

**Biomedical Research Council  
Science and Engineering Research Council**

**GUIDELINES FOR MANAGING  
A BMRC / SERC GRANT**



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## INTRODUCTION

This document should be used as a guide for Principal Investigators (PIs) to manage their BMRC<sup>1</sup>/SERC grants. In general, PIs should take reference from and comply with the Terms and Conditions under which their BMRC/SERC grants have been awarded.

The PI should contact either BMRC or SERC if they require further clarifications.

This document is strictly confidential.

## 1 LETTER OF AWARD

1.1 Successful applicants will be informed by BMRC/SERC.

1.2 The A\*STAR letter of award includes the following:

- a. Form of Acceptance
- b. Budget Details
- c. Performance Indicators and Milestones
- d. Collaboration Guidelines
- e. Guidelines on Managing an A\*STAR Grant
- f. Terms and Conditions of A\*STAR Grant

## 2 ACCEPTANCE FORM

2.1 Thereafter, the Acceptance Form must be acknowledged by all of the following:

- a. a duly authorised officer representing the Institution,
- b. the PI and
- c. the Co-Investigators

2.2 Upon acceptance of the A\*STAR grant the PI and Host Institution are legally bound by these Terms and Conditions.

2.3 The PI or Co-Investigator(s) cannot also be the authorised officer representing the Institution. In such cases, another officer duly authorised by the management of the Institution shall approve on its behalf.

2.4 The Acceptance Form, if not submitted electronically, should be accompanied by a hardcopy cover letter issued by the person representing the institution, authorizing another relevant person to accept this grant on his behalf if the former does not sign the Acceptance Form.

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<sup>1</sup> This document is applicable to BMRC's awarded grants under the May annual grant calls in FY09 and FY10.

### 3 MATTERS TO RESOLVE BEFORE PROCEEDING WITH RESEARCH

#### Approvals from IRB and Safety Committees/ Conforming to Guidelines related to research

- 3.1 Before proceeding with research work under the A\*STAR grant, the PI is responsible for obtaining all the necessary approvals from the Institutional Review Board (IRB) and other relevant committees (e.g. Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety and Safety Committees, etc) required to conduct his research.
- 3.2 PIs should also ensure that their research protocols/methodology do not violate any human research guidelines such as those for research on eggs and embryos.
- 3.3 In instances where there are no approvals or adherence to guidelines, A\*STAR reserves the right to terminate the grant and blacklist the PI.

#### RCA

- 3.4 The PI is also responsible for putting in place Research Collaborative Agreements (RCAs) where and when applicable.

#### Start date of Research

- 3.5 The start date for Projects is as stated in the Letter of Award.
  - a. BMRC will provide PIs a choice of starting the Project on 01 Jan, 01 Apr or 01 Jul. The choice of the start date must be made known to BMRC prior to the award of the grant as this commencement date will be reflected in the Letter of Award.
  - b. All SERC Projects will start on the proposed start date as stated in the Letter of Award.

### 4 HIRING OF RESEARCH STAFF

- 4.1 Research Personnel shall be recruited within **6 months** of the project start date indicated in the Letter of Award, otherwise the offer of the grant may be withdrawn.

#### Research Assistants and Associates

- 4.2 The Host Institution/ PI shall employ or otherwise engage Research Assistants **and/or Associates** who are **Singapore citizens** and/or **Singapore Permanent Residents** to be deployed in the work under the

A\*STAR grant.

- 4.3 For BMRC grants, in the event that PI is unable to do so, PI must seek **prior approval from BMRC with proper justification and can only employ staff of other nationality if BMRC supports this request.**
- 4.4 For SERC grants, in the event that PI is unable to do so, PI must seek **prior approval from either their Programme Director/Manager (PM) or Office of Research (ORE) with proper justification and can only employ staff of other nationality if their PM or ORE supports this request. In the event that the request is above the approving authority limit of the PM and ORE, approval from SERC will be required.**

### Research Fellows

- 4.5 For Research Fellows, the Institutions shall use reasonable efforts to employ or otherwise engage **Singapore citizens** and/or **Singapore Permanent Residents.**

## 5 DISBURSEMENTS OF FUNDS

- 5.1 Funds are drawn down based on projection for current quarter, not on reimbursement basis.
- 5.2 Funds will be disbursed upon requisition submitted by the PI. The requisition should be submitted at the beginning of each quarter after the start date of the project. The approved funds will be disbursed directly to the Host Institutions and Partner Institutions (if applicable).
- 5.3 **Note that the first disbursement request must reach A\*STAR within 6 months of award date of the Letter of Award, otherwise the offer of the grant may be withdrawn.**
- 5.4 Funds for direct costs should be drawn down at the beginning of each quarter, based on the projected spending for the current quarter.
- 5.5 The Host Institution is responsible for administering and coordinating the use of the grant for and on behalf of the Partner Institutions. **The Host Institution and Partner Institutions shall ensure that the use of the grant comply with the Letter of Award, A\*STAR's Terms and Conditions and this set of Guidelines.**
- 5.6 The Host Institution shall collate all fund requests from all other Partner Institutions and submit a consolidated fund requisition in a timely manner.

**Equipment and OOE votes**

- 5.7 Only items specified and approved in the Letter of Award will be funded by BMRC and SERC.

**Manpower**

- 5.8 No new hires shall be supported 6 months from the original project end date.
- 5.9 Funding of research staff under the grant must comply with the prevailing Human Resource guidelines of the employing Host Institution.
- 5.10 For A\*STAR RIs, the manpower costs will cover salaries. Salary is inclusive of basic salary, CPF, bonuses (including 13th month) and benefits (flex, dental, insurance). For foreign researchers whose employment term provided for relocation costs, housing and education allowance, these items may be pro-rated and included in the manpower cost. Relocation cost may include air-passage, transit allowance and settling-in allowance.
- 5.11 Note the following points while requesting for manpower-related fund requisition:
- a. To list all staff employed under the project, including those whose employment has ended.
  - b. Add in the names of new staff to be employed during the financial year on to the manpower list (when confirmed).
  - c. Start and end date of employment refers to employment in the project in question, not by the Institution.
  - d. Fill in all columns, including the **Nationality and Country** section.
  - e. Do not omit details of previous Research Personnel that were employed under the grant.
  - f. A\*STAR reserves the right to not fund any of the following claims if prior approval has not been given. These include:
    - i. Additional headcount that has not been approved in Letter of Award
    - ii. Manpower employed that is not of a similar job title as the approved headcount provision (e.g. an RF was employed instead of an RA)
    - iii. Manpower employed that is not on A\*STAR record
    - iv. Research assistant and/or associate employed is not of Singapore nationality or Singapore PR<sup>2</sup>
    - v. The Research Fellow does not have a PhD and does not fit the

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<sup>2</sup> Effective 1<sup>st</sup> Nov 2012

criteria of a Research Assistant or Associate. This is applicable when the personnel is not a **Singapore citizen or Singapore Permanent Resident**<sup>2</sup>.

- 5.12 The PI has to provide proper justifications for the approval of all change requests to BMRC/SERC. **BMRC/SERC reserves the right to reject any claims that have resulted from project changes without prior approval from BMRC/SERC. PIs should note that retrospective variation requests for EOM, equipment and consumables will not be allowed.**
- 5.13 See checklist in **Annex 1** on the information required for submission of request for funds to A\*STAR (For grants that do not submit the requests electronically).
- 5.14 SERC shall reject variation requests made retrospectively for committed manpower by the PI that is not stated in the Letter of Award or not approved by SERC.

## **6 REQUESTS FOR VARIATION TO THE AWARDED GRANT**

- 6.1 All A\*STAR project change requests are to be made to A\*STAR either electronically or in hardcopy.
- 6.2 The PI has to provide proper justifications and A\*STAR reserves the right to reject any claims that have resulted from project changes without prior approval from A\*STAR for Manpower, Equipment, Travel and Consumables.

### **Virement between Votes**

- 6.3 A\*STAR delegates the authority for virement in grants awarded by BMRC/SERC from Dec 2009 in the following manner:
- a. The approval authority for SERC Public Sector Funding (PSF) and Bilateral grant calls shall be the Director of Research<sup>3</sup>/Principal/Executive Director<sup>4</sup> or his/her designate according to the respective approving authority nominated by SERC. In the event that the PI is also the Director of Research/Principal/Executive Director, the approval authority shall be his/her supervisor.
  - b. The approval authority for SERC Thematic Grant calls shall be the Programme Director/Manager (PD/PM) according to the respective approving authority nominated by SERC. In the event that the PI is also the PD, the approving authority shall be his/her Executive Director.
  - c. The delegation of approval authority for the virement of funds

<sup>3</sup> For grants hosted by Universities.

<sup>4</sup> For grants hosted by A\*STAR Research Institutes.

between votes is subject to a cumulative amount **not exceeding 30%** of the original grant amount of the vote to be vired into or vired from (whichever is lower). For virements above 30%, approval authority remains at BMRC/SERC.

- d. All inter-institutional virements require the prior approval of A\*STAR and acknowledgment from the Director of Research / Executive Director or equivalent for all parties involved.
- e. Only direct costs are transferrable in inter-institutional virements. Receiving party is not allowed to claim the indirect cost associated with the received vired amount.

### **Grant Extension**

- 6.4 The authority to approve an extension of up to a period of 6 months shall lie with A\*STAR.
- 6.5 Request for project extension should be made in the final year but before the last 6 months of the original completion date. Grantee must ensure sufficient funds in each vote to support the extension request. Any change requests necessary to meet the extension period must be made known as part of the extension request. Further change request after the extension approval will only be considered on exceptional basis.
- 6.6 The PI shall submit the necessary information on the request for extension to A\*STAR for approval.

### **Manpower**

- 6.7 Requests for a change in the PI must be made to BMRC for BMRC Grants and to SERC/ORE for SERC Grants and endorsed by the grant administrative office of the Host Institution. The new PI must be an expert in that area and possess the necessary expertise to continue with the research work. He should be a Co-Investigator in the project. Continuation of the project will be monitored closely by the Councils. Continued support of the project will be dependent on whether the new PI can achieve the milestones and KPIs. A change in any member must be supported by the PI and co-Is participating in the project. A\*STAR reserves the right to terminate the grant if the new PI cannot achieve the necessary outcomes.
- 6.8 For BMRC Grants, requests for changes in the category and number of research staff such as Research Fellows, Research Assistants, and Lab Technicians must have prior approval from BMRC.
- 6.9 For SERC Grants, requests for changes in the category and number of research staff such as Research Fellows and Research Assistants must have prior approval from either their Programme Director/Manager (PM) or Office

of Research (or equivalent) (ORE), in accordance with the respective approving authority nominated by SERC. In the event that the request is above the approving authority limit of PM and ORE, approval from SERC will be required.

### Equipment

- 6.10 No equipment purchase can be made within 6 months of original project end date (i.e. end date stated in LOA).
- 6.11 For BMRC grants, PI must have prior approval from BMRC to purchase additional equipment or equipment not approved under the Letter of Award. **In the event that prior approval was not obtained for the purchase of equipment not in the Letter of Award, the host institution or PI will bear the cost of equipment.**
- 6.12 For SERC grants, PI must have prior approval from Council to purchase additional equipment or equipment not approved under the Letter of Award. **In the event that prior approval was not obtained for the purchase of equipment not in the Letter of Award, the host institution or PI will bear the cost of equipment.**

### OOE

- 6.13 The full details of the non-fundable items under consumables can be found in Section 11.4. In addition, PIs requesting to claim training cost, publication costs or maintenance of equipment should ensure that these line items are approved under the Letter of Award. Otherwise, prior approval from the Councils would have to be sought with the proper justifications.

### Overseas Travel Related Expenses

- 6.14 The amount allocated in the Travel vote is as stated in the Letter of Award. **No virement of funds is allowed into this sub-vote.** Overspending will not be reimbursed. Full details of non-fundable items under overseas travel can be found in Section 11.5.



### Indirect Cost

- 6.15 Grants awarded by A\*STAR on or after 1 December 2007 to non-A\*STAR research institutes are eligible for indirect cost funding. The eligibility of the Institutions to receive this support is at the absolute discretion of A\*STAR.
- 6.16 Funds approved under indirect costs shall not be used for patent costs, commercialisation expenses, fines and penalties, and other activities not related to research.
- 6.17 A\*STAR does not directly manage indirect cost funding. PIs should refer to their Host Institutions for their policy of managing indirect cost funding.
- 6.18 For grants awarded after 1<sup>st</sup> April 2012, each equipment item with a value of more than S\$100K is exempted from any provision of indirect cost.

## 7 PUBLICATIONS/PRESENTATIONS

- 7.1 PIs should acknowledge A\*STAR's funding support in all the publications generated from the A\*STAR grant in accordance with Clause 15.4 in the Terms and Conditions.
- 7.2 PIs are required to deposit a copy of all the publications generated from the A\*STAR grant in the A\*STAR Open Access (OA) Repository or any other institutional/subject OA repository, in accordance to the A\*STAR Open Access Mandate (refer to Annex 2). Articles should be uploaded as soon as possible after they appear online and in any case no later than 12 months after the publication date<sup>5</sup>.

## 8 PROGRESS REPORTS

- 8.1 The PI is required to submit annual progress reports and soft copies of publications (for internal reference) to BMRC/SERC. The submission should be endorsed by the Co-PI (if applicable) and Co-Investigators as well as the research office or equivalent before submission to BMRC/SERC.
- 8.2 Each report must be accompanied by a copy of each publication as well as the abstracts for any presentations.
- 8.3 These reports may be reviewed by the BMRC/SERC appointed review panel in its review of the progress of the project. PIs may also be invited to make a presentation of their research findings/progress to a BMRC/SERC appointed review panel. The PI may be required to give additional information about the progress of any grant if the information submitted is deemed to be inadequate.

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<sup>5</sup> Effective for new grants starting 1 Sep 2013

- 8.4 The first SERC/BMRC yearly progress report is due on the deadline stated in the Letter of Award.
- 8.5 **Late submissions of progress reports will lead to suspension of fund disbursement or termination of the awarded grant.**

## 9 FINAL REPORT, FINAL STATEMENT OF ACCOUNT AND BLACKLISTING

### Final Report

- 9.1 All PIs are required to submit a final report in the format as required by BMRC/SERC.
- 9.2 The report must be duly endorsed by the PI, Co-PI (if applicable) and Co-Investigators as well as the research office or equivalent before submission to BMRC/SERC. Each report must be accompanied by one softcopy of each publication as well as the abstracts for any presentations.
- 9.3 The report must be **submitted within 3 months of the end date of the project**. The PI may be required to make a presentation on the completed project to a BMRC/SERC appointed review panel to ensure that the project has been completed satisfactorily.

### Final Statement of Account

- 9.4 A Final Statement of Account should be submitted by the PI. The Final Statement of Account **must be submitted within 3 months from the end date of the project**.

### Failure to submit Final Report and Final Statement of Accounts

- 9.5 PIs who fail to submit the final report and/or the final statement of accounts within this 3 month time period will be blacklisted. **Blacklisted PIs will not be eligible to submit new grant applications to A\*STAR for 1 year starting from the date on which A\*STAR determines that the PI has met all submission requirements<sup>6</sup>.**
- 9.6 All appeals for unblacklisting have to be endorsed and put up by PI's Host Institute's ORE or equivalent. All appeal decisions by A\*STAR will be final.
- 9.7 A\*STAR reserves to right to blacklist a PI judged to have violated any statutory law, be engaged in scientific misconduct or breach of ethics.

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<sup>6</sup> Effective 1<sup>st</sup> Nov 2012

**10 TERMINATION**

- 10.1 The prompt submissions of project progress and final reports will form part of the PI's track record with A\*STAR. A\*STAR reserves the right to terminate the award for any project at any time if A\*STAR deems the project unsatisfactory in progress or achievement of its stated objectives.
- 10.2 In the event that a project is terminated, the Host Institution shall submit a final statement of account with all supporting documents and a cheque to return the unutilized funds to A\*STAR within 3 months of the termination date. A\*STAR reserves the right to recover additional funds for expenditure deemed to be non-fundable by the grant. A final report should be submitted for terminated grants if funds had been drawn down from the grant

## 11 NON-FUNDABLE DIRECT COSTS

11.1 The following serves as guide on the non-fundable direct costs for an A\*STAR grant. Check with your Host Institution's office of research/finance office for further details. These items are subject to review and change from time to time by A\*STAR.

### 11.2 EOM Related Expenses

Type of Expenses	Description
General Policy	No new hires shall be supported 6 months from the original project end date.  Not allowable for Research Personnel not provided for in the approved budget with prior approval from the Council.
Overtime	Not allowable.
PI's, Co-PI's & Co-Investigators' EOM cost	Not allowable for grants awarded to non-A*STAR institutes unless specifically provided for in the grant.  A*STAR Research Institutes may only charge the portion of the EOM attributed to the effort level as stated in the LOA to the grant (if applicable).
Staff Insurance	Not allowable unless they are incurred under an established and consistently applied policy of the host institution. Host institution may be requested to certify that such payments are in accordance with its established policy or on the same terms as the other staff.
Staff Recruitment and related cost	Not allowable unless specifically provided for by A*STAR. Examples of such costs are advertisement, recruitment agency cost, employment pass application fee, etc.
Student Assistants	Not allowable unless specifically provided for in the grant and approved by the Council and is only allowable for students already residing in Singapore, and who are not receiving any stipends or awards.

Type of Expenses	Description									
Staff relocation and related cost	<p><b><u>Applicable only to A*STAR RIs for new project/programme starting 1 Jan 2014 onwards</u></b></p> <p>Only allowable for <b><u>new</u></b> foreign hires if such items are part of their employment contract. Such expenses will be prorated based on the staff's percentage time commitment to the project.</p> <p>Staff currently employed on existing programmes/ projects <b><u>will not</u></b> be able to claim relocation and related cost from the grant.</p> <p>The above is summarized in the table below:</p> <table border="1" data-bbox="520 748 1372 1323"> <thead> <tr> <th data-bbox="520 748 778 891"></th> <th data-bbox="788 748 1046 891">New Foreign Hires for new programme</th> <th data-bbox="1056 748 1372 891">Foreign Hires for existing programme/project</th> </tr> </thead> <tbody> <tr> <td data-bbox="520 891 778 1151">Staff Relocation and Settling Cost, e.g. housing allowance, home trips</td> <td data-bbox="788 891 1046 1151">Allowable if included in RI employment contract</td> <td data-bbox="1056 891 1372 1151">Not allowable</td> </tr> <tr> <td data-bbox="520 1151 778 1323">Home Trips</td> <td data-bbox="788 1151 1046 1323">Allowable if included in RI employment contract</td> <td data-bbox="1056 1151 1372 1323">Not allowable</td> </tr> </tbody> </table>		New Foreign Hires for new programme	Foreign Hires for existing programme/project	Staff Relocation and Settling Cost, e.g. housing allowance, home trips	Allowable if included in RI employment contract	Not allowable	Home Trips	Allowable if included in RI employment contract	Not allowable
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Staff Relocation and Settling Cost, e.g. housing allowance, home trips	Allowable if included in RI employment contract	Not allowable								
Home Trips	Allowable if included in RI employment contract	Not allowable								

### 11.3 Equipment Related Expenses

Type of Expenses	Description
General policy	<p>No purchase of equipment is allowed unless specifically provided for in the grant and approved by the Council.</p> <p>No purchase of equipment shall be made, including items provided for and approved by Council, within 6 months of the original project end date.</p> <p>Host Institution (HI) is responsible for ensuring that the purchase order (PO) of equipment is issued 6 months before the project end date. The HI procurement process must be strictly adhered to.</p>
Cost of capital works and general infrastructure (including the costs associated with the establishment and running of the Grant Administration Office)	Not allowable unless specifically provided for in the grant and approved by the Council.
IT equipment (including computer equipment and printers)	<p>Not allowable unless specifically provided for in the grant and approved by the Council.</p> <p>Purchase of IT equipment must be in accordance with the IT policy of the host institution.</p>
Purchase of mobile electronic devices	Not allowable unless specifically provided for in the grant and approved by the Council.
Office equipment, furniture & fittings	Not allowable unless specifically provided for in the grant and approved by the Council.

## 11.4 OOE Related Expenses

Type of Expenses	Description
General policy	Not allowable for expenses that are <b><u>not directly related</u></b> to the Research and not explicitly provided for in the LOA
Insurance premiums	<p>Not allowable. This includes insurance premiums for equipment, workmen compensation and professional indemnity of researchers funded from A*STAR grants.</p> <p>The host institution is responsible for the insurance of the equipment, relevant workmen compensation and professional indemnity insurance which are in line with the host institution's risk policies.</p> <p>However, personal travel insurance for approved overseas trips is claimable.</p>
Local & international students' fees or other stipends or awards to students	Not allowable.
Local training	Not allowable unless the training is directly required for the research or is specifically provided for in the grant and approved by the Council.
Overseas training	Not allowable unless the training is directly required for the research or is specifically provided for in the grant and approved by the Council.
Professional membership fees	Not allowable. This applies to PI and Co-investigators as well as all research staff funded from the grant.
Staff benefits	Not allowable unless costs are incurred under formally established and consistently applied policies of the host institution.
Entertainment & refreshment	Not allowable.
Staff retreat	Not allowable.

Type of Expenses	Description
Visiting professors	<p>Not allowable unless specifically provided for in the grant and approved by the Council. The visiting professor must be identified and his/her contribution to the project must be clearly defined and described in the proposal. Faculties should verify that the rates comply with the institution's standard rates.</p> <p>Visiting professor is typically a faculty member of an overseas university. Post-docs and non-research staff are generally not qualified as Visiting Professors. If in doubt, please seek Council's prior approval.</p>
Equipment usage charges	<p><u>Not allowable unless the equipment/service is part of a central/shared facility, such as animal holding units and central laboratory, and <b>specifically provided for in the grant and approved by the Council.</b></u></p> <p><u>Evidence such as service charge form must be provided to show that the charges are transparent and applied consistently to all users of the equipment.</u></p>
Equipment hand-over expenses	Not allowable unless specifically provided for in the grant and approved by the Council.
Repairs and maintenance of equipment	Not allowable unless specifically provided for in the grant and approved by the Council. The period of maintenance funded from the research grant, if approved, should be only for the duration of the project and for new equipment purchased or modified for the project.
Overhead expenses	<p>Not allowable unless specifically provided for in the grant and approved by the Council based on the nature of the research.</p> <p>This includes rental, utilities, facilities management, telephone charges, internet charges, etc.</p>
Publications	<p>Not allowable unless specifically provided for in the Grant.</p> <p>Page charges for publication of manuscript in professional journals and Article Processing Charges (APC) for publication in Open Access journals are allowable, provided that publication fee is a line item under LOA.</p> <p>Not allowable for costs of reprints and publishing in media such as books, monographs and pamphlets unless it is specifically provided for in the Grant.</p>



Type of Expenses	Description
Local Conferences	Not allowable unless specifically provided for in the Grant and approved by the Council.
Conference and seminar organisation	Not allowable unless specifically provided for in the grant and approved by the Council.
Patent application	Not allowable.  This includes patent application filing, maintenance and other related cost.
Cloud storage and internet service subscription	Not allowable unless specifically provided for in the grant and approved by the Council.
IT peripherals	Not allowable unless specifically provided for in the grant and approved by the Council. (e.g. thumbdrives, optical media, data storage devices, digital cameras and IT accessories, etc)
Software	Not allowable for consumer software (e.g. Microsoft Office, Adobe Photo- and Video- editing software, Matlab, HTML editors)  Not allowable for generic software unless specifically provided for in the grant and approved by the Council. Software licenses, if approved, should be only for the duration of the project.
Stationery and printer consumables	Not allowable unless specifically provided for in the grant and approved by the Council. This includes printing and photocopying charges.
Transportation, postage & courier services	Not allowable for general transport, postage & courier charges.  Only allowable for postage, courier and freight charges for bringing in equipment, specialised research consumables, and the submission of manuscripts and posters.  Not allowable for rental of vehicles (land/sea/air) unless specifically provided for in the grant and approved by the Council.

Type of Expenses	Description
Payments to volunteers and research patients	Not allowable unless specifically provided for in the grant and approved by the Council.
Vaccinations	Not allowable for routine health vaccinations. Only allowed when working with micro-organisms carrying infectious diseases.
Audit fees	Not allowable. This includes both internal and external audit fees.
Legal fees	Not allowable.
License fees	Not allowable (e.g. radiation licence from HSA) unless the license is required for the handling of machines funded under the grant.
Fines and penalties	Not allowable.
Professional fees (including fees to consultants)	Not allowable unless specifically provided for in the grant and approved by Council

## 11.5 Overseas Travel Related Expenses

Type of Expenses	Description
General policy	<p>Overseas travel is primarily for the promotion of research work at conferences. For other travel purpose relevant to research, please seek prior permission from Council.</p> <p>Not allowable unless specifically provided for in the grant and approved by the Council. Travel must be by <b>economy class airfare</b>; for all other travel-related claims, the host institution's policy must be consistently adhered to.</p>
Meeting overseas collaborator	Not allowable for students.
Overseas conferences	<p>The conference should be directly relevant to the research area or necessary to accomplish the project objectives. Only project team members on record are allowed.</p> <p>Not allowable for students unless they are documented PhD students who are presenting papers and working in the project.</p>

**GLOSSARY OF TERMS**

<b><i>Principal Investigator</i></b>	An individual who is the main intellectual and organisational driver of the proposed research and who has primary responsibility over the proposal. His/Her Host Institution would be the direct recipient of grant award and will abide by terms and conditions of the accepted grant.
<b><i>Co-Investigator</i></b>	An individual who participates actively in the proposed research and who will be named in the Letter of Award as a “Co-Investigator” for the Research.
<b><i>Collaborator</i></b>	<p>Any company, institution, incorporated body or other industry or academic collaborator which is not an Institution or an Investigator but is to be engaged in the Research in collaboration with the Institutions or any of them.</p> <p>For avoidance of doubt, collaborators are not entitled to receive (directly or indirectly) any portion of the Funds.</p>
<b><i>Host Institution</i></b>	Refers to the participating organisation's Office of Research/Principal's Office/Agency Headquarters.
<b><i>Award</i></b>	Approved and committed grant support by the Agency for Science, Technology and Research (A*STAR) for the duration of the project (normally not exceeding 3 years).

## ANNEX 1

**Checklist for Grant Recipients**

This checklist is to assist PIs in collating complete documents and information for submission of request of funds to A\*STAR as detailed in Section 5. (For grants that do not submit the requests electronically)

Description	Required documents to be submitted to A*STAR	Areas to check
Funds Requisition Form	<ul style="list-style-type: none"> <li>▪ Funds Requisition Form</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> All fields duly completed?</li> <li><input type="checkbox"/> Signed by PI<sup>1</sup> and Finance personnel appointed by the Host Institution?</li> </ul> <p><sup>1</sup> <i>Signatory should be the same as the LOA</i></p>
Virement of Budget	Approval memo / letter for budget virement	<ul style="list-style-type: none"> <li><input type="checkbox"/> Approved by appropriate authority?</li> </ul>
Manpower Listing	<ul style="list-style-type: none"> <li>▪ Manpower Listing</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Required details stated? <ul style="list-style-type: none"> <li>- name</li> <li>- designation</li> <li>- institution</li> <li>- start date of employment</li> <li>- end date of employment</li> <li>- nationality</li> <li>- country</li> </ul> </li> <li><input type="checkbox"/> No. of staff and their positions are as per Letter of Award / Approval letter? <ul style="list-style-type: none"> <li>○ If not, to check with PI whether approval had been obtained for headcount variation.</li> </ul> </li> </ul>
EOM	<ul style="list-style-type: none"> <li>▪ Expenditure listing</li> <li>▪ Explanation for fluctuation of EOM cost <i>(if applicable)</i></li> <li>▪ To state name of staff who incur medical check up costs.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Any fluctuations in salary, CPF and/or bonus expenses?</li> </ul>

Description	Required documents to be submitted to A*STAR	Areas to check
OOE	<ul style="list-style-type: none"> <li>▪ Expenditure listing</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adequate description of items stated in the expenditure listing?</li> <li><input type="checkbox"/> Any purchase not fundable as per the List of Non-Fundable direct costs?</li> </ul>
OOE maintenance cost	<ul style="list-style-type: none"> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Period of maintenance stated?</li> <li><input type="checkbox"/> Name of equipment stated?</li> </ul>
OOE – travel cost	<ul style="list-style-type: none"> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Travel costs incurred by PI and/or staff employed under the grant and/or students presenting paper specific to this grant project?                             <ul style="list-style-type: none"> <li>○ Clearly specified in cover letter or expenditure listing?</li> </ul> </li> <li><input type="checkbox"/> Adequate description of costs incurred, such as per-diem, airfare, accommodation etc provided?</li> <li><input type="checkbox"/> Details of conference, such as name, date, place etc provided?</li> </ul>
Equipment	<ul style="list-style-type: none"> <li>▪ To specify date of purchase for equipment that was accounted for in the last 6 months of the completion date of the project.</li> <li>▪ To attach the list of equipment purchased under the grant</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adequate description of items stated in the expenditure listing?</li> <li><input type="checkbox"/> Equipment stated in original grant proposal?</li> </ul>

**ANNEX 2****A\*STAR Open Access Mandate**

1. A\*STAR promotes and funds R&D that is mission-oriented to advance and create economic growth and develop key industry sectors. As a publicly funded agency, A\*STAR has to play a leading role for research outputs to be made available to the wider research community and the general public. Access to knowledge accelerates research and drives innovation.
2. Hence, with effect from 1<sup>st</sup> August 2013, A\*STAR will be implementing a Green (self-archiving) Open Access mandate as follows:
  - a. All peer-reviewed publications generated from A\*STAR funding (from assured and non-assured funding sources) will be made available for unrestricted online access via the “A\*STAR Open Access Repository (A\*OAR)” or any other OA repository of the researchers’ choice.
  - b. All publications must be uploaded on the A\*OAR or any OA repository as soon as possible and in any case no later than 12 months after the date that they have been published.
  - c. All institutions and researchers receiving A\*STAR funding will be responsible for complying with the A\*STAR OA mandate. A\*STAR reserves the right to conduct audits to check for non-compliance.
  - d. Researchers/Institution research administrators will be responsible for abiding by the copyright policy of the publishers and uploading the correct version of the publication. Researchers who are unable to comply with the OA mandate will be required to provide justification.