

**GUIDELINES FOR THE IMPLEMENTATION
OF RESEARCH PROJECTS**

(II)

UNDER

**BIOTECHNOLOGY CAREER ADVANCEMENT AND RE-ORIENTATION (BioCARE)
PROGRAMME FOR WOMEN SCIENTISTS**

**GOVERNMENT OF INDIA
MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF BIOTECHNOLOGY
CGO COMPLEX, LODHI ROAD,
NEW DELHI-110003**

INTRODUCTION

This document provides brief financial guidelines for implementation of project proposals by unemployed/not in regular position women scientists under Biotechnology Career Advancement and Re-orientation (BioCARE) programme of the Department of Biotechnology (DBT), Ministry of Science & Technology.

These are general guidelines needed in an ideal situation. In addition to these, the implementing agency has to follow its own rules and regulations, where ever necessary for smooth implementation of project.

For any further clarification or further details, please approach the officer/official concerned..

The Department reserves the right to review and modify these guidelines.

On the behalf of Department of Biotechnology, this programme is being managed by the Processing and Management Unit (PMU) established at International Centre for Genetic Engineering and Biotechnology (ICGEB), New Delhi.

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GENERAL GUIDELINES AND INSTRUCTIONS DEALING WITH FINANCIAL COMPLIANCE & INTELLECTUAL PROPERTY RIGHT

1. Sanction Order:

- i) Once the project is technically approved, a formal sanction order will be issued as per the recommendations of the Expert Committee (EC). The total cost of the project is finalised based on the latest quotation(s) of equipment(s) approved under the project and other relevant documents related to consumables etc. submitted by the Investigator. The first sanction order provides the Breakup of funds allocated as per the recent guidelines of the Department.
- ii) Any correspondence regarding the project should invariably quote the Sanction Order No. and date and should be addressed to the BioCARE PMU at ICGEB.
- iii) Subsequent to the sanction order, funds will be released through Central Nodal Agency (CNA), through Zero Balance Subsidiary Account (ZBSA) to the host institute or as per latest guidelines issued by Ministry of Finance, Govt. of India. Therefore, compliance to the same by the Institutes is mandatory.

2. Principal Investigator & Scientist Mentor:

- i) The Principal Investigator (PI) will be primarily responsible for the implementation of the project. The project team consists of the PI and the Scientist Mentor as per the sanction order. It is necessary to ensure that the project is carried out by the project team in a cohesive manner.
- ii) Woman Scientist appointed under the project, for the duration of the project, is to be treated as temporary employee and will be governed by the administrative rules/ service conditions of the implementing Institute. No reference on these issues is made to this Department.
- iii) PI will be reporting to the Scientist Mentor.
- iv) PI has to follow the working hours of the host institute.
- v) PI will maintain logbooks/register for all chemicals, glasswares, equipments and travel details purchased or undertaken with the funds released by the Department.
- vi) Every progress report and final completion report has to be certified by the Project mentor and Head of the Institute.
- vii) The fellowship & research grant is scientist-specific and is non-transferable.

viii) The consolidated fellowship will be paid to the woman scientist for a maximum period of three years or as per duration of the respective project.

ix) Apart from the consolidated fellowship amount, no other allowances such as HRA, PF, LTA etc. will be permissible. No liability on any of these accounts will be borne by Department of Biotechnology or hosting Institute.

xi) The amount being provided as fellowship is taxable.

xi) If the progress of the project during the review is not found satisfactory, the Expert committee has the right to recommend modification or closure of the project. Further, if the Department finds sufficient reason for non-compliance or non-cooperation by any PI, the Department may initiate proceeding to bar/blacklist such PI from receiving any extramural funds from the Department/Govt. of India in future. The same rule will also be applicable to the Mentor.

3. The Implementing Institution:

i) Host Institute will maintain the attendance register of PI. This information will be made available to the PMU/Department as and when required.

ii) In case, the PI is shifting to another institution on new appointment, the project could be transferred to new institution with the mutual consent of both the Institutions and of this Department. Such requests for transfer of the project should be sent well in advance and should be accompanied with required documents as and when asked by the Department including a 'No Objection' certificate from both the Institutions and the Endorsement Certificate from the new Institution.

iii) In case the PI leaves the project due to unforeseen circumstances, the host institute through its nominated Nodal Officer has to return the unspent balance along with the UC & SE and details of equipment(s) procured under the project.

iv) The PI as well as the Mentor/hosting institution has the responsibility of informing this Department about any change in the status of the Scientist Mentor including relieving them on short term deputation for a continuous period of three months or more.

v) The hosting institution has an important role to play and in consultation with this Department take steps to ensure successful completion of the project, before relieving the PI/Scientist Mentor.

vi) The hosting Institute may provide full infrastructural facilities such as accommodation, water, electricity and communication facilities etc., if available, for smooth implementation of the project.

vii) The mentor would be responsible for timely submission of the documents, progress reports, project completion reports and financial documents in timely manner. However, each Institute should have one Nodal officer/point (a permanent employee) of contact assigned for submission of all the documents at the time of application and afterwards. In case of submission of an application, all the documents and communications should be submitted through the Nodal officer of the Institute. In case of grant of a project also, all the documents and communications should be made by the assigned Nodal officer of the Institute. No Direct communication with the applicant or any other employee from the Institute will be entertained. NODAL officer will support the PI/mentor for documentation and other activities.

viii) In case of Midterm termination of the project, both Mentor and the Head of the Institution will be responsible for submission of necessary documents through the nominated Nodal Officer and settlement of project including refund of unspent money through the Nodal officer.

4. Leave:

i) Having accepted the responsibility for the implementation of the project, the PI should be committed to implement the project over its duration and should have no plans to go on long leave.

ii) During the fellowship duration, the candidate should not be away from the project for a period of more than 15 days in continuation and 30 days total during a year without the prior consent of Department of Biotechnology and the hosting Institution.

iii) All kinds of leaves e.g. casual leave, maternity leave etc. will be entertained as per rules of implementing institutes as per norms of Govt. of India.

iv) The project stands terminated in the absence of the PI for a continuous period of two (02) months without intimation and proper justification to this PMU/Department and to the hosting Institute.

5. Release of grants in yearly instalment and financial management:

i) The grants for the project are released on the basis of financial year requirements taking note of the technical progress and expenditure incurred. The sanction order indicates the budgetary allocation for the duration of the project

ii) The first instalment of grant is released along with the sanction order and first release order as per the latest GoI guidelines. It consists of the grant for the first financial year of the project.

iii) The Equipment sanctioned on the project should be procured at the earliest to avoid any cost escalation. The PI and the implementing Institute should complete all formalities in advance for placing the order.

iv) The subsequent instalment of grant would be released as per GoI guidelines on the basis of expenditure incurred in the previous financial year and expected expenditure in that financial year.

v) However, any request for release of the next instalment should be accompanied by the following documents:

- a) Utilisation Certificate and Statement of Expenditure for the previous financial year (in original or copy if sent earlier);
- b) Latest authenticated Statement of Expenditure , for expenditure since 1st April of that financial year till the previous month; and
- c) Technical Annual Progress Report, if not sent earlier.

vi) The Statement of Expenditure and the Utilisation Certificates are financial year wise and are to be submitted within a period of two months from the 31st of March of that year (i.e. if date of start of the project is 19.02.2023, then the first statement of account and utilisation certificate will be for the period 19.02.2023 to 31.03.2023, the next statement will be for the period 01.04.2023 to 31.03.2024 and so on).

vii) The implementing Institution will maintain a separate audited account book for this project.

viii) The Institute will not entrust the implementation of the work for which the grant is being sanctioned to another Institution nor will it divert the grant to other institute as assistance. In case the Institute is not able to implement the project, it should refund to this Department the entire grant or the balance grant at the earliest.

ix) For permanent, semi-permanent or infrastructural assets acquired solely from the project grants, an audited record in the form of a register in the prescribed format shall be maintained by the Institute. The term "Assets" include (a) the immovable property acquired out of the grant; and (b) movable property of capital nature where the value exceeds Rs 50,000/-. The Institute is required to send to PMU/Department a list of assets acquired from the grant.

x) The grant shall not be utilised for construction of any building unless specific provision is made for this purpose in the sanction order.

xi) All the assets acquired from the grant will be the property of the Government of India and should not be disposed off or encumbered or utilised for purpose other than those for which the grant had been sanctioned, without the prior sanction of this Department.

xii) After completion/termination of the project, the Government of India will be free to sell or otherwise dispose off the assets which are the property of the Government. The Institute shall render to the Government necessary facilities for arranging the sale of these assets. The Government of India also has the discretion to gift the assets to the Institute or transfer them to any other Institute if it is considered appropriate and justified.

xiii) This Department reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilised or appropriate progress is not being made.

xiv) The Comptroller & Auditor General of India, at his discretion, shall have the right of access to the books and accounts of the Institute maintained in respect of the grant received from the Government of India.

6. Progress Evaluation and Monitoring:

i) The PI through the implementing Institute will furnish to this PMU/Department, two copies of the Annual Technical Progress report of the work carried on the project on an annual basis. (i.e. if the date of start of a project is 01.10.2023 the first Annual Technical Progress report shall be for the period 01.10.2023 to 30.09.2024, the next will be from 01.10.2024 to 30.09.2025 and so on).

ii) In addition, this Department may designate a Scientist/ Specialist or an Expert Panel member to visit the Institute periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realisation of the objectives of the project. The implementing Institute will provide all facilities to the visiting scientist/specialist or the Expert Panel by way of accommodation etc. at the time of their visit.

iii) Subsequent releases of the grant would be based on the Annual/midterm review and monitoring committees' recommendations of the projects.

iv) On completion of the project, the PI through the Institute should send the following documents to this Department to enable it to settle the account:

- a) Copies of the Project Completion Report (PCR) in the prescribed format;
- b) Consolidated audited Statement of Expenditure and Utilisation Certificates; and audited documents of the financial years if these were not audited earlier.
- c) List of assets/ equipment in the prescribed format; and
- d) Receipt of unspent funds deposited to Bharatkosh.
- e) other documents to be conveyed as per the rules at that time.

8. Guidelines for publication of results and safeguard of Intellectual Property Rights:

- i) Investigators wishing to publish technical/ scientific papers based on the research work done under the project, should acknowledge the assistance received from this Department with grant number mentioned.
- ii) The Investigator(s) should not enter into collaboration with a foreign party (individual/industry) without prior approval of this Department.
- iii) Investigators are also requested to publish research papers emerging out of the project work in peer reviewed Journals having high impact factor.
- iv) 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.
- v) In the emerging scenario at the National and International level, the Intellectual Property Rights (IPR) has assumed greater significance. Following are the guidelines which the PI and the implementing Institutions must follow in regard to IPR:
 - a) PI/Institutions are required to seek protection of Intellectual Property Rights to the results of research on R&D projects. IPR include patents, registered designs, copyrights etc.
 - b) The PI/Institutions can approach the Patent Facilitation Cell (PFC) in the Department through the BioCARE Programme Officer to assist them for patent search, obtaining a list of patent attorneys, filing of patent application(s) in India and abroad.

The IPR will be governed by the rules and regulations of the Department of Biotechnology and Govt. of India.