

Private and Confidential

Dr Sudeep Gupta
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Navi Mumbai 400012
India

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Our Ref: IA/CPHI/14/1/501485
19/02/2015

Dear Dr Gupta

The Wellcome Trust/DBT India Alliance has agreed to award **Dr Nikhil Patkar** an Intermediate Fellowship (for Clinical and Public Health Researchers) for 60 months for his study entitled, "Acute Myeloid Leukemia and the Dynamics of Relapse", under your Sponsorship.

An award of up to ₹ 3,66,86,320.00 has been provided to the Tata Memorial Centre (hereinafter referred to as 'Host Institution') for this purpose.

The grant has been given a start date of 01/03/2015 and is intended to provide support as follows:

RING-FENCED FUNDS:

	Total (₹)
PI – INTERMEDIATE FELLOW	
Contribution towards personal support for Dr Nikhil Patkar	24,37,200.00
CONTRIBUTION TOWARDS INSTITUTIONAL OVERHEADS	
	3,33,51,20.00
OVERSEAS ALLOWANCE	
Subsistence for 12 months (\$3000/month at a conversion rate of \$1 = ₹ 63)	22,68,000.00
Travel	1,50,000.00
Sub Total	81,90,320.00

TRANSFERABLE FUNDS:

	Total (₹)
STAFF SALARY SUPPORT	
Post-1: PhD Student	13,20,000.00
Post-2: PhD Student	13,20,000.00
Post-3 : Administrative Staff	9,00,000.00
FLEXIBLE FUNDING ALLOWANCE	
	7,50,000.00
TRAVEL TO MEETINGS	
Dr Nikhil Patkar	7,50,000.00

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The Wellcome Trust/DBT India Alliance is a charitable trust registered in India.

Post-1: PhD Student	5,00,000.00
Post- 2: PhD Student	5,00,000.00
MATERIALS & CONSUMABLES	
	1,19,00,000.00
EQUIPMENT	
	1,05,56,000.00
1. 96 well PCR tube (0.2mL) incubator and heat block	
2. Digital dry bath	
3. Illumina MiSeq Next Generation Sequencer	
4. Invitrogen DynaMag [®] , ϕ -96 Side Skirted	
5. Thermocycler	
Sub Total	2,84,96,000.00
GRAND TOTAL	3,66,86,320.00

The following details along with the enclosed **Award Conditions** outline the framework in which the Fellowship will operate.

- 1 **Terms**
- 2 **Costs**
 - 2.1 **Ring-Fenced Funds**
 - 2.2 **Transferable Funds**
- 3 **Acceptance**
- 4 **Payment**
- 5 **Reports**
 - 5.1 **Annual**
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- 16 **Application Reviews**
- 17 **Contact**

1 **Terms**

1.1 **Terms for activation of the Award:**

This award must be activated no later than **01 December 2015**.

This award may not be activated until the Fellow has met the following conditions:

a) Mentorship requirement:

India Alliance recognizes the value of good mentorship for its Fellows. Therefore, each Fellow is required to identify a suitable mentor. This is a mandatory requirement for the Intermediate Fellowship. A letter of agreement from the mentor is required for initiating the award. (See Award Condition 8).

The Office has received a letter from Dr Brent Wood, who has agreed to be a mentor on Dr Patkar's Intermediate Fellowship award. Since, mentor's role will be carefully scrutinized during the tenure of the Fellowship; Dr Patkar is expected to update the status of mentor on annual basis.

b) Ethics Approvals:

The India Alliance has noted that Dr Nikhil Patkar's studies will involve participation of Human subjects. It is important that appropriate ethical approvals are obtained before any experiments requiring human samples are initiated. Activation of Dr Patkar's Fellowship is therefore conditional on the receipt of documentary proof of the ethical approvals from the relevant bodies. Please note that the India Alliance office withholds the right to release funds based on the documentation received in this matter.

1.2 Terms for monitoring and evaluation of the progress made on the award:

India Alliance will evaluate the Fellow's progress during the tenure of their India Alliance Fellowship. Consequently, continuation of the India Alliance funding after third year of the Fellowship will be contingent upon a satisfactory review of the progress made during the first half of the Fellowship (See Award Condition 7).

1.3 Terms for using the overseas allowance approved on the award:

Please note that it is a mandatory requirement for Dr Patkar to keep the India Alliance informed of his Work Outside Host Institution duration and location. He will be required to submit the following documents in order to utilize the overseas allowance approved on his Fellowship award.

- a) India Alliance must be informed of the duration and location of the visit before moving to the External Sponsor's lab.
- b) An email confirmation from the External Sponsor from his/her official email address clearly indicating the duration of Dr Patkar's stay i.e. start date and end date. This can be emailed to grants@wellcomedbt.org
- c) India Alliance must be informed of the completion of the overseas visit to the External Sponsor's lab after returning to the Host Institution in India.
- d) Utilization certificate of funds transferred to the External Sponsor's institution for overseas project work from the Finance department of the overseas institution, within 2 weeks of completion of the trip.

Dr Patkar will be required to furnish this information for every overseas visit that he will undertake during the tenure of the India Alliance Fellowship award.

It is a condition that the Host Institution will administer the Fellowship in accordance with the purposes for which it has been awarded and under the terms set forth in the India Alliance's **Award Conditions (enclosed)**. An updated version of the Award Conditions is also available on our website.

It is incumbent on the Host Institution and the Fellow to be familiar with our Award Conditions and policies, and comply with them during the tenure of the award.

2 Costs on the Award:

This award provides funding for directly incurred costs on the Fellowship, including its associated research project. Directly incurred costs are actual costs; that are explicitly identifiable as arising from the conduct of a project (e.g. staff salaries, equipment, materials, travel). These costs are charged as the cash value actually spent, and are supported by an auditable record. The award is cash-limited; supplementary funding will only be provided in exceptional and specific circumstances.

The award is divided into two primary types of funds: (1) ring-fenced and (2) transferable. Ring-fenced funds may be used only for the purpose(s) as indicated in this letter.

2.1 Ring-Fenced Funds

2.1.1 Personal Support for the Fellow

The India Alliance's contribution to personal support is determined as follows.

Each Fellowship has a set level of personal support as detailed on our website.

The level set for the India Alliance's Intermediate Fellows is currently, INR 16,80,000 *per annum*. This level has been calculated as follows: a basic salary of INR 7,20,000 *per annum*, allowances amounting to 60% of this salary, an additional Fellowship enhancement of 20%. Additionally, a non-practicing allowance amounting to 25% of the basic salary and an Academic Clinical allowance fixed at INR 1,20,000 per annum is provided.

If the Fellow does not have a salaried position at the host institution, the India Alliance will pay the entire sum to the level set for the requisite Fellowship.

If the Fellow has a position at the host institution that provides a salary, the India Alliance will provide a top-up to meet the requisite level. The amount of top-up is calculated based on the salary certificate or contract of employment provided by the Fellow. This will be revised for each installment based on the latest pay-slip provided at the end of the financial year and will be fixed for the financial year. No interim adjustments will be made to the salary during the financial year. Any revisions in salary at the Host Institution during the financial year will only be considered for the next installment in the next financial year.

If the Host Institutions' contributions to the Fellows personal support exceeds the India Alliance's set level, no personal support will be provided.

Based on our understanding, Dr Patkar currently receives salary support from the Host Institution. The India Alliance's contribution therefore, was calculated based on the documentation provided by the Host Institution.

The India Alliance expects the Host Institution to ensure that personal support for the Fellow is paid as specified in this award. It is for the Host Institution and the Fellow to determine how their personal support would be presented for tax purposes in India or overseas, as applicable. Please note that the India Alliance would not expect a Fellow's total personal support to exceed the level that has been set for the respective Fellowship.

The India Alliance reserves the right to periodically review and revise its provision for the Fellow's personal support. If there are any changes to the personal support received by the Fellow from the Host Institution, the India Alliance must be informed in a timely manner.

2.1.2 Contribution towards Institutional Overheads

A contribution towards institutional overheads has been provided in this award and is calculated as 10% of the total funds. These costs should be applied in such a way that they support the Fellow's research, e.g. by contributing to costs for laboratory infrastructure, utilities, or administrative support relating to the research. It is expected that charges made against this heading would not exceed the amount provided.

2.1.3 Overseas Allowances when working outside the Host Institution:

Where Fellows have requested to undertake their research outside their Host Institution, they are provided with a subsistence allowance (\$ 3000/month; revised as per the prevailing conversion rate at the time of release of funds; fluctuations in the currency conversion rates will not be accommodated once funds are released) and travel allowance (INR 1,50,000). The total amount specified in this ring-fenced category may be used flexibly, at the Fellow's discretion, to cover any reasonable costs associated with relocating and working overseas. Transfer of funds for overseas activities would have to be undertaken by the Fellow's Host Institution.

2.2 Transferable Funds

Budgets detailed under 'Transferable funds' are indicative only and movement of funds between budget headings is allowed. Fellows are provided the flexibility to use 'Transferable Funds' as required for the pursuit of their Fellowship research goals. There are two exceptions:

- a) Funds may not be used to purchase, maintain or perform procedures on animals not included in the award letter. Permission from the India Alliance office must be obtained prior to implementation of any changes.
- b) Fellows may not support any additional posts without prior permission from the India Alliance.

2.2.1 Research Staff

It is expected that the contract of employment of any staff associated with the award should not extend beyond the end of the Fellowship. All postdoctoral staff supported on the Fellowship must be paid at least ₹ 40,000 per month. The administration of these funds must be carried out within the

rules of the Host Institution. The India Alliance reserves the right to periodically review and revise its provision for postdoctoral staff's personal support.

2.2.2 Flexible Funding Allowance

The Flexible Funding Allowance (FFA) is intended to increase financial flexibility available to Fellows, and to simplify Fellowship administration. The FFA can be used to meet unanticipated directly incurred costs that would assist in meeting the goals of the Fellowship research. This includes, but is not limited to, publication costs, travel and training fees for research staff, and other miscellaneous costs.

2.2.3 Travel to Meetings

These funds are for attendance to scientific meetings, or for short working visits to other laboratories, for the Fellow and any staff employed on the Fellowship. It is a matter for the Fellow to decide as and when the funds should be used. Visits to the India Alliance office and for India Alliance events are expected to be funded from this budget.

2.2.4 Materials & Consumables, Equipment and Animals

Funds provided for materials, consumables, equipment and animals are also transferable. Animals purchased, maintained and/or used for the research purposes cannot exceed the number requested in the Fellowship.

3 Acceptance

To accept this award and activate the Fellowship, a completed **Grant Start Certificate** (attached) must be submitted to the India Alliance office by **26 February, 2015**. The Fellowship cannot be activated until this confirmation has been received. The India Alliance will not accept liability for any expenses incurred on the Fellowship until a signed Grant Start Certificate has been returned.

When accepting this Award of Fellowship, the Host Institution recognizes that the undertakings given by the Institution and others at the time of signing the Full Application Form are "conditions precedent" and the Host Institution will ensure that they, their agents, employees and students will continue to abide by the undertakings given throughout the lifetime of the Fellowship.

Copies of this letter and the notes should be forwarded to all the relevant persons in the Host Institution.

4 Payment

All payments on the award will be made electronically via bank transfer. A **Payment Details Form** (attached) should be filled by the Host Institution and returned to the India Alliance office by **26 February, 2015**.

The India Alliance will provide funds pro-rata on a yearly basis following the financial year (1 Apr – 31 Mar) cycle. Equipment cost will be released in equal payments in the first two installments, unless specified by the Fellow. All other ring-fenced and transferable funds will be released in yearly

installments. A provisional payment profile of the disbursements will be released by our Finance department, at the time of release of payments.

2% of total transferable funds are withheld from the last but one installment. Release is subject to receipt of the End-of-Fellowship Research Report and Spend Report. (See 5.2)

The first two installments will be released in whole, regardless of the amount spent by the Fellow. From the third installment onwards, if any amount from the previous year is unspent, this will be carried forward and the balance will be adjusted against the next installment.

5 Reports

The India Alliance requires Research and Spend Reports from the Fellow and the Host Institution, annually and at the end of the Fellowship.

5.1 Annual

Research Report: To monitor research progress made during the year; to be submitted by the Fellow and to be received by 15 April. A letter specifying the format of the report will be sent by the office.

Spend Report: To enable the release of next installment of payment; to be submitted by the Host Institution. A form will be sent by our Finance section towards the close of the financial year. This Report must be received latest by 30 April and should detail all the expenditure undertaken on the Fellowship up to 31 March. The Annual Spend Reports would also have to include a salary certificate of the Fellow for the preceding financial year.

Funds for the next installment will not be released until a complete Research and Spend Report is received by the India Alliance. The India Alliance will not be responsible for any delays in the release of funds if the Spend Report is not submitted in time.

5.2 End-of-Fellowship

Research Report: To highlight research milestones and other accomplishments during the tenure of the Fellowship; to be submitted by the Fellow.

Audited Spend Report: To indicate all the expenditures incurred on the Fellowship during its tenure; to be submitted by the Host Institution.

The India Alliance will not release the retained transferable funds unless these reports reach the office within three months of the end of Fellowship. The Fellow and the Host Institution would be informed about the formats for the final reports. [Also see Award Conditions 2, 4 and 6]

6 Fellows' Title: See Award Condition 1

7 Publications from Fellowship: See Award Condition 6

8 Mid-term review process: See Award Condition 7

- 9 Mentorship Requirement: See Award Condition 8**
- 10 IP arising from the Fellowship: See Award Condition 9**
- 11 Award Extension: See Award Condition 11**
- 12 Other Fellowships and Grants: See Award Condition 12**
- 13 Variation and Termination of Fellowship: See Award Condition 14**
- 14 Managing reputational risks: See Award Condition 15**
- 15 Fellows' Meetings**

The India Alliance will periodically organize meetings for all its Fellows. Information on the meetings will be made available well in advance and attendance by the Fellow is mandatory.

16 Application Reviews

The India Alliance application process relies on the co-operation of the scientific community in providing referees' comments on proposals, and the Fellow's success with this application is partly due to the goodwill of scientists in providing comments. As a holder of an India Alliance Fellowship, the Fellow is, therefore, expected to undertake review of research proposals submitted to the India Alliance upon request.

17 Contact

The India Alliance staff would be glad to meet with the Fellows at any time, either at their laboratory or at the India Alliance offices in Hyderabad or Delhi. These visits would be to ensure that a good working relationship is built between the India Alliance, Fellow and the Host Institution.

For further questions and clarifications regarding the Fellowship, please contact: grants@wellcomedbt.org.

Yours sincerely,



Dr Megha Saraswat
Programme Manager

cc Dr Nikhil Patkar

encl Award Conditions
Payment Details Form
Grant Start Certificate