



## **KERALA BIOTECHNOLOGY COMMISSION, KSCSTE INDUSTRY LINKED BIOTECHNOLOGY RESEARCH SCHEME (IBRS)**

### **Guidelines for implementing research projects**

#### **1. Introduction**

Kerala Biotechnology Commission under the Kerala State Council for Science, Technology and Environment provides project mode support to facilitate Academia-Industry interaction. The project proposals should be result-oriented with an eye on commercializing the product or process or service that would result from it.

The scheme is to provide financial assistance in the form of grants to Scientists and Technologists of R&D Centres/academic Institutions/Organizations actively involved in biotechnological research with emphasis on areas relating to marine, agriculture, health and environment. The proposals need to be submitted with active collaboration with an industry in which the industrial partner is willing to share 25% of the KBC allocated funds additionally.

#### **2. Eligibility Criteria**

The applicants should be the Scientists and Technologists of R&D Centres / Academic Institutions / Organizations actively involved in biotechnological research with emphasis on areas relating to marine, agriculture, health and environment. The proposals need to be submitted in active collaboration with an industry in which the industrial partner is willing to share 25% of the KBC allocated funds additionally.

#### **3. Funding Pattern**

The Maximum grant for a project shall be Rs. 40 lakhs (Rupees Forty lakhs only) for three years excluding overhead cost and industry share (25%). In addition, the host institution will be eligible for an overhead @ 10% of total expenditure subject to a ceiling of Rs. 2 lakh. For the industrial collaborator who is willing to share 25% funds additionally, a clear statement needs to be submitted along with endorsement from the Head of Organization and should clearly mention the extent of financial support and break-up of the budget.

Industry share of 10% of the total grant shall be paid to the Council through DD along with the terms and conditions which shall be added to the first instalment to the PI, while the remaining 15% shall be paid in 2 equal instalments to KBC, also for release along with grant in aid for the 2<sup>nd</sup> and 3<sup>rd</sup> years.

#### **4. Submission of Projects**

- i. The project proposal should be submitted online when notified.
- ii. Applications must have the endorsement from the Head of Institution (HoI) and it should be forwarded by the HoI.
- iii. After receiving the project proposal, it will be acknowledged with a reference number and other instructions, if any.
- iv. If the project proposal is as per the format and norms of KSCSTE it will be sent to five referees for evaluation. After getting the comments from referees, the project proposals will be placed in the expert committee for final decision. (The PI may be called for presentation, if at least three of the five referees are positive. In all the cases, the decision shall be intimated to the PI.)
- v. The expert committee assesses the content and objectives of the proposed project and recommends the nature and quantum of assistance to be provided to each project. The decision of KSCSTE based on the recommendations of the expert committee on such proposals shall be final.
- vi. Budget Heads:

No.	Item
1.	Manpower Project fellow @ Rs. 22, 000/- per month or a Technical Assistant @ Rs. 19,000/- per month.
2.	Equipment*
3.	Consumables
4.	Travel expenses
5.	Contingencies
6.	Institutional Overhead (10% of total project cost subject to a ceiling of Rs. 2 lakhs

\* PI should submit budgetary quotation for the equipment to be purchased under the project. Service tax, Annual Maintenance Contract (AMC) etc. should be included in the budget during project submission and the expenditure has to be met from the project head itself.

## **5. Sanction order**

- i). Once the project is approved, a formal sanction order is issued to the P.I within one month. The total cost of the project is finalized based on the latest quotation(s) of equipment(s) approved under the project and other relevant documents related to manpower, contingencies etc. submitted by the Investigator. The first sanction order provides the detailed breakup of funds allocated under the different heads like Equipment, Manpower, Travel, Consumables, Contingencies etc.
- ii). For the industrial collaborator who is willing to share atleast 25% of the expenses, a clear statement to this effect needs to be submitted along with endorsement from the Head of Organization. The statement shall clearly mention the extend of financial support and breaking of budget.
- iii). Copies of the sanction order with the terms and conditions annexed to it are sent to the Principal Investigator (PI) and the Head of the Institute (Registrar/ Director/Controller etc.). The terms and conditions has to be sent back to KBC, KSCSTE duly signed by P.I and countersigned by Head of the Institution within 15 days of its receipt.
- iv). Any correspondence with the KBC, KSCSTE regarding the project should invariably quote the reference number and date and should be addressed to the concerned official.
- v). After issue of the sanction order, administration will take steps to effect the payment online, which will be intimated to the PI and all concerned.
- vi). All formats are available in our website for reference. Documents in other formats will not be accepted.

## **6. Date of commencement of project & its duration**

- i) The duration of the project is normally for 3 years and this is specified in the first sanction order.
- ii) The project becomes operative with effect from the date of sanction order or receipt of funds by the implementing Institution. This date should be intimated by the Institution authorities/ Principal

Investigator to the Council within one month. **It will, in no case be later than one month after the receipt of the funds by the Institute.**

## **7. Principal Investigator & Co-Investigator (s) and the Implementing Institution**

- i). The Principal Investigator (PI) has the primary responsibility in implementing the project. A minimum of one co-investigator is essential for implementing the project. The project team consists of the PI, Co-Investigator(s) and the project staff appointed as per the sanction order. It is necessary to ensure that the project is carried out by the project team in a cohesive manner. Periodic meetings of the team are essential for this purpose.
- ii). In case of PIs who would be superannuating during the duration of the project, association of an "in service" Co-Investigator should be ensured. In such cases, the Institute authorities should inform to the Council, well in advance, about their "no objection" for providing the infrastructural facilities to the new investigator for implementation of the project after his/her superannuation.
- iii). Having accepted the responsibility for the implementation of the project, the PI should be committed to implement the project and should have no plans to go on long leave during the project period.
- iv). In case, the PI is shifting to another institution on new appointment/ transfer/ long term deputation, the project could be transferred to that institution with the mutual consent of both the institutions and of KBC, KSCSTE. Such requests for transfer of the project should be sent well in advance and should be accompanied with 'No Objection' certificates from both the institutions and the Endorsement Certificate from the new Institution.
- v). In case the PI leaves the project due to unforeseen circumstances, the Co-Investigator could be considered as the PI subject to the approval of both PI, Co-PI, Head of the Institute and KSCSTE. Such a request should be sent at least 4-6 months in advance along with a detailed bio-data of the Co-Investigator.
- vi). The PI as well as the implementing institution has the responsibility of informing Kerala Biotechnology Commission, KSCSTE about any change in the status of the PI/Co- Investigator

including relieving them on short term deputation for a continuous period of 3 months or more.

- vii). The implementing institution has an important role to play and in consultation with KBC, KSCSTE should take steps to ensure successful completion of the project, before relieving the PI.
- viii). The implementing Institute should provide full infrastructural facilities such as accommodation, water, electricity, library, communication facilities etc. for smooth implementation of the project.
- ix). Normally only one project will be sanctioned to a Scientist at a time by the Kerala Biotechnology Commission, KSCSTE.

## **8. Project Staff**

- i). All the personnel including Research personnel appointed under the project, for the full/part duration of the project, are to be treated as temporary employees and will be governed by the administrative rules/ service conditions of the implementing Institute. No reference on these issues should be made to KBC, KSCSTE. The KBC will have no liability, whatsoever, for the project staff after completion of the project duration.
- ii). Scale and emoluments for the posts not covered under this order are governed by norms prevalent in the implementing institution or as may be decided by KBC.

## **9. Release of grants in yearly installment and financial management**

- i). The grants for the project are released on the basis of yearly requirements taking note of the technical progress and expenditure incurred. The first sanction order indicates the budgetary allocation for the duration of the project under various heads like Equipment, Manpower, Travel, Consumable, Contingency etc.
- ii). The first installment of grant is released along with the first sanction order. It consists of the entire grant for the 'Equipment' and part of recurring grant including 'Overheads' for the first year of the

project.

- iii). Diversion of funds from equipment, manpower and budget heads is normally not allowed. However, any reallocation/ reappropriation of grants under different heads requires prior approval of KBC, KSCSTE.
- iv). The Equipment sanctioned in 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.
- v). Annual progress report shall be submitted as on completion of each project year.
- vi). There should not be a gap in between the project period. The project has to be done continuously and it will end on expiry of approved duration.
- vi). The recipient institution shall forward an audited utilization certificate and statement of expenditure (UC & SE) signed by PI and countersigned by the HOI to the effect that the grant has been utilized for the research works for which it was granted, to the Director, KSCSTE. The UC & SE shall be furnished on a project year basis not later than 3 months of completion of the project period. The institution should maintain separate audited accounts for the project.
- vii). The subsequent installment of grant would be released annually on the basis of expenditure incurred in the previous project year and expected expenditure in that year.
- ix). However, any request for release of the next installment should be accompanied by the following documents:
  - a) Audited Utilization Certificate and Statement of Expenditure for the previous project year (in original or copy if sent earlier)
  - b) Latest authenticated Statement of Expenditure including Committed Expenditure and interest accrued if any.
  - c) Technical Annual Progress Report
- x). After receiving Utilization Certificate & Statement of Expenditure, if unspent funds are available

as per the U.C, the money for the subsequent years will be released after deducting the unspent amount. The request for grants should however reach the Council at least 30 days in advance.

- xi). The unutilized portion of the grant amount at the end of the project period, shall be refunded to Council forthwith by DD in favour of Member Secretary, KSCSTE. In the case of project duration exceeding one year, the amount need not be refunded at the end of first or second year as the case may be, but the amount may be automatically carried forward, unless otherwise it is specified.
- xi). The audited Statement of expenditure and the Utilization Certificates are to be submitted on project year basis within a period of 3 months from the completion of the project year. (ie. if date of start of the project is 01.01.2019, then the first statement of account and utilization certificate will be for the period 01.01.2019 to 31.12.2020, the next statement will be for the period 01.01.2020 to 31.12.2021 and so on.)
- xi). The implementing institute will maintain separate bank account and it should be reported to Council and the interest accrued should be reflected in the Statement of Expenditure.
- xiv). 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 the entire grant to the Council.
- xv). 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 1,000/-. The Institute is required to send to this Council list of assets acquired from the grant.
- xvi). The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.
- xvi). All the assets acquired from the grant will be the property of KBC, KSCSTE and should not be

disposed off or encumbered or utilized for purpose other than those for which the grant had been sanctioned, without the prior sanction of this Council.

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

xix). The Council reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilized or appropriate progress is not being made.

#### **10. Extension of the duration of the project and reappropriation of funds**

The extension will not be granted normally. In exceptional cases where the work could not be completed, PI should submit request for extension in the prescribed format, 6 months before completing the tenure and the request will be placed before the next expert committee meeting for recommendation and further approval of Council.

#### **11. Reappropriation of funds**

Reappropriation of funds within the total budget may be approved based on the recommendation of the expert committee. Reappropriation from manpower and equipment will not be normally allowed.

#### **12. Progress evaluation and Monitoring**

- i). The PI through the implementing Institute will furnish to KBC, the Annual Technical Progress report of the work carried out on the project on an annual basis, not later than completion of 3 months of the project period.
- i). In addition, KBC may designate Scientist/ Specialist or an Expert Panel to visit the Institute periodically to review the progress of the work being carried out and to suggest suitable measures



to ensure realization 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.

- i). KBC will also organise Group Monitoring Workshops (GMW) meetings wherein the PIs/ Co-PIs/ research staff are invited to present the technical progress of their project. The Investigators should attend such workshops since it provides an opportunity to review their progress based on which any mid-term requests by the PIs for additional grants/ extension in duration etc. are considered by the Council. Subsequent releases of grant would be based on the reviewing and monitoring committees recommendations.
- iv). On completion of the project, the PI through the Institute should send the following documents to KBC, KSCSTE to enable us to settle the account:
  - a) Final Technical Report in the prescribed format (hard and soft copy)
  - b) One page abstract highlighting the outcome.
  - c) Consolidated audited statement of expenditure and utilization certificate.
  - d) Asset transfer certificate in the prescribed format.
  - e) DD/ cheque for any unspent amount drawn in favour of Member Secretary, KSCSTE, Sasthra Bhavan payable at Thiruvananthapuram.
  - f) Reprints/copies of papers/patents/articles etc.

The Final Technical Report (FTR) submitted within 6 months after completion of the project shall be evaluated and graded (in 10.0 point scale; 10.0 being the highest grade) by an expert committee. The FTR based on merit shall be graded and top graded project be given award and considered for second phase after presentation. No projects shall be sanctioned in future by KSCSTE to the PIs whose project FTR are graded below 6.0.

### **13. Guidelines for publication of results**

- i). Investigators wishing to publish technical/ scientific papers based on the research work done under the project should acknowledge the assistance received from Kerala Biotechnology Commission.

- ii). The Investigator(s) should not enter into collaboration with a foreign party (individual/ industry) without prior approval of KBC, KSCSTE.
- iii). Investigators are also requested to patent/publish the outcome of the project work in leading Journals.
- 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.

The above guidelines provide general information only. KSCSTE reserves the right to review these guidelines and modify them, as and when required. In addition to these, the implementing agency has to follow its own rules and regulations, wherever necessary.

**In case of any specific clarifications, please contact:**

**Scientist-in-Charge**

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