.

1.4 Policy and Guidelines

- Faculty members of Kalinga University and departments are expected to undertake research, leading to quality publications, presentations in National/International conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcome and other similar research activity.
- Obligations of faculty and researchers (including post graduate researchers) Research output will be considered one of the criteria for faculty recruitment and promotion along with other academic responsibilities.
- Recruitment and promotion: Kalinga University shall recruit such faculty members and researchers who have demonstrable/demonstrated capability in research. Faculty promotion may significantly depend on research undertaken. The quality of research output, especially research publications, may be assessed on the established yardsticks such as Impact Factor (IF) and which will be revised from time-to-time as appropriate.
- Research Management: Overall management of research activities may be coordinated by Dean Research, Kalinga University, under direct supervision of Vice Chancellor. Research committee shall be responsible for overall functioning of research activities within the University.

Incentives & Rewards:-

- Publication of at least 2 research in journal with impact factor every year is compulsory. Faculty member publishing more than 2 papers will be rewarded with incentives as under.
- Rs 2000 each with a certificate of merit in international journal (SCI/ Scopus).



- Rs 1000 each with a certificate of merit (published in journal with impact factor) in national journal.

Note: If publication is by more than one author then in that case incentive will be divided by the number of authors.

Books/ Chapters

- Rs 5000/- each book published by international publisher having ISSN No.
- Rs 3000/- each book published by national publisher having ISBN No.
- Rs 1000/- each chapter published by international publisher having ISBN No.
- Rs 500/- each chapter published by national publisher having ISBN No.

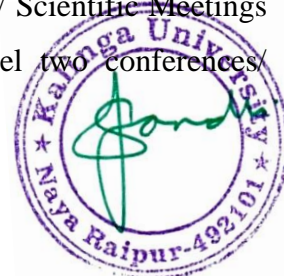
Participation in conferences/ symposium/ Workshop/ Scientific Meetings

- Presentation of research and scientific paper accepted in national/ state conference
- Sleeper class ticket fare for to and fro journey by train/ Bus for Assistant Professor and 3 AC ticket fare for Associate Professor & Professor.
- Half of the Registration fee will be given by the university in case of recognized association conferences on producing original receipt.

Note:- In one academic year only one conference/ symposium/ Workshop/ Scientific Meetings will be permitted for Assistant Professor level while for Associate Professor, Professor level two conferences/ symposium/ Workshop/ Scientific Meetings will be permitted.

- Presentation of research & scientific paper accepted in international conferences/ Workshop (once in a one year) and after completion of one year service.
- Sleeper class ticket fare for to and fro journey by train/ Bus for Assistant Professor and 3 AC ticket fare for Associate Professor & Professor.
- Half of the Registration fee will be given by the university in case of recognized association conferences on producing original receipt.

Note:- In one academic year only one conferences/ symposium/ Workshop/ Scientific Meetings will be permitted for Assistant Professor level while for Professor level two conferences/ symposium/ Workshop/ Scientific Meetings will be permitted.



Training Programme

- Faculty member desirous to attend summer training program organized by UGC/ AICTE and by any regulatory authority, it will be the discretion of Dean Research/ Vice Chancellor to allow them for such type of training programme without disturbance of His/ Her workload of university.
- Maximum 15 days of leave can be sanctioned for any training with the recommendation of Dean Research/ Vice Chancellor.

Note: - It is applicable for those faculty members who have completed at least one year continuous service.

- No reimbursement/ incentive will be given if a person attend National or State level conference without presentation of the paper and without prior permission. A copy of the paper abstract is to be submitted to the Research Committee of Kalinga University before going and also prior permission is to be taken.
- The faculty member will not be eligible for promotion/ Increment without publications.
- It is Compulsory to spend at least 3 hours per week in the library for self study and research.
- It is Compulsory to attend at least 2 seminars/ Workshop/ FDPs in one academic year.



2. CONSULTANCY POLICY OF KALINGA UNIVERSITY, NAYA RAIPUR

For Kalinga University, it is important to nurture new ideas and innovation in technology and science and with its general goal of to create a niche in which new ideas, research, consultancy and scholarship flourish and from which the leaders and innovators of tomorrow emerge. In fulfillment of these points of importance, KU has taken the initiative to promote innovations and to facilitate protection of Intellectual Property (IP) thus generated at KU. In this document, the processes to support these efforts have been included. A formal Framework to guide the implementation of these processes is included in this document.

To administer the policies included in this document related to Research & Consultancy, and maintain the relevant documents, KU has University Research & Development Cell with appropriate administrative and supporting staff, The aim is to sustain and grow creativity in an ethical environment in KU, that recognizes the importance of innovations and assists in translating them into products, processes and services for commercial exploitation and to achieve the widest public good.

Consultancy Rules and Norms:

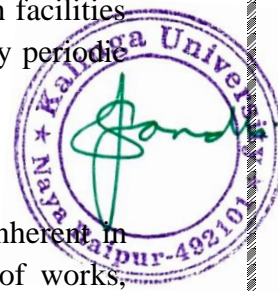
2.A Scope of Consultancy Services Offered

2.A(1) Consultancy Services may be offered to industries, service sector, Govt. Departments and other National and International agencies in niche areas of expertise available in the University.

2.A(2) Consultancy services offered may cover a variety of activities such as Feasibility Studies; Technology Assessments: Assessment of Design and/or Current Manufacturing Process Material. Energy, Environmental and manpower Audits; Product Design; Process Development Software Development; General Troubleshooting, Retrofitting Exercises. Formulation development, Quality Audits, Stability Studies and Protocol developments and other mutually agreeable activities with industry & Kalinga University, Intensive efforts for transfer of highly focused skills and expertise to select groups in specific organizations, vision and strategy statement and so on.

2.A(3) Standardization and Calibration services may be offered in areas in which facilities are available or can be augmented. Such services should normally, be backed by periodic Calibration/Standardization of laboratory equipment used for such purposes.

2.A(4) Jobs which are too complex to handle, by virtue of certain constraints inherent in any academic and research environment-such as execution of certain types of works, should not normally, be taken up irrespective of the availability of expertise and perceived needs of the clients.



2.A(5) All Consultancy and related Jobs need to be structured and executed in the spirit of promoting KU-Industry Interactions, as a vehicle for augmenting (current) levels of excellence in teaching and research for proper placement of KU graduates & Research scholars in the process, generating and funds.

2.B Project Category

2.B(1) Each project shall be undertaken either under

- Standard Terms and Conditions, or
- Specific research agreement or Memorandum of Understanding describing the details of contract.

In the former case, the work is taken up in good faith between the consultant and the client, the obligations and responsibilities of both parties being limited by the standard terms and conditions. The latter case refers to projects that usually involve non-disclosure agreements, detailed negotiations of contract terms and signing of contracts in the form of agreement or MOU covering various aspects such as deliverables, milestones, payment schedules, role and responsibilities of the parties, non-disclosure of confidential information, disputes resolution, liability, IPR matters arbitration and application law, These projects involve significant amount of effort time associated with the negotiation and implementation of the research contracts.

2.B(2) Consultancy and related services offered will be divided mainly into two categories.

Expert Advice and Development Projects: This type of project will be Expertise intensive or Intellectual type and based on the expertise of the Consultant.

Testing Projects: - This type of project will be infrastructure intensive and will be based on extensive usage of the institute infrastructure.

2.B(3) Eligibility for Undertaking Consultation

Consultancy and related assignments can taken up by full time faculty

Any other employee of the Institute may take up consultancy work with prior approval of the Vice Chancellor. All employees undertaking consultancy shall hereinafter be referred to as Consultant.

2.B(4) Conflict of Interest

Consultants shall disclose to the Dean (R&D) in writing or verbal, the existence of

- (i) Any relationship between him/her and the client funding the consultancy project or any vendor to whom payment are made from the project funds in the form of involvement of any immediate relatives or
- (ii) Any scope for potential disproportionate self-gain.



Dean (R&D) will review such cases and decide appropriately, with the advice of a committee, to ensure that no actual conflict of interest exists and that such an involvement by the consultant does not adversely affect the consultant's objectivity, integrity, or commitment to the Institute and to be profession, Consultants may not use the Institute name or the fact that they are affiliated with the Institute, in a manner that

- (i) Suggests that the Institute approves or disapproves of a product or service provided by a profit, non-profit or governmental entity or
- (ii) Suggests that the Institute has performed research or issued research findings when it has not done so, or misleadingly states the results of Institute researcher.
- (iii) May be interpreted to communicate the official position of the Institute on any issue of public interest.

2.C General Consultancy Rules

Consultancy work taken up by Consultants is subject to be the following limits:

2.C(1) The time spent on consultancy and related assignments shall be limited to the equivalent of 52 working days in a year, preferably at the rate of one working day per week. In addition Consultants may be permitted to utilize, on an average one non-working day per week. Any other exceptions in any will be approved by the Dean Research.

2.C(2) Consultancy assignments may be taken up and implemented, within the constraints indicated above. They do not have any adverse impact on the ongoing academic, research and related activities. Further, such assignments need to be carefully scheduled in the light of ongoing commitments. If required, a clear indication of the earliest date on which the assignments can commence may be clearly spelt out in the proposal form.

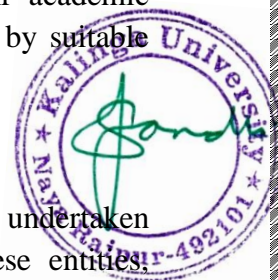
2.C(3) The services of permanent employees of the Institute may be utilized for the execution of the consultancy projects provided it does not affect their primary functions and responsibilities to the Institute.

2.C(4) Students or Research scholars who are willing work on consultancy projects may be permitted as per Institute norms to do so provided it does not affect their academic commitments and performance. Such work by students may be compensated by suitable honoraria or Certification.

2.C Consultancy Rules: Related Travel

2.C(5) Travel out of the campus on account of consultancy activities should be undertaken with intimation to the Head of the Department. In case of Heads of these entities, intimations should be sent to the Vice Chancellor.

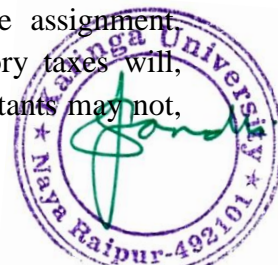
2.C(6) Outstation travel on Consultancy Assignments may, be undertaken normally with the prior approval of the Head of the Department and Dean R&D. It is, however, anticipated that such approvals will be given within two working days in order to ensure that prior commitments to clients are honored. In emergencies, prior intimation and subsequent sanction could be considered acceptable.



2.D Consultancy Rules: Consultancy Project Execution

Consultancy Projects are normally initiated by requests/enquiries from the industry directly to the Institute or by discussion between the industry and Consultants.

- a. When the enquiry is directly received by the Institute, the work will be assigned to specific consultants or groups of consultants depending on their expertise, and existing commitments, by the Dean R&D.
- b. In the event of a client preferring the services of a specific consultant, the assignment may normally be assigned to the identified person, provided the requirements in respect of 5.1 and 5.2 are satisfied.
- c. All acceptance letter will be sent by the Dean (R&D).
- d. Consultancy project proposals (prepared in response to a client's request) are to be approved by the Dean (R&D) who may examine the scope of the work and cost estimates. It is essential to discuss proposed work plans with a client vis-à-vis the scope in order to obtain clarity before the consultant prepares the cost estimates.
- e. In extreme emergencies, a consultant may take up an assignment with intimation to the Dean (R&D) and then seek approval. It would, however, be necessary to ensure that the task involved is not a major one entailing total charges not more than Rs. 50,000/- or two days of faculty time and payments are made immediately, well before submission of any formal report.
- f. The charges, once finalized, will not be negotiable. However, if the scope is altered, a fresh estimate may be considered.
- g. The minimum charges applicable in respect of consultancy jobs will be Rs. 10,000/- excluding any applicable tax. In exceptional cases, permission will be sought from Vice Chancellor.
- h. It is desirable that Preliminary Diagnostic Discussions/Site Visits, leading to the generation of consultancy proposals may be charged at a minimum rate of Rs. 5,000/- per day or part thereof, in addition to travel and incidental expenses as applicable, As an industry friendly move, the consultant may decide to absorb such charges for potentially large projects, into the final projects cost.
- i. Consultant should be aware of the potential for the generation of Intellectual Property during the execution of projects. The Intellectual Property Policy will govern all decision and actions concerning the generation, handing, protection and commercialization of the Intellectual Property.
- j. The services of external consultants (especially retired Faculty/Research Scientists/Research Scholars) may be utilized to a limited extent in order to provide comprehensive services to clients, Such external consultants which may include will be entitled to a lump sum consultant fees which may be fixed after taking into account essential expenditure directly related to the assignment. Normal deductions by way of Institutional charges and mandatory taxes will, however, be made. The consultant fees payable to External Consultants may not, normally, exceed 40% of the total project cost.



Exception to above will be allowed only with the permission of the Dean (R&D) or Vice Chancellor.

2.E Consultancy Rules: Related Payment schedule

a. The charges for any assignment are normally payable in advance. However, exceptions may be made in respect of assignments involving charges exceeding Rs. 1, 00,000/- and with implementation periods exceeding 3 months.

b. In the case of large assignments, a payment schedule linked to milestones can be worked out.

Such a payment schedule should ensure that

- (i) The advance payment is received for every segment of work.
- (ii) The numbers of installments are reasonable and consistent with case of implementation. The number of installments may not exceed four for a project implemented over a Two-year periods, and, this number needs to be scaled down accordingly for shorter duration projects.
- (iii) Exception to above will be allowed only with the permission of the Dean (R&D) or Vice Chancellor.

2.F Costing of Consultancy Projects

The consultancy project costing is based on the following component charges:

- **Consultant Fees:** This will include charges for the time of the Institute and External Consultants. The CF is limited to 20% of the project cost for testing jobs.
- **Charges for Personnel engaged in Technical Services:** This refers to the charges payable to the permanent employees of the Institute for their effort in the execution of the project.
The figure is limited to 30% of the project cost for testing jobs.
- **Project Staff Salaries:** This refers to the salaries payable to temporary staff employed specifically for the projects. The project shall also provide for 30% of PSS as House Rent Allowance.
- **Operational Expenses:** These include expenses incurred on consumables, contingencies, travel and daily allowance, honoraria for students and all other expenses related to the consultancy project. These also include Equipment Utilization Charges for the usage of institute equipments for all consultancy projects, which will be transferred to the respective Departmental Development Fund or university whichever is applicable.
- **Overheads:** Overheads will be charged as per case to case basis.



- Capital Equipment: This will include charges for the purchase of specific equipment for implementation of consultancy projects, No overheads are charged on this.
- Contract Negotiation/Legal Expenses may be levied for projects involving contract negotiations.
- Service tax and other taxes as applicable shall be provided for in the project cost. Exception to above will be allowed only with the permission of the Vice chancellor.

2.G Research Development Fund

To facilitate consultants close accounts of all concluded projects and at the same time enable them to provide for fund to support their ongoing research, equipment maintenance, laboratory development etc., and all unspent balances in closed projects after deduction of overhead will be transferred to Kalinga University for Research activities as fund.

2.G(1)Distribution of Institute Share

Minimum 20% of the total consultancy cost will belong to Kalinga University as Institute share.

Exceptions to the above will be taken case to case basis.

2.G(2) Review and other Related Matter of Consultancy Projects

It is essential to provide an effective framework to ensure smooth implementation of Consultancy projects in the context of Educational, R&D and related activities. Also, UCRD should be in possession of basic information in respect of consultancy activities to meet various proactive as well as reactive needs. To meet these requirements, the implementation needs to be within the framework given below.

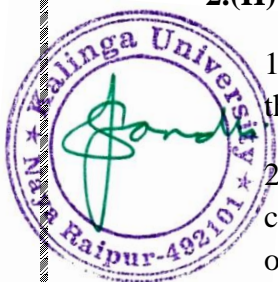
2.G(3) Proposals for large sized consultancy assignments may be reviewed by a small standing committee, comprising of HOD'S, Dean (Research) & V.C.

2.G(4) A short report on every consultancy project, upon completion shall be submitted to the Dean (R&D) by the Consultant, The reports shall be preserved as 'Classified Documents for a period of typically five years, to be destroyed thereafter.

2.(H) Other Matters

1 Earnings for Technology Transfer. Revenue Sharing and Royalty will be governed by the Intellectual Property Policy of the Institute.

2 Notwithstanding the above, and keeping in mind the best interests of the Institute, consultants may be taken up in exceptional cases, not covered rules, with prior approval of the Vice chancellor.



2.(I) Summary of Rules

The Salient features of rules are as given below. Each project shall be undertaken either under standard terms and conditions or under some special cases, a specific research agreement or Memorandum of Understanding describing the details of contract.

1. Categories of consultancy projects are reduced to two as those taken up under Consultancy and Testing Projects.
2. Removal in the slabs of earnings of consultants for deduction of Institute share, at rate of deduction of Institute share at 20% only.
3. A revision in the distribution of Institute earnings from overheads and deductions.
4. Introduction of an open ended Research Development Fund (RDF) to support operational expenses of ongoing research.
5. Provision for service and other taxes as applicable.
6. Formulation of a comprehensive Intellectual Property Policy for the Institute.
7. Inclusion of standard terms and conditions for consultancy projects not governed by agreements.
8. An explicit statement on conflict of interest included.



Dean (Research & Development)

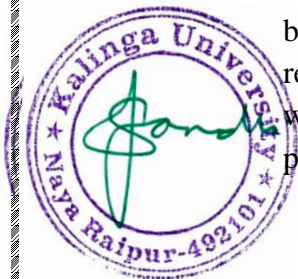
3- INTELLECTUAL PROPERTY RIGHT (IPR) POLICY

KALINGA UNIVERSITY,

Preamble

In the present scenario, where intellectual property right and their awareness is being increasingly linked to innovation and creativity, the University wishes to adopt the following IPR Policy to encourage the spirit of innovation amongst its staff and students. The Policy Covers industrial property viz. Patents, design, copyright trademarks, besides, addressing issues relating to sponsored projects/setting up of ventures by staff and students.

1. All Students and Staff of the University are free to seek protection for their ideas, either in individual capacity or generated as part of research output of their projects, in form of patents, industrial designs & copyrights.
2. University will provide due support to students/staff, in the form of professional assistance and bear all expenses for the same, for filings in India.
3. Contact point will be In-charge of IPR Cell of the University, who will frame the modalities for innovation/idea capturing, Liaison with attorneys and experts for fillings, maintain records, facilitate licensing, royalty collections, disbursements to innovators and also carry out other miscellaneous activities.
4. All Students and Staff of the University are free to publish books, write journal articles and submit them to publishers/journal or other sources for publication, as per university conduct rules,
5. Copyright for thesis will be retained jointly by the student and the guide. Copyright for all data/photographs/figures and textual matter and tables used in the thesis shall also belong jointly to the student and the guide. University will retain publicity rights.
6. Copyright for all publications and articles by the students and staff shall belong to them and they are free to retain whatever royalties for such publications.
7. Copyright for any software/program development by the student/faculty staff shall belong to them and they are free to file copyright for same, at their own expense and retain royalties if any, from the same, One royalty free copy of the software/program will be provided to the University for academic purposes only. University will retain publicity rights.



For **Patents/Design registration fillings** outside Indian either under worldwide treaties e.g. the Patent Co-operation Treaty or directly in USA, Europe or other countries, decision will be taken by the University on case to case basic., subject to evaluation of licensing potential financial inputs needed and also availability of funds.

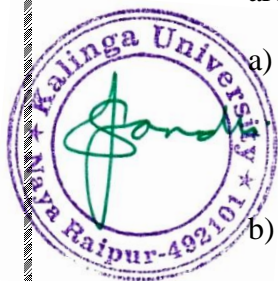
- a) University may in due course create a separate fund, either from its own resources or external grants, to facilitate and fund international filings also, without any burden on innovators. University will retain publicity rights.
- b) All applications relating to Patents/Design registration will be filed in name of Innovator indicating affiliation, address of Kalinga University, University will retain publicity rights,
- c) Full Commercial rights will belong to the innovators.
- d) Innovators enjoy full freedom to license out the inventions to others or use them to develop products by setting up their own ventures.

In case a patent/design registration is being filed by more than one person, them at the time of signing MOU, innovators in advance, must mutually decide the revenue pattern sharing arrangement between them and make a written agreement. This is to avoid conflicts between the innovators, in the event of licensing.

This sharing agreement will be duly reflected in the MOU signed between the University and the innovators and signed document approving the sharing, will be a part the MOU.

For granted **Patents/Designs** which are not licensed out or commercialized within five years from date of filing, University may at its discretion decide to abandon the same or ask innovators to bear further expenses on maintenance if inventors(S) want the same to be maintained.

University allows innovators (Staff and students) to set up their own Companies/Ventures around the innovations to encourage entrepreneurship.



- a) Working staff of University can be a promoter/non-working partner in a venture by investing funds but not work full time (part time working allowed, without affecting ongoing research academic load).
- b) Students are allowed to set up their own ventures but only part time working is allowed, so that conflicts with ongoing academic programs e.g. attendance in classes, practical's and examinations, are avoided.

c) All intellectual property rights (Patents/Copyright/Designs and Trademarks) relating to sponsored projects from Industry/Individuals, will belong to the sponsor.

d) Name of students/faculty who worked on the project, against charges duly paid to University, may be included in any Publications/Patents/Copyright/Design Applications but all commercial rights shall belong exclusively to the sponsor.

Amendments to this policy, if any shall be prospective and affect the agreements already signed.

Dean (Research & Development)

