

**Science & Engineering Research Board (SERB)  
Terms & Conditions of the Grant**

1. Approval of the research proposal and the grant being released is for the specific project sanctioned and should be exclusively spent on the project related activities within the stipulated time. The Institute may seek funds or in kind support from relevant industry (Government, Semi-Government, Autonomous and Private) for this research project keeping the SERB informed about the same.
2. A stamped receipt is to be sent to SERB on receipt of cheque/DD/Electronic Transfer against each release.
3. The institute will maintain separate audited accounts for the project and the amount of grant will be preferably kept in a bank account earning interest. The interest, if any, earned should be reported to the SERB while submitting the Statement of Expenditure/ Utilisation Certificate which will be treated as a credit to the Institute to be adjusted towards further instalment of grant.
4. The grant shall not be utilized for construction of any building unless specific provision is made for that purpose. The Institute authorities will be responsible for full infrastructural facilities by way of accommodation & space, water, electricity, communication etc. that are essential for smooth implementation of the project.
5. The host institute/PI shall ensure that the fund released towards the project is used exclusively and appropriately in support of the research project for which it has been sanctioned.
6. Any expenditure incurred prior to the issue of the financial sanction/approval order and after the expiry of the sanctioned duration of the project will not be admissible.
7. The Institute/ PI is expected to settle the accounts within 6 (six) months from the date of completion of the project.
8. Any un-spent balance out of the amount sanctioned must be surrendered to the SERB through a crossed Cheque/ Demand Draft payable at **New Delhi** drawn in favour of **“Fund for Science & Engineering Research”** after the duration of the project is over. **The following documents need to be sent to the SERB after the project duration is over along with the DD/ cheque for the unspent grant, if any:**
  - i) **Final Consolidated Statement of Expenditure(in duplicate) giving expenditure financial year wise (FY) from date of start till date of completion;**
  - ii) **Utilisation Certificates (FY wise) for all FYs (in duplicate) matching with Statement of Expenditure figures in that FY;**
  - iii) **Three copies of Project Completion Report (PCR) with publication list, patents filed/ likely to be filed, Doctorates from project and other manpower trained along with one softcopy of the PCR including an Executive Summary; and**
  - iv) **List of assets acquired through Capital grants.**
9. For permanent, semi-permanent assets acquired solely or mainly out of the Capital grants, an audited record in the form of a register in the prescribed format shall be maintained by the Institute. The term “Assets” includes (a) the immovable property acquired out of the grant; and (b) movable property of capital nature as mentioned in the sanction order. The Institute is required to send to the SERB a list of assets acquired from the grant.

10. All the assets acquired from the grants can be considered on the Institutional Inventory list as gifted by the SERB but should not be disposed off or encumbered without the prior sanction of SERB. However, the SERB has the discretion to allow other Investigators from the Institute to utilise the assets for projects sanctioned by the SERB or advise the Institute to transfer them to any other Institute if it is considered appropriate.
11. The Institute/ Principal Investigator (PI) will furnish Progress Report of the work on the project after attaining the following benchmark in the first 6 (six) months of project implementation:
  - i) **Appointment of manpower, providing date of appointment & qualifications.**
  - ii) **Status regarding acquisition of assets sanctioned under the project.**

**Subsequently, five copies of the progress report should be submitted in the prescribed format during the 12 - 15 months of the project implementation.**
12. In addition, the SERB may designate Scientist/ Specialist or an Expert Panel to visit the Institute periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realisation of the objectives of the project. During the implementation of the project the Institute will provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation etc. at the time of their visit.
13. At the end of each financial year (FY) and at the time of seeking further instalment of grant, the Institute/ PI has to furnish the following documents strictly as per SERB formats:
  - a) **Two copies of audited Utilization Certificate (UC) and up to date Statement of Expenditure (SE) including expenditure for the previous financial year (in original);**
  - b) **Latest authenticated Statement of Expenditure including Committed Expenditure, for expenditure since 1<sup>st</sup> April of that financial year till the previous month and their financial requirement based on expenditure trend till 30<sup>th</sup> April of the next Financial Year;**
  - c) **Technical Progress Report as mentioned above in Para 6, if not sent earlier.**
  - d) **List of Assets acquired till that Financial Year.**
14. Any unspent balance of grant of the previous FY will be deemed to be carried forward to the next FY during the currency of the project.
15. The PI is expected to attend Monitoring Meetings/Workshop to present the progress/outcome of the research project, as and when organised.
16. **The Comptroller & Auditor General of India, at his discretion, shall have the right of access to the books and accounts of the Institute maintained in respect of the grant received from the SERB.**
17. The institute will not entrust the implementation of the work for which the grant is being sanctioned to another institution nor will it divert the grant receipts to other institute as assistance. In case the Institute is not in a position to implement or complete the project, it should refund to SERB the entire grant received by it or the balance grant with it, with interest.
18. All the personnel including Research personnel appointed under the project, for the full/ part duration of the project, are to be treated as **temporary employees** and will be governed by the Administrative rules/ service conditions (for leave, TA/DA etc) of the implementing

Institute. They are not to be treated as employees of the SERB or Government of India nor permanent employees of the Institute and the SERB will have no liability, whatsoever, for the project staff after completion of the project duration.

19. For the expeditious implementation of the research project, the PI will take the assistance of the Institute in the process of selection and appointment of sanctioned research personnel/staff and payment to them. Scale and emoluments for the posts not covered under Department of Science & Technology (DST)/SERB order are governed by norms prevalent in the implementing Institution or as decided in consultation with SERB.
20. **SERB reserves the right to terminate the project at any stage if it is convinced that appropriate progress is not being made or the grant has not been properly utilized.**
21. **The project becomes operative within 30 days from the date on which the Draft/ Cheque/ Electronic Transfer is received by the implementing Institution. *If the project is not initiated within this stipulated period, the implementing institute is bound to return back the full amount with interest, if any to SERB.***
22. a) If the PI to whom a grant for a project has been sanctioned, wishes to leave the Institution where the project is based, the Institute/ PI will inform the same to SERB immediately and will ensure that the Co-PI, if any is appointed in consultation with the SERB who can take over the responsibility of project implementation. This consultation with SERB needs to be done before relieving the PI.  
  
b) In the cases where the PI leaves the institution and wants to continue the project in the new institution, the SERB allows the transfer of the project along with balance grant and the assets to the new institute provided that the notice has been given in advance, the administrative authority of both institutes agree in writing, and the project aims can be still be achieved.  
  
c) If the PI wishes to terminate the project being implemented/leave the institute without seeking transfer of the project to another institute, he/she shall inform the SERB through the Institute authorities immediately. The implementing institute will not incur any expenditure from the date of termination of the project or the date of resignation of PI. The institute will also arrange for submission of documents as mentioned in Para 8 above.  
  
d) In case of projects sanctioned under YSS-Early Career Research Award, the SERB allows transfer of the project along with assets to the new institute, if required. The project cannot be transferred to any other person/s. The initial host institute will not incur any expenditure on the project after relieving the PI, without the consent of the SERB.
23. The PI has to seek the consent of SERB if he/she intends to stay away from the implementing institute (except for field work related to the sanctioned project) for a period more than eight weeks continuously.

24. Investigators are encouraged wishing to publish technical/ scientific papers based on the research work done under the project in journals of high repute. They should formally acknowledge the assistance received from SERB with sanction number. **The PI also has the responsibility of informing the Board about any papers published from the project implementation even after the completion of the project tenure. A soft copy of the technical paper published should be sent to the SERB.**
25. If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
26. The projects identified by the SERB that have potential for generating know-how in the form of product/ process/ design etc. through patents, copyrights etc. should preferably follow their Institute guidelines for patenting/ copyright. A copy of any such application should also be sent to the SERB.
27. IPR generated through joint research projects by institution(s) and industrial concern(s) through joint efforts can be owned jointly by them as may be mutually agreed to by them through a written agreement.