

**Guidelines for All India Coordinated
Research Projects**

August 2017



**Indian Council of Forestry Research and Education
Dehradun**

Guidelines for All India Coordinated Research Projects (AICRPs) of ICFRE

ICFRE has made concerted efforts in furthering the cause of forestry research resulting in significant achievements and development of a strong scientific forestry research base in the country. The research conceptualization and execution methodology as adopted by the ICFRE at present, is project based, mostly following bottom to top approach and thus supporting research proposals conceived as per the scientific understanding, interest and expertise of the researchers. Also, the project proposals are influenced by the regional mandates and emergent local research problems of the institutes under the ICFRE umbrella. This approach has contributed in laying a strong foundation for the forestry research by scientific capacity building and generation of vast knowledge base. But in spite of innumerable success stories, the societal impact is comparatively limited. The fragmented outcome and short-term vision has resulted in lack of pursuance of long-term research objectives, thus, leading to the loss of valuable germplasm, know-how, and technologies etc., generated during the course of various studies. The R&D works should provide solution to the research problems in term of a complete package, thus addressing most of the aspects through an integrated holistic approach. By adopting an incremental course correction, the research problems are required to be addressed. Therefore, a coordinated approach in mission mode on most important priority research areas is required.

All India Coordinated Research Project (AICRP) is defined as a project, where more than one research institutes and disciplines are collectively involved to implement the identified objectives together. The emphasis is on networking of resources, capabilities and core competencies of participating institutions. Such projects are also sometimes referred as Network Projects (projects having shorter duration). However, for the sake of convenience all such projects (inter-institutional and inter-disciplinary) are also to be referred as AICRP here.

GENERAL GUIDELINES:

- 1. Scope & Priority:** The priority of AICRPs would be to develop output driven multidisciplinary programs for addressing priority species or research areas based proposals of national concern, wherein subject matter specialists from multi-disciplines will join hands to achieve targeted outputs. Such programs will be highly output driven flagship ventures of ICFRE. These AICRPs will be given priority over other ICFRE funded projects in terms of funding, manpower and implementation. AICRPs will be long term programs spanning over several years (5 years and more, normally five years). Short duration AICRPs will be supported for a period of about 3 years. These AICRPs will be multidisciplinary, multi-institutional and multi-locational in nature. There shall be a well laid down procedure of entry and exit of the Institutions/ disciplines/ organization as per the envisaged action plan. The institutes involved should commit themselves fully for the phase /component of the programme in which they are involved. Proper material

transfer and IPR agreements shall be in place for executing the exit of an institute / organization.

2. **Funding arrangements:** The AICRP will either be fully /partially funded by ICFRE and /or from other funding agencies. In case of joint /collaborative funding from other agencies, the project proposal will clearly identify the components to be taken up with ICFRE funding and those with funding from other agencies.
3. **Participation of other organizations:** In case the expertise is not available with ICFRE institutes or due to geographical location or other operational difficulties, other organizations in India can also be included in the AICRPs. Participation of such organizations will be governed by signing of an agreement / MOU. The broad format for the same is provided with these guidelines.
4. **Status of standalone, inter and intra institutional Projects:**
Majority of ICFRE projects at present are stand alone projects. Institutes of ICFRE, therefore, will strive to have more of inter and intra institutional projects and reduce the number of standalone projects. ICFRE institutes, however, shall continue with limited number of small / standalone research projects to cater to emergent regional research needs or incubate new research ideas. The guidelines for these small projects are well established in the council and may require only minor course corrections from time to time, as and when required.
5. **Conceptualization of All India Coordinated Research Projects (AICRPs):** The problem of national importance proposed to be undertaken as AICRP will be identified by a Project Advisory Group (PAG) to be constituted by DG, ICFRE at ICFRE headquarters, headed by the Deputy Director General (Research) who will invite the concept notes / proposals on identified research problems / topics for AICRPs. Directors at their level can also submit concept notes for AICRPs to DDG(R) thus making it a two way communication. The PAG will short list the concept notes /proposals for developing AICRPs and will identify a subject matter specialist to be designated as National Project Coordinator (NPC) having sufficient experience of handling research projects in the relevant field and the lead institute. The constitution of PAG will be as under:
 1. DDG(R) - Chairman
 2. DDG (Ext) - Member
 3. Dir (IC) - Member
 4. Two experts nominated by DG - Members
 5. ADG (BCC) - Member
 6. ADG (RP) - Member secretary

(The composition of PAG can be changed according to the requirement as and when arise)

6. **Concept Note:** The National Project Coordinator (NPC) will prepare a concept note outlining the background, research gaps, significance, objectives, methodology and outcomes/ deliverables. The NPC will present it before the PAG and after the approval, will develop it into a detailed AICRP. The beneficiaries, stakeholders and extension

strategy of the project outcome / deliverables should be clearly identified and defined. NPC can seek seed money for formulating the project, if required.

- 7. Project Formulation:** The NPC will identify a Project Investigator (PI) in each participating institute in consultation with the PAG at ICFRE. The Principal Investigators in consultation with the NPC shall identify Co-investigators (Co-PI). This team will develop detailed project proposal including methodology, activities, outputs, expected outcomes, timelines and monitorable indicators. The NPC may convene brainstorming sessions and invite experts and the investigators of the participating institutes for formulating the project. The detailed project will be assessed and recommended by the body to be called Project Expert Group (PEG) consisting of ICFRE officials and experts, as appointed by DG ICFRE for each proposal independently. AICRPs will not be required to be presented before RAG. The NPC will present the AICRP before Research Policy Committee (RPC). After the approval of RPC, the AICRP will be recommended for funding to ICFRE / or other funding organizations. The team of NPC and PIs, while formulating the project, will ensure that similar work if being carried out elsewhere (by ICFRE or other organizations) or has already been done (by ICFRE or other organizations) is not repeated here. Backward and forward linkages will be well established in the project. The novelty and leadership that the project will provide to ICFRE, has to be well spelt out in the project with clear cut milestones and deliverables during the progress and at the end of the project. Ongoing ICFRE funded projects, if proposed by project formulating team to be subsumed in the AICRP will, be so identified in the research proposal. On approval of RPC, the ongoing ICFRE funded project will become a part of the concerned AICRP and will cease to have independent existence. The NPC will clearly mention all such projects in AICRP proposal. The information of the same will be provided to Research Advisory Group (RAG) next year. All the components of the AICRP will have direct relevance to the deliverables and will not be included in isolation in the project.
- 8. Roles and Responsibilities of AICRP Team:** National Project Coordinator will be the chief executive of the project. Principal Investigators will ensure execution of activities of the proposed project outputs and achievement of objectives allotted to their respective institutes with the assistance of identified Co-PIs and support staff. There shall be several multidisciplinary components with clear activities and deliverables. Co-PIs will be responsible for the execution of components / activities assigned to her / him by the NPC in consultation with the PI of the respective institute as per the project proposal. For the same objective / component being implemented at different institutes, among the PIs / Co-PIs, one PI / Co-PI, as identified by the NPC, will be designated as Component Coordinator (CC). The CC will be only for suggesting common protocol/methodology to NPC to be adopted by all the PIs/ Co-PIs of respective objective/ component for obtaining verifiable and reproducible results. However, the requirement of designating a CC may vary from project to project and in some cases, it may not be required at all. The composition of project team will, therefore, be based on the exact requirement of the project. CC will only be for suggesting methodologies to the NPC and will not in anyway

control any part of the project independently, except for component for which she / he is responsible. The Co-PIs of the project will prepare the quarterly progress report of their component and will submit it to PI of their institute. The PIs will submit consolidated quarterly progress reports of their institute to NPC. The NPC will prepare a consolidated half yearly progress report for submission to ICFRE and the same will be presented by her / him before PEG and RPC for monitoring. The NPC will quarterly review the progress of the concerned AICRP with the PIs. However, the NPC will be in regular touch with the PIs. The duties of NPC, PIs, Co-PIs, CC are defined below in the tabular form.

Sl. No.	Project Executing Team	Composition of Team	Responsibilities of Project Team
1	National Project Coordinator (NPC)	Chief Executive of the project and will lead the project	ICFRE will identify NPC from the lead institute who will also be one of the PI of the project. He will prepare the concept note and develop the project. Other PIs and Co-PIs will be identified by him in consultation with ICFRE. He will be responsible for formation and execution of the project, submission of reports, utilization certificates and review of the progress as provided in guidelines for the AICRP
2	Principal Investigators (PI)	One PI from each participating institutes	PIs will be identified by NPC in consultation with ICFRE. They will develop the project along with NPC. PIs will be responsible for execution of the work assigned to the institutes, preparation of the reports, utilization certificate and will coordinate among the Co-PIs of the institute.
3	Co-Principal Investigator (Co-PI)	Co-PIs can be more than one from an Institute	Co-PIs will be responsible for the execution of the work assigned to the Institute and the component in particular to him. Requirement of the Co-PIs will be as per the mandate of the project.
4	Component Coordinator (CC)	CC will be from the PIs of the project	This arrangement may be required in some of the AICRPs to help NPC in developing uniform protocols for components which are implemented in more than one institute. However, such arrangement will be at the discretion of the NPC.

9. The IPR issues and agreement / MoU requirements: The NPC and PIs will devise a mechanism of information sharing and address IPR issues in order to protect the rights

and interest of teaming scientists. Joint management of intellectual property generated from joint research/efforts, from the collaborative project shall be applicable, which shall include its protection, maintenance and the commercialization. Each team scientist shall have the right to publish the results emanating from the project component he or she is handling. However, it will be in the interest of all, that before any such publication(s) of the results of the AICRP, the teaming scientists shall ensure in consultation amongst themselves that no rights are compromised. The publications resulting from the project shall bear the names of all the team scientists handling the component of the project, unless any team scientist explicitly declines to be named. All publications / IPR emerging out of the project shall duly bear the name of the project. The IPR and technologies /processes developed will be maintained by the institute filling the IPR on behalf of the participating institutes and ICFRE. In case of any dispute, decision of the Project Expert Group will be final and will be abided by all the participants.

10. Deliverables: The project proposals are required to include targeted outputs and deliverables over the period of the project. Objectives of the projects must be linked to measurable outputs, outputs to be linked to monitorable activities and further to be linked to final one or two goals i.e. deliverables.

11. Review Committee: A Review Committee (RC) of the project comprising of the National Project Coordinator, Principal investigators (PI) of each of the institutes / collaborators shall review the progress of the project atleast once in 3 months. The progress report approved by the Chairman (NPC) of the specific meeting shall be submitted to PEG within 4 weeks of the review meeting. The meetings of the Review Committee shall be facilitated and convened by the Lead institute or as deemed fit by the concerned NPC. As far as feasible the review shall be held through video conferencing.

In the absence of the chairman (NPC) due to unavoidable reasons, the members present (PIs) in the meeting shall elect one of the members to chair the specific meeting. In the event PI is not available, the meeting will be attended by Co-PI.

The major 'Terms of Reference' of the Review Committee (RC) would be:

- To evolve suitable monitorable parameters
- Review the physical progress of the project for achievement of the monitorable parameters on quarterly basis
- Assess and advise the mid-term course change/corrections in the project required to achieve the desired objectives
- Review the utilization of funds/financial progress
- Recommend for additional release of funds, inclusion/exclusion of institutes, deletion of an activity, foreclosure of the project etc.
- Provide half yearly reports to PEG on the progress of the project

12. Roles of Directors and Group Coordinator Research (GCR) of participating institutes:

As is done for the others projects, Directors and GCRs of the institutes will continue monitoring of the components of the project that are being handled by his / her institute

in the respective AICRPs and submit an independent six monthly report to ICFRE headquarter.

13. **Monitoring of AICRP by Project Expert Group (PEG):** Headed by the DDG (R), the monitoring of AICRP will be carried out by Project Expert Group (PEG is same for recommending AICRP for approval and will also carry out monitoring) every six months. The ADG (M&E) will act as the convener and will also prepare proceedings of the meeting. The annual progress of the project will also be presented before RPC. The major activities of the PEG would be:

- To assess the monitorable parameters
- Assess the physical progress of the project
- Review the utilization of funds/financial progress
- Submit the recommendations to DG, ICFRE for additional release of funds, inclusion/exclusion of institutes, deletion of an activity, foreclosure of the project etc., if required.
- Provide annual reports to DG ICFRE / DDG(R) on the progress of the project

14. The composition of the Project Expert Group (PEG) will be as under. A minimum of 2/3 members will constitute the quorum (members at b, c and e must be present).

- | | |
|---|-------------|
| a. Deputy Director General (R), ICFRE | - Chairman |
| b. At least two Subject Matter Experts | - Members |
| c. National Projector Coordinator (NPC) | - Presenter |
| d. Assistant Director General (RP) ICFRE | - Member* |
| e. Assistant Director General (M&E) ICFRE | - Convener* |
| f. Principal Investigators (PI) | - Presenter |

*Till the formation and approval of the projects ADG (RP) will be the convener. On the initiation of implementation phase ADG (M&E) will be the convener till the completion of the project. The composition of PEG can be changed according to the requirement as and when arise.

15. **Release of funds**

After the approval of AICRP by RPC and DG ICFRE, an executive order and financial sanction shall be issued by the ICFRE Hqrs. The institute wise, head wise and year wise release of funds from ICFRE shall be made on the basis of approved project outlay. A separate lump-sum provision will be made for monitoring of AICRPs by Directorate of Research. The budget allotment for AICRPs will be made by ICFRE headquarters to respective Directors on the recommendations of NPC. The Directors will place the funds at the disposal of PIs of AICRPs under intimation to NPC. There shall be no diversion of funds assigned for AICRP at the level of the institutes without permission from ICFRE. Within the institute, the PI will make the budget available to each Co-PI as per the approved budget outlay.

ICFRE will release funds as per the phasing of expenditure provided in approved project document subject to adjustment of expenditure in previous years. The NPC will provide

details of head-wise and actual expenditure of previous years in respect of all the participating institutes duly authenticated by the accounts officers of respective institutes in the Form 19(A).

Changes in budget allotment to the participating institutes can be recommended by the NPC based on the physical progress of the works and targets achieved and financial utilization. Due process of standard budget utilization will be followed. NPC and respective institutes will maintain a separate account of expenditure for each AICRP.

- 16. Reporting:** The PIs / Investigators from the institutes shall make periodic progress and financial reports, Utilization Certificates (UCs in Form 19(A)), as outlined in the sanction to NPC under intimation to Director of the Institute. The National Project Coordinators will compile these reports and submit them to ICFRE Hqs.
- 17. Dissemination of project findings:** A workshop will be organized by the National Project Coordinator where all the concerned departments and other stakeholders in that sector would be invited to participate. The project implementing team in joint authorship with ICFRE should suitably publish the outcomes of the study. Apart from the workshop, an endeavor would be made to publish the findings in professional journals/books, News bulletins etc. Results will also be put on the website of ICFRE and other related websites.
- 18. Enclosures with the guidelines**
- Annexure - III(i): AICRP Format (Broad Format is given)
 - Annexure - III(ii): Format for Utilisation Certificate
 - Annexure - III(iii): Broad format for agreement/MoU between partners and/or funding agencies (May have to be modified according to requirement of the project)

List of Abbreviations used

ICFRE	Indian Council of Forestry Research and Education
RAG	Research Advisory Group
RPC	Research Policy Committee
AICRP	All India Coordinated Research Project
PAG	Project Advisory Group
PEG	Project Expert Group
DG	Director General
DDG(R)	Deputy Director General (Research)
ADG(M&E)	Assistant Director General (Monitoring and Evaluation)
ADG(RP)	Assistant Director General (Research Planning)
GCR	Group Coordinator Research
NPC	National Project Coordinator
PI	Principal Investigator
Co-PI	Co Principal Investigator
CC	Component Coordinator
RC	Review Committee
UC	Utilization Certificate
MOU	Memorandum of Understanding

All India Coordinated Research Project Format

Project Title

**PROJECT PROPOSAL
PREPARED BY
THE EXPERT GROUP**

**FOR
Indian Council of Forestry Research and Education,
Dehradun**

1. Preamble
2. Executive summary
3. Title of the project
4. Introduction
5. Background status (Backward linkages and status of past work linking it to the present work proposed. Any meetings held in relation to preparation of project and their recommendation. E.g. brain storming session, stakeholder's consultation, and recommendations of experts groups)
6. Objectives of the project
 The broad objectives of this research proposal are as follows. The institutional linkages are shown in **Flow Chart I**. (say 1 to 13 objectives depending on the project requirement)
 Phase I activity (duration: X years) : Objectives say 1 to 13
 (If different objectives have different time periods the same can be mentioned here, although the complete project may be of X years)
7. Current status – national
8. Current status - international
9. Premise and justification for undertaking the project
10. Novelty of the project
11. The proposed work plan including methodology (Project components)

Project Duration:

Project outlay:

(Note: The outputs of the projects should flow from the objectives of the project and vice – versa. Activities are to be planned in such a way that they lead to delivery of the outputs and are monitorable as reflected in the milestone chart below)

Output 1

Activity 1.1

Output 2

Activity 2.1

Activity 2.2

Output 3

Activity 3.1

Activity 3.2

Activity 3.3

Output 4

Activity 4.1

Output 5

Activity 5.1

Activity 5.2

Activity 5.3

Activity 5.4

Activity 5.5

Output 6

Activity 6.1

Activity 6.2

Activity 6.3

Output 7

Activity 7.1

Activity 7.2

Output 8

Activity 8.1

Activity 8.2

Output 9

Activity 9.1

Activity 9.2

Activity 9.3

Output 10

Activity 10.1

Activity 10.2

Activity 10.3

Output 11

Activity 11.1

Activity 11.2

Output 12

Activity 12.2

12. Networking of the institutions/laboratories along with their capabilities:

The networking of research institution/ industries that will be created while pursuing this programme is shown in Flow Chart 1.

13. Deliverables

Year 1

Year 2

Year 3

Year 4

Year 5

14. Milestones to be monitored (give six monthly)

Work plan for complete project period. Table here is just indicative for 2 years (milestones)

Output/activities	Year 1			Year 2		
Output 1 (Give name of output)						
Activity 1.1 (Give name of activity)	■	■	■			
Output 2						
Activity.2.1 (Give name of activity)		■	■	■	■	■
Activity 2.2		■	■	■	■	■
Output 3						
Activity 3.1		■	■	■		
Activity 3.2		■	■			
Activity 3.3		■	■	■	■	
Output 4						
Activity 4.1			■	■	■	■
Output 5						
Activity 5.1		■	■	■	■	■
Activity 5.2		■	■	■	■	■
Activity 5.3		■	■	■	■	■
Activity 5.4				■	■	■
Activity 5.5					■	■
Output 6						
Activity 6.1	■	■	■			
Activity 6.2		■	■	■		
Activity 6.3		■	■	■		
Output 7						
Activity 7.1				■	■	
Activity 7.2					■	■
Output 8						
Activity 8.1				■	■	
Activity 8.2					■	■
Output 9						
Activity 9.1					■	
Activity 9.2					■	
Activity 9.3					■	
Output 10						
Activity 10.1	■	■	■	■	■	■
Activity 10.2	■	■	■	■	■	
Activity 10.3		■	■	■		
Output 11						
Activity 11.1					■	■
Activity 11.2					■	■
Output 12						
Activity 12.1						■
Activity 12.2						■

15. Role of industry partners or stakeholder (if included in the project)

16. IPR (briefly describe the possibility of developing new IPR from this project)

17. Leadership perspective- briefly describe the global positioning of the technology and resultant leadership position and economic benefits to the country

18. Project component Co-ordinators (Examples are given here. The work of the component coordinator would be to suggest uniform methodologies for the project work to be used across the Institutes to National Project Coordinator)

(a) Component 1:

Name of the Co-ordinator along with institute Name

- (b) Component 2:
Name of the Co-ordinator along with institute Name
- (c) Component 3:
Name of the Co-ordinator along with institute Name
- (d) Component 4:
Name of the Co-ordinator along with institute Name
- (e) Component 5:
Name of the Co-ordinator along with institute Name

Institution Abbreviation Key:

Institute 1 (Inst 1)

Institute 2 (Inst 2)

Institute 3 (Inst 3)

Institute 4 (Inst 4)

Institute 4 (Inst 5)

BUDGET INSTITUTION WISE (RS IN LAKHS)

Name of the institute: Inst 1

Head of expenditure	1 st Year	2 nd Year	Total
Recurring			
Salary			
Consumables (M&S)			
Travel			
Field Research Expenses (FRE)			
Contingencies			
Non-recurring			
Equipment & Accessories			
Total			

Names of Equipments

Name of the institute: Inst 2

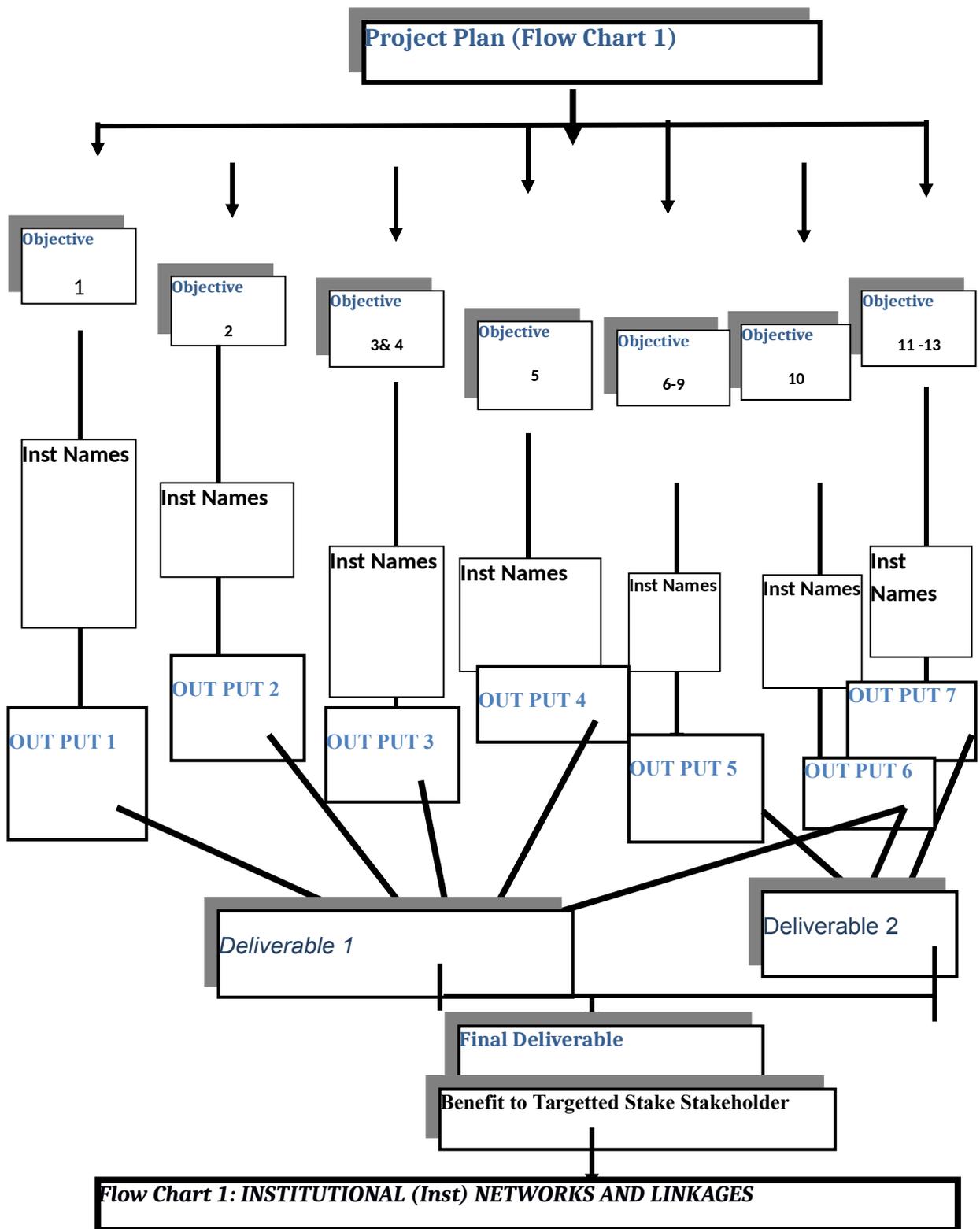
Head of expenditure	1 st Year	2 nd Year	Total
Recurring			
Salary			
Consumables			
Travel			
Field Research Expenses (FRE)			
Contingencies			
Non-recurring			
Equipment & Accessories			
Total			

Names of Equipments

Summary Budget Estimate For All Participants:

Head of expenditure	1 st Year	2 nd Year	Total
Recurring			
Salary			
Consumables			
Travel			
Field Research Expenses (FRE)			
Contingencies			
Non-recurring			
Equipment & Accessories			
Total			

References:



FORM OF UTILIZATION CERTIFICATE

Sl. No.	Letter No. and date	Amount	Certified that out of Rs. _____ of grant-in-aid sanctioned during the year _____ in favour of _____ under ICFRE Office Order No. given in the margin and Rs. _____ on account of unspent balance of the previous financial 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 ICFRE/ Government (vide no. _____ dated _____) /will be adjusted towards the grants-in-aid payable during the next year _____.
	Total		

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 utilized for the purpose for which it was sanctioned.

Kinds of checks exercised:

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

Signature	Signature	Signature
Name	Name	Name
Designation	Designation	Designation
with date	with date	with date
(Competent Financial Authority)	(Principal Investigator)	(Head of the Institute)

**UTILIZATION CERTIFICATE FOR AICRP PROJECT
FOR THE FINANCIAL YEAR ENDING 31ST MARCH 200**
(Please submit in duplicate)

- | | | |
|-----|--|--|
| 1. | Title of the Project | “ _____ ” (Order no- AICRP) |
| 2. | Name of the Institution | _____ |
| 3. | Principal Investigator(s) | _____ |
| 4. | ICFRE Office Order No. & Date and
ICFRE budget head of the
sanctioning project | _____ - AICRP
Date: _____ |
| 5. | Amount brought forward from the
previous financial year (if
applicable) quoting ICFRE letter
no. and date in which the
authority to carry forward the said
amount was given | i. Amount (Rs.) ____

ii. Letter No. & Date |
| 6. | Amount received during the
financial year | i. Amount (Rs.): _____ Lakh

ii. Letter No. & Date:
iii. _____
_____ |
| 7. | Total amount that was available
for expenditure during the above
financial year (s.no. 5+6) | Rs. _____ Lakh |
| 8. | Actual expenditure (including
commitments) incurred /
committed to be incurred during
the above financial year | Rs. |
| 9. | Balance amount available at the
end of the financial year | Rs. |
| 10. | Unspent balance refunded if any
(please give details of cheque no.
etc.) | Rs. |
| 11. | Amount requested to be carried
forward to the next financial year
(if applicable with justification) | Rs. |

UTILIZATION CERTIFICATE

1. Certified that out of Rs. _____ of grant-in-aid sanctioned and remitted during the financial year _____ in favour of _____ vide ICFRE Office Order No. _____ and Rs. _____ being the unspent balance of the previous financial year carried forward, a sum of Rs. _____ has been utilized for the purpose of the project activities for which it was sanctioned (detailed statement of expenditure enclosed) and that the balance of Rs. _____ remaining unutilized at the end of the year has been surrendered to ICFRE/ Government (vide no. _____ dated _____) /will be adjusted towards the grants-in-aid payable during the next year i.e. 200_ to 200_.

1. 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 requisite checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Signature
Name
Designation of
Principal(s) Investigator
with date

Signature
Name
Registrar/Accounts Officer
with date

Signature
Name
Head of the Institute
with date

Statement of Expenditure:

S.No.	Sanctioned Heads	Funds Allocated	Expenditure Incurred			Total Expenditure	Balance as on	Funds committed upto 31 st March	Remarks (if any)
			I Yr.	II Yr.	III Yr.				
i	ii	iii	iv		v	vi	vii	viii	ix
1.	Salaries (Manpower)								
2.	Equipment(s)								
3.	M& S(Consumables)								
4.	Travel								
5.	Forest Research Expenses (FRE)								
6.	Contingencies								
7.	Others (if any please specify)								
8.	Total								

Signature

Name

Designation of Principal Investigator

Date: _____

Note:

Signature

Name

Designation of Competent Financial Authority

Date: _____

1. Expenditure under the sanctioned heads, at any point of time, should not exceed funds allocated under that head, without prior approval.
2. The institution/ organization receiving the grant shall submit a Utilization Certificate for the period ending 31st March and 30th September by 31st May and 30th November of the year respectively. Where the second / third year grant is due the institute will also submit a provisional Utilization Certificate by first week of March for facilitating the release of funds for the subsequent years

Draft of Agreement

ANNEXURE - III(iii)

AGREEMENT

THIS agreement made and entered into on this ___ day of _____ between _____ having, its registered office at _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors and permitted assigns) and its constituent _____; _____; _____; and _____ participating as institutional partner in the project of the **first part**.

AND

_____, a society registered under the _____ and established by the Government of _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors and permitted assigns) of the **second part**.

AND

_____ an autonomous institution _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors and permitted assigns) of the **third part**.

AND

_____ University, _____ established through the _____ University Act, No. _____ having its registered office at _____, _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors and permitted assigns) of the **fourth part**.

AND

_____ University, _____ established in _____ having its registered office at _____, _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors and permitted assigns) of the **fifth part**.

AND

_____ Ltd. a Company incorporated under the companies Act _____ having its registered office at _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors, receivers and permitted assigns) of the **sixth part**.

AND

_____ Ltd. a Company incorporated under the companies Act _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors, receivers and permitted assigns) of the **seventh part**.

AND

_____ Ltd. a Company incorporated under the companies Act _____ (hereinafter called _____ which expression shall wherever the context so admits include its successors, receivers and permitted assigns) of the **eighth part**.

WHEREAS ICFRE has launched a scheme of AICRP that seeks to realize the vision of of ICFRE. The scheme envisages to support innovation centered scientific & technological developments as a vehicle to attain for the country a global leadership position at least in some selected niche areas. The scheme in a true 'Team India' spirit envisages synergistic networking of publicly funded institutions, academia as well as private industry.

WHEREAS the _____ head office in _____ is entrusted with the responsibility of implementing the scheme.

AND WHEREAS _____ through wide ranging and wide spread national consultations, followed by stringent and rigorous system of screening, expert evaluation and assessment has identified _____ as one project under AICRP. Thereafter through inputs from experts in the area, a detailed project was evolved at the national level involving above mentioned institutions and industries. The project was then scrutinized and modified wherever necessary by Task Force constituted for the specific purpose by _____.

WHEREAS _____, _____, _____ and _____ are premier research and development institutes in the field of science & technology and other related subjects and have developed, over the years expertise, facilities and capabilities in frontier research areas and have agreed to participate in the programme as participating institutions/laboratories of ICFRE.

AND WHEREAS _____, _____ are premier universities which have developed considerable knowledge base over the years in the frontier research areas including that of biotechnological intervention and have agreed to participate in the programme as "Institutional Partner".

AND WHEREAS _____, _____ are premier Research & Development institutes in the field of science & technology including plant biotechnology and have developed, over the years, expertise, facilities and capabilities in frontier research areas relating to _____, _____ and _____, have agreed to participate in the programme as 'Institutional Partners'.

AND WHEREAS _____, _____, _____ are premier Indian companies engaged in the R&D, production and marketing of _____ related products and have significant Research and Development base and have agreed to participate in the programme as 'Industrial Partners'.

AND WHEREAS the Research Policy Committee (RPC) of ICFRE has approved of the project under AICRP and financial support to the project. The support will be in the form of grant-in-aid to the institutional partners in the public domain. Now, therefore, in consideration of the premises and mutual covenants hereinafter contained, the partners here to agree as follows:

CL.1 Scope of the agreement

This agreement details (i) the modalities and the terms and conditions of the collaboration, financial arrangements, outputs of the project including intellectual property rights, (ii) responsibilities and obligations of each party (iii) role and functions and powers of the Review and Project Expert Group Committees, pertaining to the project.

CL. 2 Modalities of collaboration

The respective responsibilities of ICFRE and the participating institution & industrial partners shall be as follows:

2.2.1. Responsibilities of an institutional partner:

- i. Undertake the scientific and technological activities of the project as outlined in the project document and conform to the outputs, milestones & targets;
- ii. Maintain a separate account operated by a designated and authorized Accounts Officer of the institute under the control of the principal investigator of the project;
- iii. Submit a statement of accounts and utilization certificate of the funds of the project to ICFRE for the period ending 31st March and 30th September by 30th April and 31st October of the year respectively in the format provided by ICFRE;
- iv. Submit a quarterly Progress Report to Review Committee (as provided in clause 4) and participate in the review / monitoring meetings;
- v. Permit the Project Expert Group (as provided in clause 5), appointed by ICFRE access to the premises where this part of the project activity is being carried out and provide all the information required by the Committee;
- vi. Abide by the decision of the Project Expert Group based on assessment of the progress in the project to modify the objectives, outputs, milestones, targets, funding as also the foreclosure of any activity or subproject.
- vii. Considering that the project is made of interlinked and interdependent activities, each institution shall endeavour, as a special case wherever necessary, to simplify the system for deploying the requisite project fellows and in procuring the requisite consumables and equipment.
- viii. Accord due recognition and credit to the project staff for the work done in/for the project in their performance evaluation / assessments.
- ix. Ensure and warrant that no same collaboration/ similar project has been executed by it with any other party, National or international for the project duration & five years thereafter.

2.2 Responsibilities of industrial partner

- i. Undertake/carry out the activity of the project as outlined in the project document and conform to the outputs, milestones & targets;
- ii. Maintain a separate bank account operated by authorized persons of the company under the control of the principal investigator of the project;

- iii. Submit a statement of accounts and utilization certificate of the funds of the project to ICFRE for the period ending 31st March and 30th September by 30th April and 31st October of the year respectively in the format provided by ICFRE;
- iv. Submit a quarterly Progress Report to the Steering Committee (as provided in Clause 4) and participate in the Steering Committee meetings to review the progress of the project;
- v. Permit the Project Expert Group (as provided in Clause 5), appointed by ICFRE access to the premises where this part of the project activity is being carried out and provide all the information required by the Committee.
- vi. Abide by the decision of the Project Expert Group based on assessment of the progress in the project to modify the objectives, outputs, milestones, targets, funding, as also the foreclosure of any activity or subproject.

2.3 Responsibilities of ICFRE

- i. Provide financial support for the project as outlined in the Annexure-FS;
- ii. Facilitate, coordinate, monitor the activities of the projects for smooth functioning of the project etc;
- iii. Facilitate and ensure the holding of review meetings at least once in 3 months to review the progress of the project;
- iv. Facilitate and ensure the holding of Project Expert Group meetings at least once in 6 months to monitor the project;
- v. Facilitate the securing of IPR protection and its equitable sharing by the partners;
- vi. Take necessary steps to implement the decisions of the Project Expert Group including extension/ curtailing/ modification of outputs, milestones & targets and funding;
- vii. Appraise the progress of the project to High Powered Committee and Governing Body of ICFRE from time to time.

CL. 3 Financial arrangement

- 3.1 The total estimated cost of the project is Rs. _____ lakh. The financial support is in the form of grant-in-aid to the institutional partners in public domain. The detailed year-wise and head-wise breakup of the financial support to individual institutional as well as industry partners component is shown in the Annexure-FS. The first year support to each of the institute shall be released by ICFRE after signing of the agreement.
- 3.2 The participating institutions shall ensure that the funds of the project are utilised only for the project and as per this agreement. Without the approval of ICFRE, re-appropriation of funds from one budget head to other will not be effected by the partners.
- 3.3 The institutional partners shall immediately refund to ICFRE any funds remaining with it unutilised on foreclosure / termination (as per clause 5) / completion of the project.
- 3.4 ICFRE shall retain the right to transfer the capital assets acquired during the tenure of the project by the research institutions after completion of the project.
- 3.5 The provision of the grant to the institution or support to industry partner does not create any liability explicit/ implicit on ICFRE of the manpower engaged for the project.

CL.4 Review committee

A Review Committee (RC) of the project comprising of the National Project Coordinator / Principal investigators (PI) of each of the institutes / other collaborators shall review the progress of the project at least once in 3 months. The composition of the RC, Chairman designate (NPC) and its functioning are indicated in the Office Order (Enclosure 2). The progress report approved by the Chairman of the specific meeting shall be submitted to the Project Expert Group within 4 weeks of the meeting. The meetings of the Review Committee shall be facilitated and convened by the Nodal Institute ICFRE with Director of the Nodal Institutes as Chairman / or as designated by ICFRE.

CL.5 Monitoring of the project

A Project Expert Group Committee comprising of at least two experts in the area as indicated in the Office Order (Enclosure 2) in their personal capacity shall monitor the project for achieving the defined objectives in the time and costs projected. The terms of reference to the Project Expert Group are:

- (i) To review and examine the progress of the project in conformance with the milestones, targets and objectives set as contained in the MoU.
- (ii) To assess the global developments impacting the domain of the project
- (iii) Based on the foregoing to assess and recommend for:
 - (a) foreclosing or dropping or modification in the components of the project, within the overall approved objectives, budget and timeframe;
 - (b) including additional institutional / industrial partners, in the overall interest of the project; and
 - (c) revising the funding support to any / or all implementing parties.
- (iv) To advise on issues related to publications and securing of IPR individually or severally by the implementing parties.
- (v) Any other matter as referred to by DG, ICFRE.

The Project Expert Group shall meet at least once in six months. The meetings of the Project Expert Group shall be facilitated and convened by the ICFRE.

CL.6 Results of the project

- 6.1 The deliverables from the project are defined and included as enclosure I.
- 6.2 It is the responsibility of the individual parties to protect any intellectual property rights that may result from the project. The question of whether or not IPRs should be secured and the territory where the IPRs are to be secured shall be decided by the Project Expert Group in consultation with the involved partners. ICFRE shall facilitate in fulfilling the procedural formalities for securing and maintaining the intellectual property right/patents, and bear the expenditure involved in protecting such intellectual property.
- 6.3 The intellectual property, if any, generated in the project shall be owned by partners who have actually contributed to the generation of the intellectual property. Any disputes in regard to the actual contribution of the individual parties shall be resolved by the Project Expert Group failing which the Project Expert Group and the decision of the Project Expert Group shall be binding on all the parties. ICFRE shall facilitate the fair sharing of the IPRs.

- 6.4 No party can license or transfer their IPR from the project to any third party without the written consent from the other parties and ICFRE.
- 6.5 The industrial partners shall be offered the first right to avail/ utilise the IPR on terms and conditions to be settled by the Project Expert Group/ ICFRE which shall be final and binding to all the parties. The industrial partners shall inform to ICFRE in writing about its/their willingness to exploit the intellectual property commercially or for further development within six months time frame. In such an event the IPR shall be licensed to the industrial partners for further development/commercial exploitation on terms decided by the Project Expert Group and ICFRE. In the event the firm not informing to ICFRE its willingness within the stipulated time frame or not willing to exploit the IPR further, ICFRE is free to offer the IPR to other firms.
- 6.6 On acceptance of the offer the industrial partners shall have the exclusive right, till such period as the IP rights, to commercially exploit/conduct further research work on the Intellectual Property in the project so developed. However, in the event that the Industrial partner(s) does not take effective steps to do so as determined by ICFRE within six months of exercising the option, ICFRE shall have the right to license it to any other party(ies) on terms and conditions as it deems fit.
- 6.7 On commercial exploitation of the project output and IPR/ further research work, the industrial partner and/ or its successors/ assignees/ sub-licensees shall pay premia and/or royalty to the institutions for a period of 10 (ten) years or till such period as the IP rights are enjoyed by the industrial firm, whichever is later. The premia and /or royalty and the payment terms shall be decided by the Project Expert Group in consultations with the involved parties and ICFRE.
- 6.8 Any publications in journals, presentation in seminars in respect of the project are prohibited until such publications/presentations are cleared by the Project Expert Group and a written permission is issued by the ICFRE. These publications shall be in the name of research workers, duly acknowledged that the work has been carried out under the AICRP scheme with support from ICFRE.
- 6.9 None of the parties hereto shall file any exclusive claim for seeking intellectual property rights in its own name or in the name of its associates upon the intellectual property generated in the project unless it can be documentarily demonstrated that it has been outside of the project.

CL.7 Duration of the project

The Project duration shall be for ___ years from the date of receipt of first funds from ICFRE. It would be the endeavour of all parties to complete the project within the stipulated period. In case the Project Expert Group feel that it is desirable to undertake further developmental work on the outcome of the project which requires additional financial commitment, the concerned parties shall submit a separate project proposal for consideration under the AICRP.

CL.8 Completion

The project envisaged shall be deemed to have been successfully completed, as assessed by Project Expert Group. In case, during the tenure of the project it is found that the project or any project component is not likely to lead to successful completion, the Project Expert Group may decide to foreclose the project or the project component as warranted. The decision of the Project Expert Group is fully binding on all the participants.

CL.9 Confidentiality

- 9.1 During the tenure of the agreement and for five years after the successful commercialisation of the project, all the parties undertake on their behalf and on behalf of their employees/representatives/associates involved in the project to maintain a strict confidentiality and refrain from disclosure thereof, of all or any part of the information and data exchanged/generated from the project under this agreement for any purpose other than in accordance with this agreement.
- 9.2 The parties shall not have any obligation of confidentiality with respect to any information that;
- i. is in the public domain by use and/or publication at the time of its receipt from the disclosing party; or
 - ii. was already in its possession prior to receipt from the disclosing party; or
 - iii. is properly obtained by the recipient from the third party with a valid right to disclose such information and such third party is not under confidentiality obligation to the disclosing party;
 - iv. is required by public authority by law or decree.

Any and all information received by either party from the other upon request shall be promptly returned, however, the parties involved in the project may retain one copy of such information in their confidential files, solely for record purposes.

CL.10 Effective date, tenure & termination of the agreement

- 10.1 The agreement shall be effective from the date of signing and be valid for a period of two years thereafter.
- 10.2 The original agreement duly signed by all the partners shall remain in the custody of ICFRE and a copy of the agreement duly authenticated by ICFRE shall be provided to each partner.
- 10.3 During the tenure of the agreement, parties hereto can terminate their part of the agreement either for breach of any of the terms and conditions of the agreement or otherwise by giving a three months notice in writing.
- 10.4 In the event of termination of the agreement vide CL 10.3 the rights and obligations of the parties thereto shall be settled by mutual discussions. In case the parties fail to reach on the mutual settlement within a period of 3 months, the matter shall be referred for decision of the Project Expert Group. The decision of the Project Expert Group shall be final and binding on the parties. The financial settlement shall take into consideration not only the expenditure incurred but also the expenditure committed by the parties hereto.
- 10.5 Clause 6 of this agreement as also the agreement arrived at between the parties hereto for the utilisation of the intellectual property shall survive the termination of the agreement.

CL.11 Force majeure

Neither party shall be held responsible for non-fulfilment of their respective obligations under this agreement due to the exigency of one or more of the force majeure events such as but not limited to acts of God, War, Flood, Earthquakes, Strikes not confined to the premises of the party, Lockouts beyond the control of the party claiming *force majeure*, Epidemics, Riots, Civil Commotions etc. provided on the occurrence and cessation of any such event the party affected thereby shall give a notice in writing to the other party within

one month of such occurrence or cessation. If the force majeure conditions continue beyond six months, the parties shall jointly decide about the future course of action

CL.12 Amendments to the agreement

No Amendment or modification of this Agreement shall be valid unless the same is made in writing by all the parties or their authorized representatives and specifically stating the same to be an amendment of this Agreement. The modifications / changes shall be effective from the date on which they are made / executed unless otherwise agreed to. However, if any amendment/ modification need to be carried out between the parties and the said amendment/ modification does not in any way affect the rights/obligations of the other parties then such document be signed between those parties to whom amendment/modification applies.

In case recommendations of the Project Expert Group of the project for inclusion of additional industrial/institutional partners (as per the Clause 5.iii.b) are approved by the DG, ICFRE, a separate agreement shall be signed between ICFRE and the new industrial/institutional partner. The said agreement after signing shall be appended to the main agreement and shall be treated as part of the agreement by all the parties.

CL.13 Assignment of the agreement

The rights or/and liabilities arising to any party to this agreement shall not be assigned except with the written consent of the other parties and subject to such terms and conditions as may be agreed upon between the involved parties.

CL.14 Notices & jurisdiction

All notices and other communications required to be served on the party under the terms of this agreement shall be considered to be duly served if the same shall have been delivered by hand or posted by registered mail to the party at its last known address of business. Similarly, any notice to be given to ICFRE shall be considered as duly served if the same shall have been delivered to, left with or posted by registered mail to the ICFRE at its registered address in Dehradun.

The Courts at Dehradun shall have exclusive jurisdiction in all matters concerning this agreement including any matter arising out of the arbitration proceedings or any award made therein.

CL.15 Arbitration

Except as herein before provided any dispute arising out of this agreement or relating to its interpretation, the same shall be referred to the committee comprising of four members of Project Expert Group members. All the five members of committee shall act as the Arbitral Tribunal and the decision of the majority shall be final and binding on all the parties. The venue of the arbitration shall be at such places as may be fixed by such arbitral tribunal and the arbitration proceedings shall take place under the Indian Arbitration and Conciliation Act 1996. Each party shall bear and pay its own cost of the arbitration proceedings unless the arbitrator otherwise decides in the award (or shall be shared equally). The provision of this

clause shall not become inoperative notwithstanding this agreement expires or ceases to exist or is terminated or revoked.

SEAL of the parties

In witness whereof the parties hereto have signed this agreement on the day, month and year mentioned hereinbefore.

Parties

**For & on behalf of
_____ (First Part)**

Signature
Name
Designation
SEAL

**For & on behalf of
_____ (Third Part)**

Signature
Name
Designation

SEAL

**For & on behalf of
_____ (Fifth Part)**

Signature
Name
Designation
SEAL

**For & on behalf of
_____ (Seventh Part)**

Signature
Name
Designation
SEAL

**For & on behalf of
_____ (Second Part)**

Signature
Name
Designation
SEAL

**For & on behalf of
_____ (Fourth Part)**

Signature
Name
Designation

SEAL

**For & on behalf of
_____ (Sixth Part)**

Signature
Name
Designation
SEAL

_____ (Eighth Part)

Signature
Name
Designation
SEAL

Witness (Name and Address)

- 1.
- 2.

Date:

Annexure-FS

Project Title

**Budget for Monitoring of the project (Shall be placed with DDG(R) at ICFRE Headquarters
(Rs. in Lakh)**

Head of expenditure	1st Year	2nd Year	Total
Recurring			
Salary (Office staff)			
M & S (Consumables)			
Travel			
FRE (Field Research Expenses)			
Contingency			
Total			

Institute Name

(Rs. in Lakh)

Head of expenditure	1st Year	2nd Year	Total
Recurring			
Salary			
M & S (Consumables)			
Travel			
FRE (Field Research Expenses)			
Contingency			
Non-recurring			
Equipment & Accessories			
Total			

Institute Name

(Rs. in Lakh)

Head of expenditure	1st Year	2nd Year	Total
Recurring			
Salary			
M & S (Consumables)			
Travel			
FRE (Field Research Expenses)			
Contingency			
Non-recurring			
Equipment & Accessories			
Total			

Project Title

Objectives

Deliverables

No. _____-AICRP

Dated _____

Directorate of Research
Indian Council of Forestry Research and Education

Dehradun

OFFICE ORDER

Sub: AICRP on “ _____ ” - approval and grant or loan sanction for _____ (Name of the Institute/organization)

1. The Research Policy Committee (RPC) of ICFRE has approved of the undertaking of the project on “ _____ ” under the AICRP scheme at an estimated total cost of **Rs. _____ lakhs** for a project duration of _____ years.
2. The institutional and industrial partners in the project and their designated Principal Investigators (PI) are as follows:
3. A Review Committee (RC) of the project is constituted comprising of the National Coordinator, Principal Investigators of each of the institutional and industrial partners as in para 2 above. The Review Committee will be chaired by Director of the Nodal Institute or as designated by ICFRE. The meetings of the Review Committee will be facilitated and convened by the Director of Research ICFRE / Director of the Nodal Institutes of the ICFRE and National Coordinator will as act as convenor. In the absence of the chairman of any project the members present in the meeting shall elect one of the member (PI) to chair the specific meeting. The RC will review the progress of the project at least once in 3 months. At least 50% of the membership of the Review Committee will constitute the quorum. The progress report approved by the chairman of the meeting shall be submitted to the Project Expert Group within 4 weeks of the meeting.
4. A Project Expert Group (MC) comprising of: **(i) _____ (ii) _____; (iii) _____ and (iv) _____**. (in their personal capacity) is constituted to monitor the project for achieving the defined project objectives in the time and costs projected. The Project Expert Group will meet at least once in six months. The meetings of the Project Expert Group will be facilitated and convened by ADG (M&E), Directorate of Research of the ICFRE. The Project Expert Group is empowered to foreclose or drop the non-viable sub projects/ project components or modify the objectives within the approved budget and time as warranted. A minimum of 2/3 members will constitute the quorum.
5. Out of the total budget allocation for the project of Rs. _____ lakhs (**_____ Name of the Institute/Organizations**) is sanctioned a sum of **Rs. _____ lakhs** as grant-in-aid /loan as per details given hereunder:

Rs. In lakhs

Head of expenditure	Allocation			Total
	1 st Year	2 nd Year	3 rd Year	
Recurring				
Salary				
M&S (Consumables)				
Travel				
Forest Research Expenses (FRE)				
Contingencies				
Capital				
Equipment & Accessories				
Total				

6. The grant/loan to (____Name of the Institute/organization) is debitable to the ICFRE budget head _____.

7. The institution/ organization receiving the grant/loan will maintain a separate account of the project expenditure and shall submit a utilization certificate for the period ending 31st March and 30th September by 30th April and 31st October of the year respectively (format enclosed). ICFRE shall have the right to inspect the accounts of all the institutions/organizations pertaining to grant/loan for the project.

8. The terms and conditions as detailed in the Agreement executed by the institutions and industries with CSIR for the project shall be read together with the terms and conditions mentioned herein.

(_____)

Directorate of Research

(Name of the PI with full address)

Copy to:

1. DG,ICFRE - for information
2. IFA, ICFRE - for information
3. Directorate of Administration, ICFRE – (one copy of each to Cash and Audit Sections)
 - Cash section: with a request to raise a bill equivalent to the first year allocation.
 - Audit section: with a request to prepare a cheque for the amount equivalent to the first year allocation.
4. Concerned Institute -for information
5. Directorate of Research
6. Master File (2 copies)
7. Review Committee File
8. Project Expert Group File