

# **GUIDELINES**

**for**

**Funding, Review and Monitoring of Projects**

**Under  
Corpus Fund Head (CFH) Head (CFH)**



**Indian Council of Agricultural research  
New Delhi- 110012**

## **Corpus Fund Head (CFH) Head (CFH)**

### **Introduction**

The Indian National Agricultural Research System (NARS) has to find solutions for the immediate problems of farming as well as keep its competence in technology development in the forefront to meet all continuously emerging anticipated and unanticipated problems. Basic and strategic research and applied research in the frontier areas of agricultural sciences are the 'pacemaker' of technology development. Fully realizing this need, the Government of India decided to establish a national fund for supporting basic and strategic research with the objective of building capacity for basic and strategic research for solving agricultural problems of immediate, long-term and anticipatory nature, building partnership of all required expertise available in all disciplines and institutions in all over the country and to make India a global leader in research for development.

A strong and sustainable platform that would help develop a scientific capacity and culture in the extended NARS capable of ensuring continuous flow of knowledge and frontier technology of the best and appropriate quality for solving problems in agriculture and also provide a source of science policy for agriculture. Commensurate with this requirement the name of the Fund was changed to 'National Agricultural Science Fund' during the XII Plan.

### **Objectives**

The main objective of the scheme has been to build capacity for basic, strategic and cutting-edge application research in agriculture and address issues which can be solved by intensive basic and strategic research jointly by team(s) of organizations/ institutions. Underlying this objective are the following aims:

- Foster research and a research culture that will use and advance the frontiers of scientific knowledge to effectively meet the present, anticipated and unanticipated problems of agriculture through various modes and critical investments in research projects.
- Build the capability of the National Agricultural Research System through development of wide partnerships in science through projects.
- Build a storehouse of advancement of knowledge in science related to agriculture and awareness of the national importance of basic and strategic research in agriculture.
- To provide policy support to the decision makers for use of basic and strategic research in agriculture.
- Organizations of workshop, seminars, conferences etc. to create awareness, prioritization, scientific popularization and related issues

### **Vision**

Harnessing science at the frontier of current knowledge and beyond for continually replenish the well of scientific knowledge for agricultural development and prosperity of the farmer.

## **Mission**

To use frontier science and the national scientific talents to advance the problem solving capacity of the extended national agricultural research system and the development of a dynamic knowledge base of Indian agriculture.

## **Advisory Committee**

1. Advisory Committee will be constituted in each SMD and approved by the Director General, ICAR.
2. Advisory Committee will be screening/evaluate full proposals and approve/recommend projects.
3. Advisory Committee will be Chaired by the concerned DDG and will consist of 2-3 Subject Matter Specialists (external) and one ADG (from concerned SMD) as Member Secretary (decided by the concerned DDG); one ADG from related discipline as Member.
4. Annual presentations of the projects will be made before the Advisory Committee for monitoring and review of physical and financial progress.
5. Advisory committee may recommend need based additional fund for projects during the review meeting.

## **Project Funding/ Review/ Monitoring**

1. Funding limit of the project proposals under Corpus Fund Head (CFH) will depend on the type of research project as mentioned in the respective project guidelines.
2. The projects after their approval and implementation will be reviewed twice a year. The Council through the concerned SMD's Committee will make close monitoring with ADG (member secretary). All the SMDs will regularly monitor and review the projects. NASF will also facilitate SMDs in monitoring and review. NASF will notify the start and closure of the projects.
3. The sanctioned projects, if found un-satisfactory for their mandated performance on the aim of project, will liable to be terminated by the committee at any time.
4. After approval of a new Project by Finance/SMD/DG, and its acceptance by the PI, the first release for the whole year will be made within 15 days from the date of issue of the authorization by the concerned SMDs. Release of funds will not follow financial year, but from date of sanction/release of funds to the next year. Revalidation of the unspent balance at the end of financial year will not be required. The grantee Institution will be expected to submit the Audit Utilization Certificate of the preceding year within one year.
5. After completion of each year of sanction, a provisional UC shall have to be submitted to the concerned SMD by the Head/ Comptroller/SFAO for further release in the next year.
6. Performance of the project will be reviewed online after every six months and next budget will be release only after satisfactory performance of project.

## **Funding of projects Modes of funding**

Corpus Fund Head (CFH) projects will be in Competitive mode. Competitive funding of research projects with a focus on problem solving for agriculture will be awarded in the priority areas selected through a wide discussion. Research related to proof of principle and integration of results obtained from basic & strategic research for providing innovative and advanced technology solutions (not routine ones) with relevance cutting across sectors and locations or

difficult sectorial problems begging solutions for long will also be supported.

Scientists from all research institutions with proven capabilities, universities and private sectors located in India and recognized by government(s) will be eligible to participate.

For the project proposals approved by the Council, the concerned SMD will issue the sanction letters in a prescribed format after receiving the duly signed full project documents and the project proposals from their competent authorities. A 'Letter of Agreement' (MOU wherever applicable) will be signed by the funded centres before the sanction letter is issued. The sanction letter and 'Letter of Agreement' will also have clear-cut provisions of sharing IP on the basis of IPR Policy/ guidelines of ICAR.

### **Project implementation**

#### **Definition:**

The institution to which the lead scientist of the whole project belongs will be known as the Lead Centre and the other institutions which participate in the project will be known as Cooperating Centers. Collectively all these centers will be called as the Implementing Centers. The lead scientist of the Lead Centre of the project will be designated as the Principal Investigator (PI) of the project and the lead scientist of each of the Cooperating Centers will be designated as the Cooperating Centre Principal investigator (CCPI). Other scientists participating in the project whether in the lead center or the cooperating center will be designated as the Co-Principal Investigators (Co-PI).

#### **Responsibilities:**

The Lead Centre and the Principal Investigator (PI) will have the overall responsibility of implementing the project. Each Cooperating Centre Principal Investigator (CCPI) and the Cooperating Centre will have the responsibility for the work assigned to the Centre under the project by the competent authority of the SMD. It is expected that the Lead and the Cooperating Centers will own the project in its true sense, during the life of the project and after the life of the project so that they uptake the results of the projects and ensure continuity.

The Heads of the Lead Centre and the Cooperating Centre(s) will ensure that the project runs in an efficient manner, provide laboratory space, salary, logistic facilities and services required for the same and monitor its progress on a regular basis.

Under no circumstances except in cases of career advancement or unforeseen reasons like ill health, will the PI or the CCPI of a project will be changed by the implementing center concerned. In the exceptional circumstances as mentioned above change in the PI/ CCPI will be made with the due approval of the concerned SMD.

The PI or any CCPI will not be absent during the duration of the project from his/her project site for more than three months (in the entire project period) without the prior approval of the Council. Any violation of this requirement will lead to the removal of the PI or the CCPI concerned from the project if a proper substitute is available or closure of the project/ project component. In the latter case the funds received by the institution of the PI or CCPI has to be refunded to ICAR with any interest to be determined by ICAR.

#### **Reporting:**

The PIs and CCPIs will timely fulfil all reporting requirements rules and procedures. They will participate in meetings and workshops whenever they are called upon to do so by the NASF.

#### **Extension:**

Time extension of the project will be highly discouraged except in circumstances the Council may consider extension of the projects to be essential.

**Rules:**

All the Centers and the scientists will follow the rules and regulations of the ICAR set for the operation of the projects sanctioned under Corpus Fund Head (CFH).

**Non-completion:**

The Lead or any Cooperating Centre shall be responsible in case the project is not completed at all or partially completed within the stipulated time (including any extension approved by the Council). The Council will fix the responsibility and will decide on any action to be taken which include the full recall of funds accepted by the responsible institution(s).

**Financial and Procurement System**

- i. The funds for a new project will be released after the sanction letter is issued.
- ii. Funds will be released by the concerned SMD directly to the project implementing institutions (Lead Centre and Cooperating Centres).
- iii. For facilitating smooth and speedy implementation of the activities envisaged under the sanctioned project, the PI and, the CCPI from each Cooperating Centre will exercise powers for executing the project to the extent of sanctioned funds of his/her respective component of the project.
- iv. The expenditure will be made only on the approved items. The amount sanctioned under each head/ subhead is the maximum budgetary limit for that item but the actual expenditure will not exceed the amount actually sanctioned/ released by the Council under the head for the period concerned. In case of public organizations, the expenditure under any head shall be made by the lead or cooperating institution in accordance with their own institutional prescribed rules/ norms. However, in cases of conducting workshops, meetings, and cost of Advisory Committee meetings norms and rules set by the Council as conveyed in the sanction letter should be followed. Any re-appropriation from one head to another is not permissible. All institutions including those belonging to the ICAR will maintain a separate ledger for the project. In case of private and non- governmental organizations the expenditure will be made in accordance with ICAR rules. In case any guidance is required in this matter, the Lead or Co-operating Institutions should take the guidance of the Finance and Accounts Officer of the ICAR institutes.
- v. Revalidation of the unspent balance at the end of financial year will not be required.
- vi. Accrual accounting system has to be followed for the funds of the project without any exception. The reporting of annual accounts will also be in accordance with the accrual accounting system.
- vii. At the end of each year from the date of sanction of the projects, a Utilization Certificate will be submitted by the designated Finance Officer/F&AO/Comptroller of the Lead and each Cooperating Centre within 15 days indicating the head wise expenditure incurred in the previous year and resultant unspent balances/savings. Only on the receipt of UC, any funds will be released for the next year, after adjusting for the savings from the previous year. Each of the Lead and the Cooperating Centre will submit the 'Audited Utilization Certificate' (AUC) for the previous financial year within six months after completion of each year of the sanction of the projects in the prescribed proforma. The Central Government/ State Government Institutes will get the certificate from the CAG/ State AG/ CAs. The Agricultural Universities will have the option to get the certificate from their statutory auditors or from a Chartered Accountant empaneled by the AG Accounts/ Audit of state governments. The cost of hiring the Chartered Accountants will be met out of the institutional charges. In case it is not

sufficient, the budget under operational cost may be used with the permission of the SMD.

- viii. Only after the receipt of the AUC, and the audited Annual Account for the previous year and the half yearly UC any funds for the second half of a year will be released.
- ix. Funds for every year will be released after the submission of UC and on the basis of demands for funds and recommendations of the PI and the ADG regarding the satisfactory achievement of research targets set for the period. The UC should be submitted head-wise duly verified by competent finance officer of the institution concerned indicating head wise closing/unused balances.
- x. The public institutions, state or Central, will follow their respective procurement procedures and rules. The private and NGO institutions, if any, will follow the Government of India/ICAR rules and procedures.
- xi. The salaries of the RAs and SRFs will be according to ICAR norms prevalent during the period of appointment. Adequate transparent and competitive procedure should be adopted for the selection of the contractual staff.
- xii. The ICAR will have no liability, whatsoever, for the SRFs and RAs or any other staff employed under the Project on contractual basis during and after expiry of the project term.
- xiii. Institutional charges will be available to the Institution concerned for meeting expenditure on overheads, institutional services, monitoring, reporting, and audit which are required by the Lead or Cooperating Centres to support the project. Expenditure under this item should be properly accounted for.

**Intellectual Property Rights with respect to the project participants:**

- i. The rights on any intellectual property shall be vested in the ICAR, who shall be the absolute and full owner.
- ii. The sharing of income from Intellectual Property Rights (IPR) from the project would be in accordance with the proportion/percentage given below:
  - (a) Share of ICAR: 60%
  - (b) Share of Project Participating Institutions: 40%. Out of this 40%, the share of major/inventing partner(s) will be 50% and the rest 50% shall be shared equally among other partner(s) if any.
- iii. The intellectual properties may be licensed against a fee (premium) which may be in a lump sum or with royalty for a fixed/defined period of time.
- iv. The intellectual properties to be licensed on exclusive basis or non-exclusive basis will be decided by the ICAR depending upon the welfare/ gains considerations or public consideration or public welfare embedded in the intellectual properties.
- v. Whereas a minimum price for the intellectual properties is to be evaluated, it may not be rigidly adhered to; and the offers made by different parties shall be given due consideration in consultation with the Empowered Committee on the basis of recommendations of ICAR. The spirit behind this should be to commercialize the intellectual properties in the best interest of the investment.
- vi. If one or more of the partners (i.e., the Lead or Cooperating Centre) of the Project is (are) interested to commercialize the intellectual properties, it may be given preference over other parties at mutually agreed terms and conditions between the interested partner and the ICAR.
- vii. The ICAR will hold the right to use the intellectual property for non-commercial purposes in public interest.

- viii. The services of the inventor(s) rendered subsequent to the transfer of intellectual property may entail earning of charges/fees etc., distribution of which will be as per the clause stated in Para 4(ii) above.
- ix. It will not be incumbent upon the ICAR to protect every Intellectual Property (IP) generated from the Project. On refusal by the ICAR to own the IP, the inventor(s) shall be free to protect it at their own cost provided ICAR has no objection to it in public interest.

### **Data Management**

The raw data, meta-data and all other forms of data generated during the project period will be submitted to NASF/ IASRI for documentation, along with the reports. The release of fund is subjected to deposition of the data along with the reports and UC/AUCs. The data will be kept in safe custody following NASF/ ICAR rules.