

**Grant-in-aid Scheme for
'Inter -Sectoral Convergence & Coordination for Promotion
And Guidance on Health Research'**

TERMS & CONDITIONS OF FUNDING OF RESEARCH STUDIES/PROJECTS

I PROCEDURE FOR RECEIPT AND SANCTIONING OF PROPOSALS:

- i. Proposals received in response to specific advertisement as also open ended applications will be evaluated by an Expert Committee constituted by the Secretary, DHR consisting of eminent scientists and subject specialists to assess the merit of the proposal.
- ii. The funds will be released to the Head of the institute/organization and will be kept in a separate bank account. The funds will be released in installments biannually. The first installment will be sanctioned along with the approval letter. It would include the entire grant for purchase of equipment, and recurring grant for six months.
- iii. The 2nd installment of the year would be released based on the submission of the Utilization Certificate (UC), along with the item-wise statement of expenditure, for atleast 70% of the previously released grant, duly certified by the designated Accounts Officer of the Host Institute and the Principle Investigator.
- iv. Steps to procure the approved equipment should be initiated immediately (to avoid escalation of cost) following the prescribed norms of the host institution.
- v. Equipment procured through the DHR grant should bear a label "DHR funded". On completion of the study a list of all equipments procured from the project funds along with their cost, date of purchase, and suggestions for disposal should be sent to the DHR for decision.
- vi. Wherever applicable, an appropriate MOU with the institute/NGO/Applicant will be signed to ensure that the interest of the DHR and public interest is protected.
- vii. Once a project is approved for funding, DHR/ICMR would inform the Principal Investigator (PI) the decision that the project has been technically approved for funding and communicate the budget including the details of the staff, equipment(s), contingencies, travel etc.
- viii. The PI would inform the DHR/ICMR about the following:
 - a. His/Her acceptance of the budget and other terms and conditions.
 - b. For all equipment approved in the project, the PI is required to give a certificate from the Head of the Institute to the effect that equipment is not available/accessible/cannot be spared for this

project work.

- c. The name of the statutory auditor of the Medical College/Institute.
 - d. An undertaking that the staff engaged for the project would be the responsibility of the host Institution and would have no claim to a permanent employment with the DHR/ICMR. They are not to be treated as employees of the DHR/ICMR as they will be engaged only on contract basis. They would be subject to administrative control and other rules & regulations as applicable to them, of the Institute where the project is based.
- ix. The budget for each project will be available under the following heads:

i.	Staff (Manpower)
iii	Equipment
iv.	Consumables
v.	Travel
vi.	Contingencies/Miscellaneous

II. DATE OF START

9.1 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 would be deemed to have become operative on the day the grant is received by the Investigator. This date would have to be communicated by the host Institute to the DHR/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 on the request of the PI provided no expenditure has been incurred from the grant released by the Council.

III. STAFF COMPONENT FOR THE PROJECTS-

- 10.1 The following categories of staff would be eligible to be engaged in the projects under the scheme on fixed consolidated remuneration and contractual basis:
- i. Research Scientists
 - ii. Research Associates
 - iii. Sr. Research Fellows
 - iv. Jr. Research Fellows
 - v. Technical and Field staff
- 10.2 The rates of remuneration for the aforesaid staff would be reckoned with reference to the rates as applicable at the ICMR/DST for project staff.
- 10.3 Staff would be engaged initially for a period of one year and extendable till the duration of the project. The staff engaged in the project will not

have any claim, whatsoever, for continuation of services in DHR/ICMR after completion/termination of the project.

104 Only those candidates can be engaged as Junior Research Fellows who have cleared the ICMR-PGI, UGC-CSIR, DBT National Eligibility Test, or equivalent.

105 The progress of JRF and SRF working on a project will be assessed every year by a committee consisting of PI, Head of Department (where PI is HOD, the next senior of Department/Dean will be a member) and an external member who is an expert in the relevant field - not less than an Associate Professor/Professor.

IV. UP-GRADATION/DOWN-GRADATION OF APPROVED STAFF

11.1 No alteration in the staff approved can be made by the institute/research Organisation without the permission of DHR/ICMR.

V. UTILIZATION OF TRAVEL GRANT

12.1 The grant can be utilized for travel within the country by the PI, co-investigator or of Research staff working on the scheme:

- a. Attending seminars/symposia/conferences within the country provided the PI himself or the project staff is presenting a research paper (based on the project work) which has been accepted. Copy of the acceptance letter should be sent to the ICMR.
- b. Taking up field work/travel connected with the research work (TA/DA would be as per the entitlement) including procurement of chemicals, equipments etc.
- c. Visiting the DHR/ICMR office for meetings related to the project
- d. Attending a training course related to the project, mainly for project staff
- e. The travel grant cannot be used for foreign travel or any other expenses for visits abroad

VI. UTILIZATION OF CONTINGENT GRANT

13.1 This is meant for recurring as well as non-recurring expenditure. The contingent grant can be utilized for purposes like, but not limited to:

- a. Acquisition of books and documents of relevance to the research topic in case these are not available in the library, these would become the property of the Institution library and after purchase and accession may be issued to the Department/ Scientist till they are needed.
- b. Charges for specialized investigations for which facilities do not exist

in the host institute

- c. Publication charges/ reprints/ off-prints of research papers published as an outcome of the research
- d. Data entry charges
- e. Printing of questionnaire
- f. Computer utilities, charges for analysis of data (computer charges)
- g. Typing of research reports including preparation of the final report
- h. POL
- i. Communication charges
- j. The grant cannot be used for purchase of furniture items/office equipments such as telephone, fax machine, computers etc.

13.1 For contingency grant exceeding Rs.25,000/- per annum detailed breakup should be given.

VII EQUIPMENT

14.1 Provision for equipment(s) for conduct of the study shall be provided based on the recommendations/approval of the project by the approval by the appropriate Expert Committees. This would vary on the nature, scope and need of the project.

- All equipments should be purchased according to the rules and procedures of the Institutions where the project is to be carried out
- Equipment procured through the grant should bear a label "DHR/MOHFW funded"
- On completion of the study a list of all equipments procured from the project funds along with their cost, date of purchase, and suggestions for disposal should be sent to the Department.
- Equipments costing less than Rs 20,000 are generally allowed to be retained by the Institute, while for those costing more than Rs 20,000 the Department would take decision on case to case basis.

14.2 All expendable 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 record in the form of register in prescribed Performa (Asset Register) shall be maintained by the Institute. The term "assets" means moveable property where the value exceeds Rs.1000/-. Separate assets registers for items costing more than Rs.20,000/- and less than Rs.20,000 may be maintained.

VIII. OVERHEAD EXPENSES

15.1 Overhead expenses, if any, may be met from miscellaneous expenses as per ICMR norms.

IX. RE-APPROPRIATION OF FUNDS

16.1 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 not be met without the approval of the DHR, by re-appropriation of savings under remaining sub-heads (except under sub-head 'equipment') by re-appropriation of money during the financial year, provided it is within over all sanctioned ceiling of the year. No expenditure shall be incurred on items not sanctioned under the scheme. Savings should also not be re-appropriated for meeting or incurring expenditure on staff that has not been sanctioned by the Department.

X. EXTENSION OF THE PROJECT

17.1 Extension beyond the approved duration would not be entertained. If interesting/important leads emerge that need to be followed-up, a separate proposal may be submitted. Only in exceptional cases, where a valid justification exists, and recommended by the technical Evaluation Committee and Project Approval Committee an extension can be considered to complete the project.

XI. Change of Principal Investigator (PI)

- PIs are encouraged to have a co-investigator in the project.
- If for any reason 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 DHR Such a request should be sent well in advance.
- In case the PI is shifting to any other Institution, the co-investigator could be made the new PI, or the project could be transferred to the new Institution with the mutual agreement of both Institutions and the approval of the DHR
- The host Institution has an important role to play in the above contract. The Institute/Principal Investigator will have to inform the DHR of any changes, and in consultation with DHR take steps to ensure successful completion of the project before relieving the Principal Investigator.

XII. NUMBER OF PROJECTS WITH THE PI

19.1 Under normal conditions, a PI should not be implementing more than three research projects at a given point in time. While submitting an application for a research project, the PI should give in detail all the research projects (completed, on-going). Fresh research proposals can be considered

only when the on-going research proposals are about to conclude.

XIII. ANNUAL PROGRESS REPORT

- a) The Host Institute would be required to submit an annual progress report and also give audited statement of expenditure by the Auditor of the research Organization/Institute etc. However, the first progress report should be submitted at least three months prior to the completion of the annual report so as to enable the evaluation and provide the grants within the completion of one year from the starting date. The subsequent annual report will be for the period of one year.
- b) The financial and physical progress of the project would be evaluated by the DHR with technical support from ICMR.
- c) The progress report and expenditure statement in respect of the project shall be reviewed at the time of release of subsequent grants.
- d) The Principal Investigator (PI) may be asked to present the progress at the meeting of the Committee, if considered necessary. The consolidated report of the work done to be provided to Department for evaluation and monitoring of progress and statement of expenditure.
- e) The suggestion and views of the Committee and mid-course correction, if any, would be conveyed to the PI from time to time for effective conduct of the project. This would be binding on the PI.

XIV. FINAL PROJECT COMPLETION REPORT (PCR)

21.1 At the completion of the project, the final report should be sent in the prescribed format.

21.2 The report should be submitted not later than three months from the date of completion of the project.

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21.4 The review of any other new project sent by the same applicant for financial support from the Department would depend upon the previous track record in terms of compliance of submission of requisite statement of Accounts and annual / final reports in time

21.5 Ten copies of final report have to be submitted by the applicant along with the final audited statement of Accounts.

21.6 Action taken on Project Completion Report (PCR) - The final report is reviewed by the PRC. If the report is found satisfactory, an abstract on the work done is published in the ICMR Bulletin. System of keeping PCR: A few

copies are retained by the DHR and soft copies would be retained for eventual uploading on the DHR website.

XV. AUDIT

22.1 The department would normally accept audited report from auditors as applicable to the concerned institution. Statement of accounts audited by Chartered Accountants approved by or registered with the CAG and /or Ministry of Health & Family Welfare would also be accepted. The necessary registration number should be provided for record.

XVI. ANNUAL UTILIZATION CERTIFICATE

- i. The release of grants-in-aid and the terms and conditions thereof including submission of utilization certificates shall be subject to the provisions GFRs.
- ii. Each year a simple statement of accounts giving the funds received and expenditure incurred by 31st March needs to be submitted for release of the first installment for the next year duly signed by the Accounts Officer of the Institute.
- iii. Unspent balance would be adjusted in the first installment for the next year
- iv. An audited statement would be essential for release of the second installment of the annual grant from second year onwards.

XVII. FINAL SETTLEMENT OF THE ACCOUNTS

24.1 The final settlement of the Accounts will be done only after the receipt of the following:

- a. Final audited statement of expenditure
- b. Final utilization certificate
- c. List of equipments procured from the project along with their cost, date of purchase, and suggestions for disposal

24.2 The grant paid by the DHR shall be refunded by the institution as and when the investigator discontinues a scheme midway or does not follow the detailed technical programme as laid down and approved by the DHR.

All raw data (in all forms) should be made available/accessible to DHR if needed.

XVIII. PUBLICATION OF RESULTS/PRESENTATION OF PAPERS:

25.1 The research papers and publications based on the results of the research project should acknowledge assistance by the DHR. Copies/reprints of papers published should be sent along with the progress/final report.

XIX. INTELLECTUAL PROPERTY RIGHTS

26.1 All new intellectual property viz., patents, designs etc. generated as part of the research supported by the DHR under the Scheme would belong to the department *and* other partners as per the Indian Council of Medical Research IPR policy, till any new policy is formulated by Department of Health Research.

XX. CONFLICT OF INTEREST

27.1 In order to maintain the objectivity in the conduct and reporting of research, it is imperative that the investigators should not have any financial or other interests that undermine scientific integrity while recording and reporting their data. Any research or other links of the investigators with industry are discouraged as such a link would compromise or likely to compromise unbiased reporting of research data. In addition, such a financial conflict of interest could lead to loss of public faith on the credibility of data being reported, especially in the light of recent reports of financial conflict of interest of investigators in drug and other clinical trials. All investigators, desirous of DHR support should declare financial conflict of interest, if any, before submitting the project for support. They should also ensure that during the conduct of the project, they would also observe the same code of conduct. If the Department comes to know of any unethical conduct on the part of investigator including improper/incomplete declaration, the project is liable to be terminated immediately.

