

# **GUIDELINES FOR INDUSTRY LINKED BIOTECHNOLOGY RESEARCH SCHEME (IBRS)**

The project which is approved for implementation is provided with a financial sanction which is subject to certain terms and conditions with the first sanction order. The following guidelines assist for smooth implementation of the project in conformity with those terms and conditions.

The fund is constituted for the purpose of giving assistance in the form of grants to Scientists and Technologists working in emerging areas of biotechnology for the development of biotechnology industry in the state. Grants will be paid for specific projects to cover expenditure on acquisition of equipment, laboratory supplies, cost of books and periodicals, publication of research papers, cost on internal travels including participation in scientific conferences/symposia or for any other specific purpose.

## **Guidelines**

This document provides guidelines for implementation of project proposals supported by Kerala Biotechnology Commission coming under Kerala State Council for Science, Technology & Environment. The guidelines provide general information. In addition to these, the implementing agency has to follow its own rules and regulations, wherever necessary. However, we hope that the end result of this would be a smooth implementation of the project. For any further clarification or further details, please approach the concerned official dealing with the project file. Kerala Biotechnology Commission, KSCSTE reserves the right to review these guidelines and modify them.

### **1. Submission of Projects**

- i. 10 copies of the project proposal along with a soft copy (in CD) have to be submitted in the prescribed format to the The Chairman, Kerala Biotechnology Commission, Kerala State Council for Science, Technology & Environment for funding.
- ii. The project proposals submitted will be peer reviewed by experts in the relevant area. Based on the peer review, selected project proponents will be intimated to present the project before an expert committee for further evaluation and approval.
- iii. Applications must have the Endorsement from the Head of Institution/participating institutions/industry and it should be forwarded by the Head of the Institution
- iv. The Maximum grant for a project shall be Rs 25 lakhs (Rupees Twenty Five lakhs only) for three years excluding overhead cost and industry share. In addition, the host institution will be eligible for an overhead @ 10% of total expenditure.

#### **Budget – Main heads**

- i. Man Power
  - a. Project Fellow @ 8000/month
  - b. Technical Assistant @ 4500/month

- ii Consumables  
(Chemicals, glass wares, research materials etc.)
- iii. Travel Rs 20,000/year (In exceptional cases, where the study involves extensive traveling, this can be relaxed)
- iv. Contingencies Rs 40,000/year
- v. Equipment
- vi. Overheads @ 10% of total expenditure

After receiving the project proposal it will be acknowledged with a reference number and other instructions. If the project proposal is as per the format and norms of KBC, KSCSTE, it will be sent to referees for evaluation. Otherwise, it will be returned to the PI. After getting the comments from referees, the project proposals will be placed before the expert committee for decision.

## **2. 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 10% 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 within 2 weeks. A copy of the letter issuing the cheque will be sent to the PI and all concerned within a week through the Head of the institution.
- vi). All formats are available in our website for reference. Documents in other formats will not be accepted.

## **3. 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 the Draft/ Cheque 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 draft/ cheque by the Institute.**

#### **4. 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.

## **5. 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.

## **6. 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 (3 copies) will 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.
- vii). 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. The institution should maintain separate audited accounts for the project.
- viii). 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, if not sent earlier.
- 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.
- xii). 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 12.01.2009, then the first statement of account and utilization certificate will be for the period 12.01.2009 to 11.01.2010, the next statement will be for the period 12.01.2010 to 11.01.2011 and so on.)
- xiii). 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.
- xvii). 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.

xviii). 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.

### **7.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 Group Monitoring Workshop (GMW) for recommendation and further approval of Council.

### **8. Reappropriation of funds**

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

### **9. Progress evaluation and Monitoring**

- i). The PI through the implementing Institute will furnish to KBC, 3 copies of the Annual Technical Progress report of the work carried out on the project on an annual basis. (ie. if the date of start of a project is 12.01.2009 the first Annual Technical Progress report shall be for the period 12.01.2009 to 11.01.2010, the next will be from 12.01.2010 to 11.01.2011 and so on).
- ii). 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.
- iii). 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) 5 copies of the Project Completion Report in the prescribed format.
- b) One page abstract highlighting the outcome.
- c) Soft copy of project completion report and abstract.
- d) Consolidated audited statement of expenditure and utilization certificate.
- e) Asset transfer certificate in the prescribed format.
- f) DD/ cheque for any unspent amount drawn in favour of Member Secretary, KSCSTE, Sasthra Bhavan payable at Thiruvananthapuram.
- g) Reprints/copies of papers/patents/articles etc.

Completion report should be evaluated by referees with grading. A review should be arranged for all completed projects and overall grading awarded and communicated to Principal Investigator. The grading for the previous projects should be mentioned in the subsequent project proposal.

#### **10. 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 out come 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.