

Annexure - IV

TERMS & CONDITIONS OF THE GRANT

(To be signed and enclosed with concern filled proforma)

1. Approval of the Research proposal and the grant released would be for the specific project mentioned in paras I to V of this proposal and grant should be exclusively spent on the project for which it has been sanctioned within the stipulated time. The Institute is not permitted to seek or utilise funds from any other organisation (Government, Semi Government, Autonomous or Private) for this research project. Any unspent part of amount would be surrendered to the Govt. of India through an account payee demand draft drawn in favour of the "Drawing and Disbursing Officer, Department of Biotechnology, New Delhi", and carry forward of funds of the next financial year for utilization for the same project may be considered only with the specific approval of the Department of Biotechnology (DBT).
2. For permanent/semi-permanent assets acquired solely or mainly out of the grant, an audited record in the form of a register in the prescribed proforma (enclosed at **Appendix-'A'**) shall be maintained by the Institute. The term "**assets**" means (I) immovable property and (II) movable property of a capital nature, where the value exceeds Rs. 1000/- The grant will not be utilised for construction of any immovable property, Full facilities by way of accommodation, etc. for the project will be given by the Institute.
3. All the assets acquired from the grant will be the property of Govt. of India and should not without the prior sanction of the Deptt. of Biotechnology, be disposed of, or encumbered or utilised for purpose other than those for which the grant has been sanctioned.
4. At the conclusion of the project, the Govt. of India will be free to sell or otherwise dispose of assets which are the property of the Government. The Institute shall render to Govt. necessary facilities for arranging the sale / disposal of these assets. **The Government may, however, consider the request of host institutions to retain the assets created under a project for carrying out similar work for the promotion of science.**
5. The implementing Institute/PI will furnish progress report of work on the project every six months. The progress of the project will also be reviewed/monitored at least once a year by the concerned Task Force/Project Monitoring Committee, etc. In addition the DBT shall designate Scientists/Specialists to visit the Institute periodically for reviewing the progress of work and for suggesting such measures as to ensure early realisation of the objectives of the project. On completion of the

project five copies of a consolidated report of the work done on the subject would be submitted to the Department of Biotechnology.

6. The Institute is required to send to DBT a list of assets referred to at Sl. No. 2 above at the end of each financial year as well as at the time of seeking further instalments of the grant.
7. The Institute would furnish to the Deptt. of Biotechnology a Utilization Certificate (Copy enclosed at **Appendix - 'B'**) and an audited statement of expenditure (**Copy enclosed at Appendix - 'C'**) duly signed by the P.I., the Head of the Institute and the Head of the Finance wing, pertaining to the grant at the end of each financial year as well as a consolidated statement of expenditure at the end of the completion of the project.
8. A stamped receipt be sent to the Deptt. of Biotechnology on receipt of the Cheque/ Demand draft towards each release.
9. The Comptroller and Auditor-General of India at his discretion shall have the right of access to the books and accounts of the Institute for the grant received from the Government.
10. The Institute would maintain separate audited accounts for the project. If it is found expedient to keep a part or whole of the grant in a bank account earning interest, the interest thus earned should be reported to the Deptt. of Biotechnology.
11. Sale proceeds, if any, as a result of the development of the project arising directly from funds granted by the Deptt. of Biotechnology shall be reported to the Govt. of India. The Govt. of India may at its discretion allow a portion of such receipt to be retained by the Institute for its utilisation for the project activities.
12. Investigators/Institutes wishing to publish papers based on the research work done under Deptt. of Biotechnology projects should acknowledge the financial support received from the Deptt. of Biotechnology.
13. Investigators/Institutes may utilize various resources such as the Bioinformatics resources, experimental materials, reagents, cell lines, animals, etc. from the National facilities/Institutes/Centres established by this Department as per the terms of transactions followed by them. More information may be obtained about such facility from DBT websites: www.dbtindia.org / www.dbtindia.nic.in, www.btisnet.ac.in.
14. Investigators / Institutes shall follow the detailed instructions on technology transfer and Intellectual Property Rights (IPR) as given at Annexure - V. The same has the approval of the Ministry of Finance, Govt. of India vide Deptt. of Expenditure, Plan Finance II – Division Letter No. 33 (5) /PF.II/99 dated 22nd February, 2000. Any deviation from these instructions may be brought to the notice of this Department.

15. Investigators / Institutes may file patents with the help of the Biotechnology Patents Facilitating Cell (BPFC) established at DBT on priority bases. The format for filing the patents may be seen at Annexure –VI.
16. The Govt. of India (Deptt. of Biotechnology) will have the right to call for drawings, specifications and other data necessary to enable the transfer of know-how to other parties and the Institute shall supply all the needed information at the request of the Department of Biotechnology which will ensure confidentiality. The information required for commercializing Biotechnologies may be furnished to this Deptt. as per the format enclosed at Annexure – VII. More information on commercialization can be found at the website www.ebc.nic.in.
17. The Institute may not entrust the implementation of the work for which the grant is being sanctioned to another institution and to divert the grant receipts as assistance to the latter institution. However, in such situations the express permission of DBT may be obtained. In case the grantee is not in a position to execute or complete the project, it may be required to refund forthwith to the Govt. of India (Department of Biotechnology) the entire amount of grant received by it.
18. The human resources that may be engaged for the project by the Institute are not to be treated as employees of the Govt. of India and the deployment of such human resource at the time of completion or termination of project, will not be the concern/responsibility of the Govt. of India. The Organisation may make reservations for Scheduled Castes, Schedule Tribes etc. in the human resource to be engaged for the project in accordance with the instruction issued by the Govt. of India from time to time.
19. The Deptt. of Biotechnology reserves the right to terminate the grant at any stage and also to recover the amounts already paid if it is convinced that the grant has not been properly utilized or the work on the project has been suspended for any unduly long period or appropriate progress is not being made.
20. The project will become operative with effect from the date of release of the first installment for the project.
21. If the Investigator to whom a grant for a project has been sanctioned leaves the institution where the project is being implemented, he shall submit five copies of complete and detailed report of the work done by him on the project and the money spent till the date of his/her release and shall also arrange to refund the unspent balance , if any.
22. The organisation should maintain subsidiary accounts of the Govt. of India grant and furnish it to the Audit Officer as and when the recurring and non-recurring expenditure exceeds the limits of Rs. 5.00 lakhs.

Signature of Project Coordinator

(applicable only for multi-
institutional projects)

Date :

Signature of Executive Authority of Institute/

University With seal

Date :

Signature of Principal Investigator :

Date :

Signature of Co-Investigator

Date :

Signature of Co-Investigator

Date :

Appendix- A

**Assets acquired wholly or substantially out of Government grants
Register to be maintained by Grantee Institution**

Name of the Sanctioning Authority: _____

1. Sl. No. _____

2. Name of Grantee Institution _____

3. No. & Date of sanction order _____

4. Amount of the sanctioned grant _____

5. Brief purpose of the grant _____

6. Whether any condition regarding the right of ownership of Govt. in the property or other assets acquired out of the grant was incorporated in the grant –in-aid sanction order. _____

7. Particulars of assets actually credited or acquired. _____

8. Value of the assets as on _____

9. Purpose for which utilised at present _____

10. Encumbered or not _____

11. Reasons, if encumbered _____

12. Disposed of or not _____

13. Reasons and authority, if any, for disposal _____

14. Amount realised on disposal _____

15. Remarks _____

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)

Appendix-B

UTILISATION CERTIFICATE

(for the financial year ending 31st March)

(Rs. in lakhs)

1. Title of the project/scheme :
2. Name of the Organisation:
3. Principal Investigator :
4. Deptt. of Biotechnology sanction order No. & date of sanctioning the project :
5. Amount brought forward from the previous financial year quoting DBT letter No. & date in which the authority to carry forward the said amount was given :
6. Amount received from DBT during the financial year (Please give No. and dates of sanction orders showing the amounts paid) :
7. Other receipts/interest earned, if any, on the DBT grants:
8. Total amount that was available for expenditure during the financial year (Sl. nos. 5, 6 and 7) :
9. Actual expenditure (excluding commitments) incurred during the financial year (statement of expenditure is enclosed) :
10. Unspent balance refunded, if any (Please give details of cheque No. etc.)
11. Balance amount available at the end of the financial year :

12. Amount allowed to be carried forward to the next financial year vide letter No. & date:

1. Certified that the amount of Rs. _____ mentioned against col. 9 has been utilised on the project / scheme for the purpose for which it was sanctioned and that the balance of Rs.remaining unutilized at the end of the year has been surrendered to Govt. (Vide No. dated) / will be adjusted towards the grants-in-aid payable during the next year.
2. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled / are being fulfilled and that I have exercised the following checks to see that the money was actually utilised for the purpose for which it was sanctioned.

Kinds of checks exercised:

- 1.
- 2.
- 3.
- 4.
- 5.

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)

(To be Countersigned by the DBT Officer-in-charge)

Statement of Expenditure referred to in para 9 of the Utilisation Certificate

Showing grants received from the Department of Biotechnology and the expenditure incurred during the period from 1st April _____ to 31st March _____

(Rs. in lakhs)

Item	Unspent balance Carried forward from previous year	Grants received from DBT during the year	Other receipts/ interest earned if any, on the DBT grants	Total of Col. (2+3+4)	Expenditure (excluding commitments) incurred during the year	Balance (5-6)	Remark
1	2	3	4	5	6	7	8

1. Non –Recurring

- (i) Equipments

2. Recurring

- (i) Human Resource
- (ii) Consumables
- (iii) Travel
- (iv) Contingency
- (v) Overheads
(if applicable)

Total :

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)

