



भारतीय आयुर्विज्ञान अनुसंधान परिषद  
**INDIAN COUNCIL OF MEDICAL RESEARCH**

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No.16/1072008-Admn.II

Dated : 10.04.2017

To

The Directors/Directors-in-Charge  
of all permanent Institutes/Centers of ICMR.

Sub : Guidelines for Operationalization and Conduct of Pre-Project Activities  
including Co-ordinating Unit for Grantees of ICMR's Extramural/Intramural  
Research Projects—regarding.

Sir/Madam,

I am directed to send herewith a copy of the Guidelines for  
Operationalization and Conduct of Pre-Project Activities including Co-ordinating  
Unit for Grantees of ICMR's Extramural/Intramural Research Projects for  
information and necessary action.

Yours faithfully,

(Bharat Bhushan)  
Admn. Officer  
For Director General

Encl : As above.

Copy to :

1. PS to DG, ICMR
2. PS to Addl. DG, ICMR
3. PS to Sr.DDG(A)/Sr.FA
4. PS to all Technical Divisional Heads
5. ADG(A)/Head of Office/ADG(JP)
6. Admn.I
7. Sr.Admn. Officer (Admn.I)
8. Personal Section
9. Audit Section
10. DDO, ICMR
11. Sr. Accounts Officer
12. All Accounts Officers
13. Finance Section
14. BIC—To place on icmr website

# INDIAN COUNCIL OF MEDICAL RESEARCH

## Division of Human Resource Planning and Development (HRD)

### Guidelines for Operationalization and Conduct of Pre- Project Activities including Co-ordinating Unit for Grantees of ICMR's Extramural / Intramural Research Projects

The Indian Council of Medical Research provides financial assistance to promote health research in the country. The assistance is provided by way of grants to scientists/professionals who have a regular employment in the universities, medical colleges, postgraduate institutions, recognized research and development laboratories and NGOs (documentary evidence of the recognition should be enclosed with the application).

#### 1. *Staff*

For staff to be recruited in the projects, all the guidelines issued by ICMR (Admn.II) from time to time will be followed (e.g. Order No. 16/107/2008- Admn. II dated 24.08.2016, 4.10.2016 and 7.11.2016). All the subsequent orders will be automatically applicable.

#### 2. **Sanction of Pre- Projects Activities including co-coordinating unit**

Once a project is approved for funding, the concerned Technical Division would inform the Principal Investigator (PI) that the project has been technically approved for funding and communicate the budget including the details of the staff, equipment, contingencies, travel grants *etc.*

#### 3. **Budget**

The budget would be sanctioned under broad sub-heads as under:

- i. Staff -Pay and allowance of the staff
- ii. Contingency -Recurring  
-Non-recurring
- iii. Travel (if approved)
- iv. Overhead charges

#### 4. *Recruitments of staff*

##### *For pre-project activity*

- a. Staff recruited will be on contractual basis only
- b. Peon and other class IV will not be recruited under this scheme.
- c. Staff of this scheme should be minimum and justifiable because no lab work is involved

##### *For co-coordinating unit (multi-centric project)*

- d. Staff recruited will be on contractual basis only
- e. Peon and other class IV will not be recruited under this scheme.
- f. Staff can be recruited before the 6 month of the start of the project ( it will be treated as pre-project activity)
- g. Since, it takes time to close the project; therefore, the co-coordinating unit can go up to maximum of one more year after the completion of the project or the final report is submitted whichever is earlier
- h. Co-ordinated project can be at ICMR HQ's or at Institute/ college etc. as approved by DG,ICMR
- i. All the requested staff, a detailed justification is needed
- j. The budget of the co-ordinating unit should not be more than 10% of the total budget of the study

#### **4. Duration of Scheme (pre-project/co-ordinate project)**

Since it is a time bound activity, therefore, duration should not be less than one year and for coordinated project it will not be more than 5 years as per ICMR rules

#### **5. After sanction of project**

The PI is expected to inform the concerned Technical Division about the following:

- a. Formal acceptance of the budget sanctioned.
- b. The name of the statutory auditor.
- c. An undertaking that the staff employed for the project would be the responsibility of the host institution and would have no claim to a permanent employment with the ICMR. The project staff would be governed by administrative and service rules of host Institutes.

On receipt of the above information from the PI, the Division will process the release of grant.

#### **6. Release of grants**

The funds are released in 6/12 monthly installments. The first installment is released along with the sanction letter. It would include the entire grant for purchase of equipment and recurring grant for the period of six months. Next installment would be for the next 6/12 months or at the end of the project. Steps to procure the approved equipment should be initiated immediately (to avoid escalation of cost) following the prescribed norms of the host institution.

#### **7. Re-appropriation of funds**

Expenditure should on no account exceed the budget sanctioned for the project. Expenditure incurred over and above the sanctioned amounts against one or more sub-heads of expenditure such as pay & allowances, contingencies *etc.* shall be met without references to ICMR

#### **8. Down gradation/Up-gradation of approved posts**

For whatever reasons, if an investigator would like to downgrade or upgrade a post or convert it to an equivalent post with another designation, the PI will have to send a request to ICMR with adequate justification. The justification will be carefully examined by the Technical Division and if approved, Heads of Divisions will communicate the same to the PI. However, the PIs will have to manage such re-designations within the budget and only after appropriate approvals.

#### **9. Date of start**

The sanction letter would specify the date of start. It can only be a prospective date. If, however, no date is mentioned in the sanction letter, the project will be considered as initiated and operative from the day the grant is received by the investigator. This date would have to be communicated by the host Institute to ICMR. It will in no case be later than one month after the receipt of the draft by the Institute. The date of start of a project can be changed following a request from the PI provided no expenditure has been incurred from the grant released by the Council to the date of request.

*This can be done at the Head's level, if he/she is satisfied and the request is within the approved Budget already sanctioned.*

### **11. Utilization of the travel grant**

The grant can be utilized for travel of the PI, co-investigator or of research fellow/associates working on the scheme for:

- a. Taking up field work/travel connected with the research work with sanction of TA/DA as per entitlement
- b. Visiting the ICMR Hqrs office for meetings related to the project
- c. Attending a training course relevant to the project (mainly for project staff).
- d. Travel grant cannot be used for foreign travel or related expenses for any reason.

### **12. Contingency grant:**

For expenditure under contingency grant exceeding Rs. 25000/- per annum, detailed breakdown should be given.

All expenditure and non-expendable articles acquired for work of the project should be purchased in accordance with the procedure in vogue in the host institutions. For permanent and semi-permanent assets acquired solely or mainly out of the grant, a separate audited record in the form of register shall be maintained by the Institute. The term "assets" means movable property where the value exceed Rs.1000. Separate assets registers for items costing more than Rs. 20,000/- and less than Rs. 20,000- may be maintained.

### **13. Annual Progress Report**

- a. Annual Report is to be submitted by the PI in the prescribed format (*format is available at ICMR web*). The Annual Progress Report should be submitted about three months prior to the completion of the financial year end to enable its evaluation and decisions regarding subsequent grant release. The subsequent Annual Reports will have to be submitted till the end of project period.
- b. The progress of the project would be evaluated by ICMR either by peer review or by an Expert Committee.
- c. The scheme will not be renewed for the next financial year unless the Council receives the progress report in time.
- d. A delay in receipt of the report in time for consideration by the Committee may lead to termination of the project.

- e. The PI may be asked to present the progress at the meeting of the review/expert committee, if considered necessary.
- f. The suggestion and views of the committee and mid-course correction, if any, would be conveyed to the PI from time to time for compliance and effective conduct of the project.

#### **14. Annual utilization certificate**

- a. Each year, a simple statement of accounts giving the funds received and expenditure incurred as of end of March every year needs to be submitted for release of the first and subsequent installments for the duration of the project.
- b. Unspent balance would be adjusted in the first installment for the next year.
- c. An audited statement would be essential for release of second installment and subsequent installments of the annual grant from second onwards.

#### **15. Final Project Completion Report**

- a. At the completion of the project, the final report in the prescribed format will have to be submitted.
- b. The report should be submitted not later than three months of the date of completion of the project.
- c. 10% grant would be withheld for release until the receipt of final project report.

#### **16. Final settlement of the Accounts**

The final settlement of the Accounts will be done at ICMR HQs only after the receipt of the following:

- a. Final audited statement of expenditure.
- b. Final utilization certificate.
- c. List of equipment procured from the project mentioning the cost, date of purchase and suggestions for disposal of all items purchased under equipment.
- d. The unspent grant paid by ICMR shall be refunded by the institution as and when the investigator discontinues a scheme midway or does not follow the detailed technical programme laid down and approved.

*This decision can be taken by Heads of Division after consulting the expert committee and approval by Addl. DG/DG, ICMR.*

#### **17. Overhead expenses**

- a. Will be restricted to 5% of the total cost of the project.
- b. Overhead expenditure will not be granted on equipment and travel allowances.

## **18. Auditors**

The Council would normally accept reports audited by statutory auditors. The Council may also accept statement of accounts audited by Chartered Accountants approved by or registered with CAG and/ or Ministry of Health & Family Welfare.

## **19. Duration of schemes**

Requests for project extension beyond approved duration would not be entertained routinely. However, if interesting/important leads are likely to emerge that need to be followed up, then a valid justification for an extension should be submitted by the PI three months before the expected completion of the project clearly mentioning the period of extension with justification.

*It can be extended after approval of Addl. DG/DG, ICMR. It will not be necessary to send the same to finance section if extension request is within the approved budget. A proper justification is needed and head of the concerned Division will have to prior-approve the request before the final decision by Addl DG/DG, ICMR.*

## **20. Change of PI**

- a. PIs are encouraged to have a co-investigator in the project.
- b. In case the PI leaves the project an eligible co-investigator could be considered as the PI subject to recommendation of the PI, the Head of the Institution and the approval of ICMR. Such a request should be sent well in advance.
- c. In case the PI is shifting to any other institution, the co-investigator could be made PI or the project could be transferred to the new Institutions with prior approval from ICMR.
- d. The host institution has an important role to play in the above. The institute/Principal Investigator will have to inform ICMR of any changes and in consultation with ICMR takes steps to ensure successful continuation completion of the project before relieving the principal investigator.

*Approval of Addl. DG/DG, ICMR for this change will be required.*

## **21. Intellectual Property Rights**

All new intellectual property viz. patents, copyright, design, etc. generated as part of the research supported by the ICMR would belong to the Council. All raw data (in all forms) should be made available/accessible to ICMR at the completion of the project along with submission of the final report.

## **22. Publication of Result/Presentation of Papers**

The research papers and publications based on the result of the research project should clearly acknowledge the assistance by the ICMR along with IRIS ID number. Copies/ reprints of the papers published should be forwarded to ICMR as and when published.

## FORMAT FOR FINAL REPORT

1. Title of the Project:
2. Unique ID of the Project (provided by ICMR)
3. Principal Investigator and Co-Investigators
4. Implementing Institution and other collaborating Institutions
5. Date of commencement
6. Duration
7. Date of completion
8. Objectives as approved
9. Deviation made from original objectives if any, while implementing the project and reasons thereof.
10. Field/ Experimental work giving full details of summary of methods adopted.
11. Supported by necessary tables, charts, diagrams and photographs.
12. Detailed analysis of results.
13. Contributions made towards increasing the state of knowledge in the subject.
14. Conclusions summarizing the achievements and indication of scope for future work.
15. Science and Technology benefits accrued:
  - I. List of research publications with complete details:  
Authors, Title of paper, Name of Journal, Vol., page, year
  - II. Manpower trained in the project:
    - a. Research Scientists or Research Fellows
    - b. No. of Ph.Ds produced
    - c. Other Technical Personnel trained
  - III. Patents taken, if any:
  - IV. Products developed, if any.
16. Abstract (300 words for possible publication in *ICMR Bulletin*).
17. Procurement/usage of Equipment

a.

S.No	Name of Equipment	Make/ Model	Cost FE/ ₹	Date of Installation	Utilization rate %	Remarks regarding maintenance/breakdown

- b. Suggestions for disposal of equipment.

Name and signature with date

1. \_\_\_\_\_  
(Principal Investigator)

2. \_\_\_\_\_  
(Co-Investigator)