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26589873, 26589414

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भारतीय आयुर्विज्ञान अनुसंधान परिषद
INDIAN COUNCIL OF MEDICAL RESEARCH
स्वास्थ्य अनुसंधान विभाग (स्वास्थ्य एवं परिवार कल्याण मंत्रालय)
DEPARTMENT OF HEALTH RESEARCH (MINISTRY OF HEALTH & FAMILY WELFARE)

वी. रामलिंगस्वामी भवन, अन्सारी नगर, पोस्ट बॉक्स 4911, नई दिल्ली-110 029
V.RAMALINGASWAMI BHAWAN, ANSARI NAGAR, POST BOX-4911, NEW DELHI-110029

No. 18/4/2013-Admn.-II

Dated: 9.4.2013.

To,

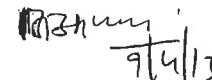
The Directors/Director-in-Charge
of all permanent Institutes/Centers
of the Council.

Subject: Conduct of business with donors and external funding agencies - regarding

Sir/Madam,

I am directed to send herewith a copy of D.O. No. INDO/FRC/442/13-IHD dated 1.4.2013 on the subject mentioned above for your information and necessary action.

Yours faithfully,


9/4/13

(Bharat Bhushan)
Administrative Officer
for Director General



सत्यमेव जयते

डॉ विश्व मोहन कटोच

एम डी, एफ एन ए एससी, एफ ए एम एस, एफ ए एससी, एफ एन ए

सचिव, भारत सरकार

(स्वास्थ्य अनुसंधान विभाग)

स्वास्थ्य एवं परिवार कल्याण मंत्रालय एवं

महानिदेशक, आई सी एम आर

Dr. Vishwa Mohan Katoch

MD, FNASC, FAMS, FASC, FNA

Secretary to the Government of India

(Department of Health Research)

Ministry of Health & Family Welfare &

Director-General, ICMR

Ho (Adm - II)

JRP
03/04/13

So (A-R)

DB
3/4/13



भारतीय आयुर्विज्ञान अनुसंधान परिषद

(स्वास्थ्य अनुसंधान विभाग)

स्वास्थ्य एवं परिवार कल्याण मंत्रालय

वी. रामलिंगस्वामी भवन, अंसारी नगर

नई दिल्ली - 110 029 (भारत)

Indian Council of Medical Research

(Department of Health Research)

Ministry of Health & Family Welfare

V. Ramalingaswami Bhawan, Ansari Nagar

New Delhi - 110 029 (INDIA)

D.O. No. INDO/FRC/442/13-IHD

Dated, the 1st April, 2013

ADG (A)
Pl. circulate.
Refer to merit page
2/4

Dear Shri Das,

This is with reference to your letter no.3/7/2009-PMU dated 26th February, 2013 regarding conduct of business with donors and external funding agencies.

As you are aware that the Department of Health Research (DHR) is a new Department created in October, 2007 and I as the first Secretary of this Department under the Ministry of Health and Family Welfare, Govt. of India has taken over it's charge in November, 2008. There are 10 business allocations of DHR, ICMR is one of them. Till now, the issue of funds from donors and external funding agencies has arisen only in case of ICMR for collaborative research purposes. I have verified the matter and have come to know that grant-in-aid from one of the donor agencies mentioned in your list which is Japan International Corporation Agency (JICA) has been received by one of the institutes of ICMR namely, National Institute of Cholera and Enteric Diseases (NICED), Kolkata for a collaborative programme entitled "The Project for Prevention of Emerging Diarrhoeal Diseases" during the period 1998 to 2008 (Phase I & II). In this case the Department of Economic Affairs (DEA) under the Ministry of Finance from the beginning itself was involved in processing and evaluation of the programme.

The research projects supported by any international funding agency are essentially placed before the Health Ministry's Screening Committee (HMSC) meetings. The HMSC under the Chairmanship of Secretary (DHR), MOHFW, Govt. of India has the responsibility for considering all the research proposals requiring foreign assistance and / or collaboration under various mechanisms for which ICMR is the Secretariat. The composition of HMSC has a representative from DEA, Ministry of Finance. At present, the Joint Secretary (MI) is the member of HMSC from DEA. The Committee meets once in three months in a calendar year and agenda papers are circulated to all the concerned departments / members including DEA, at least 2 - 3 weeks in advance. Thus there is considerable oversight on these collaborations.

Ku Shobu
R
9/4/13

2169
4/4/13

Sr. DDG (A), ICMR OFFICE

DIARY NO. 129

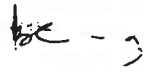
DATE: 2/21.2.13

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In order to ensure implementation and compliance of the guidelines issued by Ministry of Finance for accessing external assistance, these are being circulated by the ICMR Administration to all the institutes and centers working under ICMR network. The Department of Health Research and ICMR will take a note of these guidelines for future reference.

With kind regards

Yours sincerely,


(V.M. Katoch)

Shri Shaktikanta Das, IAS
Additional Secretary
Ministry of Finance
Department of Economic Affairs,
North Block,
New Delhi – 110 001.

Copy to:

1. Shri S.K. Rao, Joint Secretary (IC), Ministry of Health & F.W., Nirman Bhavan, New Delhi – 110011.
2. Dr. H. Nagesh Prabhu, Joint Secretary (HR), Dept. of Health Research, Ministry of Health & F.W., TB Association of India Building, No.3, Red Cross Road, New Delhi – 110001.
3. ✓ Shri T.S. Jawahar, Sr. Dy. Director General (Admn.), ICMR Hqrs, New Delhi – alongwith a copy of letter received from the Ministry of Finance for necessary circulation to all ICMR Institutes / Centres.

|| A

SHAKTIKANTA DAS, IAS
Additional Secretary



भारत सरकार
वित्त मंत्रालय
आर्थिक कार्य विभाग
नई दिल्ली-110001
Government of India
Ministry of Finance
Department of Economic Affairs
New Delhi-110001
Telephone : 23092804 Fax : 23094052
E-mail : s.das@nic.in

DG, ICMR OFFICE
DIARY NO. 839
DATE: 19/3/13

D.O.No.3/7/2009-PMU

26th February, 2013

Dear Shri Katoch

This is regarding the Government of India's views on matters of propriety relating to the conduct of business with donors and external funding agencies.

2. There is an established procedure for accessing external assistance by Government of India and the State Governments. We have brought this procedure to your notice as well as to the notice of Central administrative Ministries and the State Government from time to time. A copy each of our two earlier communications dated 4th and 9th /10th July 2001 in this regard are enclosed. Lately, we have come across a few instances wherein this procedure was not followed and the external agencies directly approached State Governments/Central Administrative Ministries for preparation of feasibility/detailed project reports and for participation in trainings/seminars.

3. You are aware that the Department of Economic Affairs (DEA) in the Ministry of Finance is the nodal Department in Government of India for dealing with external assistance. Routing of a project proposal through DEA right from its conceptual stage ensures that the external assistance flowing into the country is as per our developmental needs and priorities. The only forum to hold discussions with the Ministries of the Government of India and the State Governments with the respect to initiation of a project proposal is the DEA. It is the responsibility of DEA to facilitate and organize all necessary discussions and consultations with the concerned Central Ministries, Planning Commission and the State Governments. The mooted of a concept note on a project proposal directly to or by any Ministry or agency of a State or Central Government does not find favour with Government of India.

4. I enclose a copy of the communication dated February 26, 2013 sent to external agencies in this regard.

5. I request you to kindly have necessary instructions issued so that these normative guidelines are observed at all times while dealing with the external funding agencies.

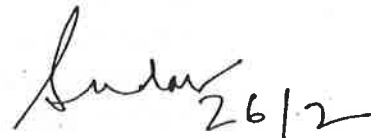
With kind regards,

Yours sincerely,

Encl: As above.

Head, ICMR /
ICMR /
18/3/13

JS (HR)


26/2
(Shaktikanta Das)

Dr Vishwa Mohan Katoch,
Secretary,
Department of Health Research,
3, Red Cross Road,
New Delhi.

Discussed with DG on 28/3/13.
Draft letter for approval please

18/3/13

PA
64/10

Dr. Adarsh Kishore
Additional Secretary
(Fund Bank, ADB, External Finance & Insurance)
Tel No: 3013183
Fax No: 3013133
E-Mail: adarsh@finance.nic.in

New Delhi, the 4th July 2001.

D.O.No.12(51)/2001-EEC(Coord.)

Dear

I am writing to apprise you of the Government of India's views on matters of propriety relating to the conduct of business with donors and external funding agencies.

2. We have been constrained to note that some External Agencies have corresponded directly with Chief Ministers and Ministers of State Governments. This practice needs to be discontinued. Communications at all times must only be addressed either to the Secretaries of the State Government or to other officers at appropriate levels. Needless to say, matters requiring the attention and the approvals to proposals at the level of political executives would be appropriately brought to their notice by the officers receiving the communication.

3. As you are well aware, it is the Department of Economic Affairs, Ministry of Finance, in the Government of India which is the political and administrative focal point for all dealings with external funding agencies. It is, therefore, necessary that external agencies must channel all policy and project proposals as also proposals for collaborative functions such as conferences, seminars, workshops etc. related to the States and the Central Ministries only through this Department. Several Central Ministries, including Planning Commission, have observed that some of the External Agencies have gone ahead and finalised project/event proposals without any reference to and consultations with the concerned administrative/line Central Ministries/Organisations. Apart from being constitutionally mandated, this requirement is also necessary in the interest of evolving a common policy and approach for similar issues in different parts of the country. Direct dealing with State governments would run the risk of differential in policy evolution and strategy besides distorting priorities for planned development in the

country leading to anomalies difficult to justify. The practice is inappropriate and not supported by the Government of India. The practice, therefore, needs to be discontinued forthwith.

4. The involvement of the DEA right from the concept stage in any proposal would ensure that all the concerned organizations/Ministries of the GOI are on board to consider the proposal and any complications at a later stage are avoided. The appropriate forum to hold policy discussions/initiation of proposals with the Ministries of the Government of India and the State Government lies in the Department of Economic Affairs. The DEA on its part would welcome, facilitate and organise all necessary discussions and initiatives in conjunction with the concerned Central Ministry, Planning Commission and the State Government.

5. Government of India are advising the Central Ministries and the State governments of this decision. Government of India also expect appreciation of the above position and cooperation from the External Agencies in this regard.

6. I will be grateful for acknowledgement of the receipt of this communication.

7. Assuring you of the highest consideration, I remain

Yours sincerely,
Sd/-
(Dr. Adarsh Kishore)

To,
The Representatives of
External Agencies

Dr. Adarsh Kishore
Additional Secretary
(Fund Bank, ADB, External Finance & Insurance)
Tel No: 3013183
Fax No: 3013133
E-Mail: adarsh@finance.nic.in

D.O.No.12(51)/2001-EEC(Coord)

New Delhi, the 9th July 2001.
10th

Dear

External Agencies have from time to time been inviting officers of the Central/State Governments to participate in various workshops/training/seminars/conferences that are held abroad. In many cases such invitations have been extended by name to particular officers which is not in keeping with the established norms of Government of India.

2. You are aware that the Department of Economic Affairs in the Ministry of Finance is the nodal Department in GOI dealing with the external aid. Approval of this Department is necessary for any officer to participate in any training/workshop/seminar/conference abroad, organized by any external agency. All communications/invitations for participation in such events must, therefore, be addressed to DEA rather than to the officers directly. Consistent with the need to have coherence of policy in regard to these matters the procedure being outlined below may be followed for securing nominations for such seminars/workshops/trainings/conferences.

(i) **Invitation to participate as a 'Resource Person' in events organized by external agencies**

- For a resource person outside of the Government, invitation may be extended directly under intimation to DEA.
- In case the resource person is already identified for the reasons of his pre eminent expertise in an area and is a government functionary, invitation may be extended to the individual through DEA and a copy may be endorsed to the individual for his information and to the State Government

concerned, in case the resource person is working with the State Government/or to the concerned Administrative Ministry, in case of an officer working with the Central Government to facilitate his seeking necessary approvals including that from DEA.

In case the resource person is expected to present a view point or make a presentation on a specific sector or project or policy of the Government, request should be sent to DEA for nominating one or more suitable officers for making such presentations. No direct invitation should be sent to any individual officer. The external agency may in its discretion, suggest names of the individuals who have excelled in the relevant field for consideration of DEA who will consult the relevant Ministries/Organisations/State governments before finalising the nomination(s).

(ii) **Invitation for participation in training/workshops/seminars/conferences organized by external agencies.**

(a) Project related training.

• All project related training proposals should originate from the concerned Project Authority through concerned Ministry/State Government specifying clearly the objective of the training, contents and names of the training agencies/institutes. These proposals should be in accordance with the provisions in the relevant project documents. DEA's prior approval is required in all such cases.

• All invitations should be sent to the DEA indicating the nature of the programme, requirements with regard to educational qualifications, experience etc. of the participants.

• If participation from a particular project(s) is desired for a sector specific seminar/workshop being organised by an external agency, the invitation must be addressed to DEA with a copy to the Central Administrative Ministry/State Government.

• In such cases after receipt of the request from the external agency, the DEA will identify suitable officers in consultation with the concerned authorities, including

Central Ministries and the State Governments. No invitation should be sent directly to any officer.

(b) Training not related to Projects.

- If the training/workshop/seminar/conference being organized is not related to any on-going or forthcoming project, the external agency may extend invitations directly under intimation to DEA if the invitee is not a government functionary.
- If the invitation is meant for Government officers, the request should be addressed to the DEA specifying the requirements of educational qualifications, job requirements, experience etc. DEA will nominate suitable officer(s) for the training in consultation with the concerned Ministry or State Governments as the case may be.
- All general training proposals may kindly be sent two to three months in advance to enable this Department to give due publicity so as to identify suitable officers for these training programmes.

3. Government of India expect fullest cooperation in this regard.

With kind regards,

Yours sincerely,
Sd/-
(Dr. Adarsh Kishore)

To,
The Representatives of
External Agencies.

D.O. No.3/7/2009-PMU

26th February, 2013

Dear

I am writing to apprise you of the Government of India's views on matters of propriety relating to the conduct of business by donors and external funding agencies.

2. There is an established procedure for accessing external assistance by Government of India and the State Governments. We have brought this procedure to your notice as well as to the notice of Central administrative Ministries and the State Governments from time to time. A copy each of our two earlier communications dated 4th and 9th/10th July, 2001 in this regard are enclosed. Lately we have come across a few instances wherein this procedure was not followed and the external agencies directly approached State Governments/Central Administrative Ministries for preparation of feasibility/detailed project reports and for participation in trainings/seminars.

3. You are aware that the Department of Economic Affairs (DEA) in the Ministry of Finance is the nodal Department in Government of India for dealing with external assistance. Routing of a project proposal through DEA right from its conceptual stage ensures that the external assistance flowing into the country is as per our developmental needs and priorities. The only forum to hold discussions with the Ministries of the Government of India and the State Governments with respect to initiation of a project proposal is the DEA. It is the responsibility of DEA to facilitate and organize all necessary discussions and consultations with the concerned Central Ministries, Planning Commission and the State Governments. The mooted of a concept note on a project proposal directly to or by any Ministry or agency of a State or Central Government does not find favour with Government of India.

4. DEA is also the nodal Department for all short-term trainings of up to 4 weeks duration organized by any External Agency apart from all project-related trainings. All communications and invitations for such trainings should, therefore, be addressed to DEA rather than to the invited officers directly.

5. Government of India is separately advising the Central Ministries and the State Governments in this regard once again. Government of India also expects appreciation of the above position and cooperation from the External Agencies in this regard.

6. I will be grateful for acknowledgement of the receipt of this communication.

7. Assuring you of the highest consideration.

Yours sincerely,

Encl: As per list enclosed.

Sd/--
26/2/2013
(Shaktikanta Das)

Details of the representatives of Donor Agencies

Sl. No.	Donor Agency	Representative
1.	JICA	Mr Shinya Ejima, Chief Representative, Japan, International Cooperation Agency (JICA), JICA India Office, 2 nd Floor, Dr Gopal Das Bhavan, 28, Barakhamba Road, New Delhi-110001
2.	DFID	Mr. Sam Sharpe, Head, DFID India British High Commission B-28, Tara Crescent Qutab Institutional Area New Delhi-110 016
3.	Germany	Mr Bernd Dunzslaff, Head of Development Cooperation, Embassy of Germany, Shantipath, New Delhi
4.	France	Ms Aude Flogny, Country Director (India), AfD, Janpath, New Delhi
5.	European Union	Mr Arno Schaefer, Minister Counsellor & Head of Operations, Delegation of European union to India, Golf Links, New Delhi
6.	ADB	Mr Hunn Kim, Country Director, India resident Mission, Asian development Bank, 4, San Martin Marg, Chankayapuri, New Delhi
7.	World Bank	Mr Onno Ruhl, Country Director (India), World Bank, 70, Lodhi Estate, New Delhi Ms Meera Mishra, Country Coordinator, 2, Poorvi Marg, Vasant Vihar, New Delhi-110057
8	Ford Foundation	Ms Kavita N. Ramdas, Country Representative Ford Foundation, 55- Lodhi Estate. New Delhi- 3
9	United States Agency for International Development (USAID)	Mr. William Hammink. Mission Director, USAID, India USAID, American Embassy New Delhi
10	International Development Research Centre (IDRC)	Dr. Anindya Chatterjee, Regional Director IDRC Asia Regional Office 208 Jor Bagh, New Delhi 110003
11	Canada Fund For Local Initiatives (CFLI)	Mr. Simon Cridland, Counsellor & Head, Advocacy Programme Canadian High Commission, 7/8 Shantipath, Chanakyapuri, New Delhi.