



भारतीय आयुर्विज्ञान अनुसंधान परिषद
INDIAN COUNCIL OF MEDICAL RESEARCH

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No.16/107/2008-(3) Admn.II

Dated: 01.01.2018

To

- 1 All Principal Investigators/Directors of Host Institutes.
- 2 Directors of all permanent Instts./ Centres of the Council.

Sub: Revision of Guidelines for Extramural Research Programme of ICMR.

Sir/Madam,

In supersession of this office order of even number on the subject mentioned above, I am directed to inform you that the Governing Council of the ICMR has accorded the approval of revised Guidelines for Extramural Research Programme of ICMR with immediate effect. The revised guidelines may kindly be downloaded from ICMR website.

This issues with the approval of the Competent Authority.

Yours faithfully,

(Bharat Bhushan)
Administrative Officer
for Director General

Copy to:-

1. PS to DG, ICMR.
2. PS to Addl. DG, ICMR
3. PS to Sr. DDG (A), ICMR.
4. PS to Sr. FA, ICMR.
5. All Divisional Heads.
6. ADG(A), ICMR
7. All Sr. A.O.s/Sr. ACOs/AOs/ACOs.
8. All Technical Divisions.
9. Accounts-V & VI.
10. DDO/Admn.IV.
11. BIC Section: for uploading the circular on ICMR website.



Indian Council of Medical Research

Guidelines for Extramural Research Programme

The Indian Council of Medical Research (ICMR) provides financial assistance to promote research work in the fields of medicine, public health and allied areas under its Extramural Research Programme. The General Guidelines for various kinds of extramural research programme for their formulation, review mechanism and operation of the project by the ICMR have been formulated and are given below.

I. Types of Extramural Research Programme and their Review Mechanism

1. Types of Extramural Research Programme

- 1.1. Short duration low cost proposals
- 1.2. Ad-hoc project - Investigator defined
- 1.3. Task Force project - Solve a pre-defined problem (Centrally identified)
- 1.4. Cohort study
- 1.5. National Registry
- 1.6. Centers of Advanced Research (CAR)
- 1.7. Capacity building / support for sustained high quality research.

2. Review Mechanisms

- 2.1. In-house expertise (with in ICMR Hqrs. and Institutes)
- 2.2. External peer review through circulation.
- 2.3. Project Review Committees / Group (PRC / PRG)
- 2.4. Experts Committee / Monitoring Committee / Data Safety Management Board
- 2.5. Advisory Committee

1.1. Short duration low cost proposals

The ICMR sponsors and supports short-term result-oriented Extramural Research Projects which aim at filling critical gaps in the biomedical field. Scientists / Professionals who have a regular employment in the Medical College, Research Institute, University, Recognized Research and Development Laboratory, Govt. and Semi Govt. Organization and NGOs (documentary evidence of their recognition including DSIR certificate should be enclosed with the application).

(Handwritten signatures and initials)

1.1.1 Genesis / Submission of low cost proposal

Scientists / Professionals from the above mentioned Institutions may submit low cost proposal to ICMR online. Only the proposals received online on the designated ICMR website will be considered.

1.1.2 Financial Ceiling

A project costing not more than Rs. 10.0 lakhs

1.1.3 Duration of Project

Duration of one year or less.

1.1.4 Review

In-house review by a Divisional Committee and a decision could be taken within four weeks of its receipt.

1.2. Ad-hoc projects

To promote research in the country in the field of biomedical research ICMR provides financial support in the form of ad-hoc projects to Scientists / Professionals who have a regular employment in the Medical College, Research Institute, University, Recognized Research and Development Laboratory, Govt. and Semi Govt. Organization and NGOs (documentary evidence of their recognition including DSIR certificate should be enclosed with the application).

1.2.1 Genesis / Submission of the ad-hoc Projects

Scientists / Professionals from the above mentioned Institutions may submit ad-hoc project to ICMR online. Only the proposals received online on the designated ICMR website will be considered.

1.2.2 Financial Ceiling

Not exceeding Rs. 1.5 crores for the total duration of the project.

1.2.3 Duration of Project

Not exceeding three years (**however, extension can be granted by DG, ICMR on yearly basis for maximum up to 5 years after the approval of PRC / PRG / Experts Committee and recommendation from respective Head. Beyond 5 years the approval of ICMR Executive Council is required**).

1.2.4 Composition of PRC / PRG / Experts Committee

Ideally it should not have more than seven members. In exceptional cases when the Division has only one Committee to review a basket of assorted projects, the number of members may be enhanced suitably. One of them may be identified as the Chairman and Chief / representative of the Technical Division serves as Member Secretary. Other members are chosen keeping in mind, the kind of expertise needed and the seniority of the expert. For each meeting, experts could be co-opted depending upon the need. The

number of co-opted members, however, should be kept to the minimum tenure of three years. The members are eligible to be inducted in the Committee for a second term.

1.2.5 Functions of PRC / PRG / Experts Committee

Review new proposals; approve those found suitable for funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the on-going projects and evaluate the completion reports. Suggest extension / termination of projects before their planned duration giving reasons and justifications for doing so. Examine and approve the budget. The decision of the Committee would be final.

1.2.6 Frequency of the meeting

As per need, but at least once in a year

1.2.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed. Principal Investigator (PI) presentation can be requested, if felt necessary.

1.3. Task Force Projects

Task Force studies are national projects, centrally planned and coordinated and usually implemented on a multi-centric basis. These projects are time-bound, with a goal-oriented approach and clearly defined targets, specific time frames and conducted by standardized and uniform methodologies. These task force projects are formulated taking into consideration the national priority areas of research. Collaborating scientists with expertise and infrastructure available to undertake such activities are identified by the ICMR itself through its Task Forces and other Expert Committees.

The ICMR's permanent Institute / Centre can be one of the participating centres of Task Force multi-centric project and ICMR Hqrs. may act as coordinating centre of the task force project. In such cases the project has to be approved by the Scientific Advisory Committee of the respective Institute / Centre.

1.3.1 Genesis of Task Force Projects

The technical division may prepare a protocol on national priority areas which should be approved by the Task Force Experts / Monitoring Committee / Data Safety Management Board.

Alternatively, the call for task force project in a pre-identified area would be widely circulated and advertised. The members of the Task Force would be encouraged to actively solicit proposals from active investigators in the chosen area. The travel and per diem of the PIs invited to the meeting to defend their proposal would be met by the ICMR as per its rules.

1.3.2 Financial Ceiling

Not exceeding to Rs. 5.00 Crores for the total duration per centre.

1.3.3 Duration of Project

The tenure of the task force project should be for three years and may be extended further on yearly basis for maximum duration of five years based on the approval of the Experts cum Monitoring Committee / PRC / PRG / Data Safety Management Board and DG, ICMR. Beyond five years, the extension may be given based on the recommendation of the Executive Council of the ICMR.

1.3.4 Composition of Experts Committee / Monitoring Committee / Data Safety Management Board

About five members, who should not be from the participating centres and should not be Investigator in the Task Force Project, one of them acts as Chairperson while the Divisional representative would be the Member Secretary. PI (s) should be member of the Task Force. Generally there should not be a need to co-opt members.

1.3.5 Functions of Experts Committee / Monitoring Committee / Data Safety Management Board

Review the task force proposals, suggest changes, if any and recommend for funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the progress on yearly basis, and evaluate the completion reports and also suggest extension / premature termination of projects(s) giving justifications.

1.3.6 Frequency of the meeting

As per the need, but at least once in a year.

1.3.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed.

1.3.8 Pre-Proposal Activities

For developing nationally relevant centrally planned task force studies sometimes it is necessary to propose budget for pre-proposal activities for hiring of staff on contractual basis and for some recurring expenditure. Therefore, proposal for pre-proposal activities under the Coordinating Unit of certain Task force projects may be developed and funded. Please see Addendum for more details.

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1.4. Cohort Study

Cohort studies are type of long term research studies to investigate the causes of disease, establishing links between risk factors and health outcomes. The cohort study may be prospective cohort studies and retrospective cohort studies. These studies generally originate from the centre and may be multi-centric.

1.4.1 Genesis of Cohort Study

The technical division may prepare a protocol for Cohort Study on a national priority area which should be approved by the Experts / Monitoring Committee.

Alternatively, the call for cohort study in a pre-identified area would be widely circulated and advertised. The members of the Experts / Monitoring Committee would be encouraged to actively solicit proposals from active investigators in the chosen area. The travel and per diem of the PIs Invited to the meeting to defend their proposal would be met by the ICMR as per its rules.

1.4.2 Financial Ceiling

Not exceeding Rs. 2.0 crores per centre per year.

1.4.3 Duration of projects

These studies are generally for a longer duration to follow the cohort to establish the association between the risk factor and health outcome and also quantify the amount of risk. Initially these studies may be approved for a duration of five years and subsequent extension may be given based on the recommendation of the Experts / Monitoring committee and approval of the DG, ICMR.

1.4.4 Composition of Experts / Monitoring Committee

About seven members, who should not be from the participating centres and should not be Investigator in the Cohort Study, one of them acts as Chairperson while the Divisional representative would be the Member Secretary. The PI (s) may be member of the Experts / Monitoring Committee of the Cohort Study. If required, there may be co-opt members also in the Experts / Monitoring Committee.

1.4.5 Functions of Experts / Monitoring Committee

Review cohort study proposals, suggest changes and recommend their funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the progress on yearly basis, and evaluate the completion reports and also suggest extension / premature termination of projects(s) giving justifications.

1.4.6 Frequency of the meeting

As per the need, but at least once in a year

1.4.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed.

1.4.8 Pre-Proposal Activities

For developing nationally relevant centrally planned cohort studies sometimes it is necessary to propose budget for pre-proposal activities for hiring of staff on contractual basis and for some recurring expenditure. Therefore proposal for pre-proposal activities under the Coordinating Unit of certain cohort study may be developed and funded. Please see Addendum for more details.

1.5. National Registry

An organized system that uses observational study methods to collect uniform data (clinical and other) to evaluate specified outcomes for a population defined by a particular disease, condition, or exposure, and that serves a predetermined scientific, clinical, or policy purpose(s). These are generally centrally created studies.

1.5.1 Genesis of National Registry

The technical division may prepare a protocol for National Registry on a national priority area which should be approved by the Experts / Monitoring / Advisory Committee.

Alternatively, the call for national registry in a pre-identified area would be widely circulated and advertised. The members of the Experts / Monitoring / Advisory Committee would be encouraged to actively solicit proposals from active investigators in the chosen area. The travel and per diem of the PIs Invited to the meeting to defend their proposal would be met by the ICMR as per its rules.

1.5.2 Financial Ceiling

Not exceeding Rs. 2.0 crores per centre per year

1.5.3 Duration of National Registry

These studies are generally for a longer duration to collect the data on specified outcome from a given population. Initially these studies may be approved for a duration of five years and subsequent extension may be given based on the recommendation of the Experts / Monitoring/Advisory Committee and approval of the DG, ICMR.

1.5.4 Composition Experts / Monitoring / Advisory Committee

About seven members, who should not be from the participating centres and should not be Investigator in the National Registry, one of them acts as Chairperson while the Divisional representative would be the Member Secretary. The PIs may be member of the Experts / Monitoring / Advisory Committee of the National Registry. If required, there may be co-opt members also in the Experts / Monitoring / Advisory Committee.

1.5.5 Functions of Experts / Monitoring / Advisory Committee

Review proposals for the Registry, suggest changes and recommend their funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the progress on yearly basis, and evaluate the completion reports and also suggest extension / premature termination of projects(s) giving justifications.

1.5.6 Frequency of the meeting

As per the need, but at least once in a year

1.5.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed.

1.5.8 Pre-proposal Activities

For developing nationally relevant centrally planned national registry some time it is necessary to propose budget for pre-proposal activities for hiring of staff on contractual basis and for some recurring expenditure. Therefore proposal for pre-proposal activities under the Coordinating Unit of certain national registry may be developed and funded. Please see Addendum for more details.

1.6. Centers for Advanced Research (CAR)

To encourage in-depth research on an identified research problem with the aim of generating new knowledge and having a better understanding of a disease or a health condition the proposal for CAR may be submitted to ICMR. The proposal could focus on one or multiple aspects like causation, progression, management, and prevention. The CAR is generally created around a scientist of eminence, who is undertaking excellent work on a specific area of medical importance. Assistance is provided to him to continue and expand the work with the aim that the facility so created would continue to function even after the funding from the ICMR is over. After five years, the host institution would be expected to take over the activities of the centre as permanent activity. If the host institute proposed to absorb the staff, undertaking to that effect would need to be furnished.

1.6.1 Genesis of CAR

The technical division may prepare a protocol for CAR on a national priority area which should be approved by the CAR Advisory Committee.

Alternatively, the call for CAR in a pre-identified area would be widely circulated and advertised. The members of the CAR Advisory Committee would be encouraged to actively solicit proposals from active investigators in the chosen area. The travel and per diem of the PIs Invited to the meeting to defend their proposal would be met by the ICMR as per its rules.

1.6.2 Financial Ceiling

Not exceeding Rs. 10.0 crores for the total duration of the CAR.

1.6.3 Duration of CAR

The tenure of the CAR should be up to five years and may be extended beyond five years on the recommendation of the Executive Council of the ICMR.

1.6.4 Composition of CAR Advisory Committee

About five members, who should not be from the participating centres and should not be Investigator in the CAR, one of them acts as Chairperson while the Divisional representative would be the Member Secretary. The PIs may be member of the CAR Advisory Committee of the CAR. If required, there may be co-opt members also in the CAR Advisory Committee.

1.6.5 Functions of CAR Advisory Committee

Review proposals for the CAR, suggest changes and recommend their funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the progress on yearly basis, and evaluate the completion reports and also suggest extension / premature termination of projects(s) giving justifications.

1.6.6 Frequency of the meeting

As per the need, but at least once in a year.

1.6.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed.

1.7. Capacity building / support for sustained quality research.

Capacity building is an evidence-driven process of strengthening the abilities of individuals, organizations, and systems to perform core functions sustainably, and to continue to improve and develop over time. ICMR supports research, research training, faculty development and research infrastructure improvements in States that historically have not received significant level of research funding from ICMR. It also supports faculty research development at Institutions especially for young and middle level professionals for carrying out research in health science from underrepresented groups. To develop and implement a strong high level advocacy network and act as a mediator between ICMR and the Investigators from Medical Colleges, other Medical Institutions and Universities operating in under privilege areas of the country and also for effective implementation of various seed grants. ICMR provide financial support for such type of Capacity Building project.

1.7.1 Genesis of Capacity building/support for sustained quality research

The technical division may prepare a protocol for Capacity building/support for sustained quality research in a under privilege area/from the States that have not received significant level of research funding from ICMR which should be approved by the Advisory / Experts Committee.

Alternatively, the call for Capacity building / support for sustained quality research in a under privilege area would be widely circulated and advertised. The members of the Advisory / Experts Committee would be encouraged to actively solicit proposals from active investigators in the chosen area. The travel and per diem of the PIs Invited to the meeting to defend their proposal would be met by the ICMR as per its rules.

1.7.2 Financial Ceiling

Not exceeding Rs. 2.5 crores per year.

1.7.3 Duration of Capacity building/support for sustained quality research

The tenure of the Capacity building / support for sustained quality research should be up to five years and may be extended beyond five years on the recommendation of the Executive Council of the ICMR.

1.7.4 Composition of Advisory / Experts Committee

About five members, who should not be Investigator in the Capacity building/support for sustained quality research project, one of them acts as Chairperson while the Divisional representative would be the Member Secretary. The PIs may be member of the Advisory / Experts Committee of the Capacity building/support for sustained quality research. If required, there may be co-opt members also in the Advisory / Experts Committee.

1.7.5 Functions of Advisory / Experts Committee

Review proposals for the Capacity building / support for sustained quality research, suggest changes and recommend their funding. Examine the requirement of staff, equipment(s), funds for consumables, travel etc. and make recommendations. Monitor the progress on yearly basis, and evaluate the completion reports and also suggest extension / premature termination of projects(s) giving justifications.

1.7.6 Frequency of the meeting

As per the need, but at least once in six months.

1.7.7 Queries of the Experts

The clarifications to the queries raised by experts need to be addressed at the earliest to facilitate the decision on the project. Whether the clarifications need to be referred to the Experts again would be guided by the recommendations made at the time of the meeting when the project in question was discussed.

II. Guidelines for Operation of Projects for Grantees

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

1. Proposals in fundamental/strategic research development and evaluation of a tool in the form of Ad-hoc / Task Force / Cohort / National Registry / CAR etc. projects including operational research are considered for ICMR support.
2. Research grants from the ICMR are intended to supplement the research facilities available with the host institutions.
3. **Staff: For staff all the guidelines will be followed issued by ICMR (Admn.-II) from time to time (e.g. Order No 16/107/2008- Admn.-II dated 24.8.2016, 4.10.2016 and 7.11.2016). All the subsequent order will automatically be applicable.**

4. **Sanction of project**

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

5. **After sanction of project**

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

- a. His acceptance of the budget.
- b. For all equipment's approved in the project the PI is required to give a certificate to the effect that equipment's is/are not available/accessible for the project work.
- c. An undertaking (in the prescribed format) 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. They would be subject to administrative control and service rules as applicable to them at the host institute where the project is based/ approved.
- d. The name and address of the statutory auditor.
- e. Submit the all the documents required for completion of codal formalities as mentioned on ICMR website (http://icmrextramural.in/ICMR/app_srv/icmr/gl/jsp/docReport.jsp).

On receipt of the above information the Division would process for release of grant.

6. **Auditors**

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

7. **Release of grants**

The funds will be released in one installment only in a year. The first installment is released along with the sanction letter. It would include the entire grant for purchase of equipment's and

recurring grant for the entire year. Steps to procure the approved equipment's should be initiated immediately (to avoid escalation of cost) following the prescribed norms of the host institution including GFR. For the subsequent years, the funds will be released only after receipt of the annual progress report of the previous year along with utilization certificate (UC) and statement of expenditure (SOE) and based on recommendations of PRC / PRG / Experts / Monitoring Committee. In the final year, 10% of funds will be withheld until receipt of final report along with final UC and SOE (showing the unspent balance available) in ICMR's format. After receipt of these documents and after satisfactory review of the final report, the remaining funds will be released after adjustment of balance available with the PI, if any. Accordingly, final audited statement of accounts along with utilization certificate must be submitted within 1 month of release of the remaining 10% of grant.

8. **Re-appropriation of funds**

Expenditure should on no account exceed the budget sanctioned for the project. For re-appropriation of expenditure under the different sub-heads (pay & allowances, contingencies, equipments, etc.) within the sanctioned budget and for unspent balance, a request may be sent to ICMR and Heads of Division can make the appropriate decisions.

9. **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.

10. **Date of Start**

The date of initiation of the project will be the date when the PI receives the grant. This date would have to be communicated by the host Institute to the ICMR. It will in no case be later than one month after the receipt of the fund 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 ICMR and subject to receipt of a certificate duly signed by the Accounts Officer of the Institute / Centre that no expenditure has been incurred before the proposed date of start. **This can be done at the level of Divisional Heads, If, he/she is satisfied and is within the approved budget already sanctioned.**

11. **Utilization of travel grant**

The travel grant can be utilized for travel by the PI, Co-I or by Research fellow/Associates (**staff**) working in the project for:

- a. Visiting the ICMR Hqrs Office for meeting(s) related to the project.
- b. Attending a training course related to project (mainly for project staff).
- c. Attending seminars/symposia/conference provided the PI himself or the Fellow/Associate is presenting a research Paper (based on the project work) which has been accepted.

Contingency grant

This is meant for recurring as well as non-recurring expenditure. The contingency grant can be utilized for purposes it was sanctioned by the PRG / PRC / Experts / Monitoring Committee 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's library and after purchase and accession may be issued to the Department / Scientist till they are needed.
- b. Chemicals/consumable items required for research work
- c. Charges for specialized investigations for which facilities do not exist in the host institute
- d. Publication Charges/reprints/ off-prints of research papers published as an outcome of the research.
- e. Data-entry Charges
- f. Printing of questionnaire
- g. Preparing software for data management or Apps for data entry
- h. Computer utilities, charges for analysis of data (computer charges)
- i. Typing of research reports
- j. Expenses in connection with the preparation of the final report
- d. POL - Taking up field work/travel connected with the research work (TA/DA would be as per the entitlement).
- k. Communication Charges
- l. Grant cannot be used for purchase of furniture items/office equipment

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

All expendable and non-expendable articles acquired for work of the project should be purchased in accordance with GFR and 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 in prescribed Performa enclosed shall be maintained by the Institute. The term 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.

12.2 Equipment

- a. The Council would provide equipment(s) for conduct of the study provided it has been approved by the appropriate Expert Committee (PRC / PRG / TF). There is no upper ceiling on the amount to be sanctioned for purchase of equipment (s). This would vary on the nature, scope and need of the project.
- b. All equipments should be purchased according to the GFR and procedures of the Institutions where the project is to be carried out.

- c. Equipment procured through the ICMR grant should bear a label "ICMR funded".
- d. On completion of the study, a list of all equipments procured from the project funds along with their cost, date of installation and suggestions for disposal of the same should be sent to the ICMR Hqrs. in the prescribed format.
- e. Equipments costing less than Rs. 20,000/- are generally allowed to be retained by the Institute, while those costing more than Rs. 20,000/-, the ICMR would decide after receiving the request/ suggestions.

13. Annual Progress Report

- a. Annual Report is to be submitted annually in the prescribed format. The first progress report should be submitted about two months prior to the completion of the first annual period 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 progress of the project would be evaluated by the ICMR either by peer review or by an Expert Committee.
- c. The project will not be renewed for the next 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 Committee, if considered necessary, especially in Task Force / Cohort / National Registry / etc. projects.
- 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 effective conduct of the project.

14. Annual utilization certificate

- a. A simple statement of accounts along with utilization certificate in the prescribed format duly signed by the Accounts Officer of the host Institute/empanelled auditor for the project giving the funds received and expenditure incurred upon completion of 12 months from date of start of the project needs to be submitted by the PI for releasing the grant for next year.
- b. Unspent balance would be adjusted in the next year installment.

15. Final Project Completion Report

- a. At the completion of the project, the final report in the prescribed format has to be submitted.
- b. The report should be submitted not later than three months from the date of completion of the project.
- c. 10% of funds will be withheld until receipt of final report along with final UC and SOE (showing the unspent balance available) in ICMR's format. After receipt of these documents and after satisfactory review of the final report, the remaining funds will be released after adjustment of balance available with the PI, if any. Accordingly, final audited statement of accounts along with utilization certificate must be submitted within 1 month of release of the funds 10% grant.

16. Final settlement of the Accounts

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

- a. Full and final audited statement of expenditure.
- b. Full and final utilization certificate.
- c. List of equipments procured from the project along with their cost, date of purchase and suggestions for disposal of all items purchased under equipment, in the prescribed format.
- d. The unspent balance paid by ICMR shall be refunded by the institution at the end of the project period or as and when the investigator discontinues the project midway or does not follow the detailed technical programme laid down and approved, as noted by the Committee.

17. Extension of the project

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 along with progress report, clearly mentioning the period of extension with justification and reasons why the project could not be completed within the stipulated sanctioned period.

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 and Finance section, if additional budget for the extended period is necessary, the details to which are to be provided by the PI in his extension request.

18. 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 and the Head of the Institution. Such a request should be sent well in advance, for approval of ICMR along with consent of the Co-I that he agrees to carry out the project as per terms and conditions of ICMR.
- 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 Institutions with prior approval of the 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 change and in consultation with ICMR, take steps to ensure successful completion of the project before relieving the original Principal Investigator.

Approval of Addl.DG /DG, ICMR for this change is required.

19. Number of projects with the PI

Under normal conditions, a PI should only be implementing five research projects, at a given time point. While submitting an application for a research project, the PI should give in detail all the research projects (completed, on-going). Fresh research proposal can be considered only when the on-going research proposals are about to conclude.

20. 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.

21. Overhead expenses

- i. Will be restricted to maximum ceiling of 3 % or 5% of the total cost of the project depending upon the type of host Institution.
- ii. Overhead expenditure will not be granted on equipments and travel allowances.

22. The grant paid by the ICMR shall be refunded by the institution as and when the Investigator discontinues a project before the end of first year or does not follow the detailed technical programme laid down and approved, as recorded by the PRC / PRG / TF / Expert Committee. Also, upon discontinuation, the PI is obligated to submit the technical report along with UC / SOE and refund of balance of funds.

23. Publication of Results/Presentation of Papers

The research papers and publications based on the results of the research project should acknowledge the assistance by the ICMR along with IRIS ID number, proposal ID. Copies / reprints of paper(s) published should be sent to ICMR along with the progress/final report or as and when published.

24. Budget

The budget would be sanctioned under broad sub-head as under

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



**Guidelines for hiring of staff on contractual basis for carrying out
Pre-Project activities**

The projects which are conceptualized and initiated by ICMR Hqrs. / Institute in a mission mode with a specific mandate, and carried out in more than one centers and having national importance in terms of both health research and public health there may be requirement of pre-project activities.

These activities include formulating the study design, developing and finalization of uniform study protocol from the concept stage to the detailed study proposal development including its methodology apart from devising the SOPs, detailed budget of participating centers as well as preparing pilot testing case record forms (CRFs) etc. and convene meetings with the identified investigators and organize technical review(s) through Task Force / Advisory Group / Experts Committee before the study is taken off / initiated.

Recruitment of staff:

1. To carry out such pre-project activities, once the concept proposal is approved technically, the concerned Division / Institute / PI-cum-coordinator of the project may initiate the process of hiring of contractual staff after approval of the Competent Authority of ICMR. Appropriate staff (depending on the kind of project) can be recruited on contractual basis (as per latest ICMR circular) to assist the designated Co-ordinating Unit in the project for an initial duration of 1 year [or more till the time the project takes off, if the proposal is in advanced stages of development and also based on the quantum of the proposed study development and pending necessary codal formalities (including administrative, financial and ethical approvals) required to initiate / sanction the project, subject to the approval of DG, ICMR].
2. The guidelines for recruitment of staff in research projects, issued by ICMR (Admn.-II) from time to time will be followed. MTS and other class IV staff will not be recruited for the purpose of pre-project activities.
3. Staff of pre-project activities should be minimum and justifiable.

Co-ordinating Unit:

4. Once the study takes off, the same staff may subsequently be allowed to continue as a part of the Co-ordinating Unit under such study in the Initiating Division / Institute / Centre for as long as the study continues under coordination of PI cum overall coordinator from ICMR Hqrs. / Institute for constant monitoring, reporting and implementation of the project and also for further development of certain sub-studies under the same Task Force, as the need arises.
5. For multi-centric projects, the main task is monitoring of study implementation, timely release of grants, monitoring data collection, data cleaning, generating queries, responding to queries, trouble-shooting, holding meetings of all the investigators, data analysis, report writing, dissemination etc. Thus, the budget for Co-ordinating Unit included in the overall budget of the project should be approved by the PRC/PRG/Expert Committee / Task force / Advisory Group etc.

Closing of Co-ordinating Unit:

6. Since it takes time to close the multisite TF / Cohort / Registry / etc. project therefore, the staff hired under the Co-ordinating Unit of such studies can go up to maximum of one year after the completion of the project or till the final report is submitted, subject to approval of DG, ICMR.

Cost details of permanent equipment's/assets

(Please use a separate sheet for each equipment)

1. Name of equipment/ asset with model, name etc. and date of procurement
2. Sanctioned amount:
3. Actual expenditure (this should include only the cost of equipment, insurance, freight charges and octroi etc.)
4. Other expenses, if any (expenses such Bank charges, agency commission etc., should be avoided through appropriate negotiations. If unavoidable expenses incurred, the same may be indicated
5. Utilization rate (%)

J. Q. N.

S. D. S.

Format for Annual Progress Report

1. Project title
2. PI (name & address)
3. Co-PI (name & address)
4. Date of start
5. Duration
6. Objectives of the proposal
7. Methodology
8. Interim modification of objectives/methodology (with justifications)
9. Detail progress of the work carried out during the period
10. A summary sheet of not more than two pages under following heads (Title, Introduction, Rationale, Objectives, Methodology, Results, Translational Potential)
11. Research work which remains to be done under the project
12. Applied value of the project
13. Any publications.
14. Any patents applied for
15. If additional budget or staff is required for the remaining part of the research work, please give justifications and details.

Date:

Signature

Designation

Format for Annual Statement of Accounts

(Period.....)

1. Sanction Letter No. :
2. Total Project Cost : Rs.....
3. Sanction /Revised Project cost (if applicable) : Rs.....
4. Date of Commencement of Project :
5. Proposed Date of Completion :
6. Statement of Expenditure : From.....To.....

S. No.	Sanctioned / Heads	Funds Allocated	Expenditure Incurred			Balance as on (Date)	Remarks
			I Year	II Year	III Year		
1.	Salaries						
2.	Contingencies						
2.1.	Non-recurring (Equipments)						
2.2	Recurring (Supplies, Materials, Consumables, etc.)						
3.	Travel						
4.	Overhead Expenses						
5.	Others (if any)						
	Total						

Signature of Principal Investigator
with date

Signature of Accounts Officer
With date

J.P.N.

[Signature]

Check list for covering note to accompany Utilization Certificate of grant for the project for the period

- 1) Title of the Project
- 2) Name of the Institutions
- 3) Principal Investigator
- 4) ICMR letter No. and date sanctioning the project.
- 5) Head of account as given in the original sanction letter
- 6) Amount received during the year (Please give No. & Date of ICMR's sanction letter for the amount and period)
- 7) Total amount that was available for expenditure (excluding commitments) during the year (Sl.No.6+7)
- 8) Actual expenditure (excluding commitments) incurred during the year.
- 9) Balance amount available at the end of the year.
- 10) Amount already committed, if any.
- 11) Amount to be carried forward to the next year (if applicable). Indicate the amount already committed with supporting documents.

[Handwritten signature]

[Handwritten signature]

Format for Utilization Certificate
(Annual/Final)

Certified that out of Rs..... of grants-in-aid sanctioned during the year
..... in favour of under ICMR Letter
No..... and Rs..... on account of unspent balance of the
previous year, a sum of Rs has been utilized for the purpose of
..... for which it was sanctioned and that the balance of Rs.
..... remaining unutilized at the end of the year has been surrendered to ICMR (vide
cheque No Dated..... / will be adjusted towards the grants-in-aid payable during
the next year i.e.

Signature of
Principal Investigator
with date

Signature of Registrar/
of the Institute with date

Signature of Accounts Officer
of the Institute with date



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. A summary sheet of not more than two pages under following heads (Title, Introduction, Rationale, Objectives, Methodology, Results, Translational Potential)
14. Contributions made towards increasing the state of knowledge in the subject.
15. Conclusions summarizing the achievements and indication of scope for future work.
16. 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.

17. Abstract (300 words for possible publication in ICMR Bulletin)

18. 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)



Format for Final Statement of Expenditure
(to accompany the Final Report)

- 1) Sanction letter No. :
- 2) Total project cost :
(Sanctioned/revised project cost, if applicable)
- 3) Date of commencement of project :
- 4) Date of completion of project :
- 5) Grant revised in each year (financial) :

S. No.	Sanctioned / Heads	Funds Allocated	Expenditure Incurred			Balance as on (Date)	Remarks
			I Year	II Year	III Year		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1.	Salaries						
2.	Contingencies						
2.1.	Non-recurring (Equipments)						
2.2	Recurring (Supplies, Materials, Consumables, etc.)						
3.	Travel						
4.	Overhead Expenses						
5.	Others (if any)						
	Total						

Amount to be refunded/reimbursed (whichever is appropriate): Rs.

Name & Signature
Principal Investigator
With date

Signature of Competent
Financial/audit authority
With date

[Handwritten signatures]

To,

The Director General
Indian Council of Medical Research
Ansari Nagar, New Delhi-110029.

Subject: Acceptance the project IRIS No / Proposal ID

Dear Sir/Madam,

We are very happy to accept the project proposal entitled "-----" having ICMR IRIS No / Proposal ID -----

We hereby provide the following undertaking:

1. We accept that the project with its sanctioned budget.
2. We certify that the equipment's requested and approved in the project is neither available nor accessible in our Institute.
3. We understand that our annual project accounts will have to be audited either by a statutory auditor or a certified Chartered Accountant.
4. We undertake that the staff employed in the project will not be the responsibility of ICMR (we will forward separate undertaking to ICMR from each project staff member).
5. We, also, undertake the responsibility to implement the project as per ICMR guidelines issued from time to time.
6. We agree to submit the annual and final reports on time.
7. We agree to submit the statement of account and utilization certificate in prescribed format of ICMR annually.
8. We assure that the project will be completed on time.
9. We agree to submit the entire raw data/original data records in electronic format along with final report.
10. We agree to acknowledge the ICMR in all publications related with the study.

Thanking you

Yours sincerely

Name and seal of
Head of the Institute

V.P.18.

[Signature]

(Name of PI)
