

# **Guidelines for Support to Environmental Research and Development Projects**

## **Introduction**

Directorate of Environment & Climate Change (DoECC) under the Department of Environment is established with an aim to coordinate all the environment and climate change related activities in the State. The activities comprises to create awareness for environment, climate change and conservation amidst all stakeholders of the society, research and monitoring in the field of environment and climate change, to take up State level development programmes and implement them in collaboration with appropriate agencies, etc. The research and development scheme under DoECC is for promoting studies on relevant aspects of environmental concerns in the State that could be important in formulating strategies for effective environmental management. DoECC will be the nodal agency for inviting, processing and coordinating the research projects under this scheme. The objectives of the research scheme, procedures for inviting/receipt and processing research proposals for funding, norms for funding, conditions of support and dissemination of research findings, etc are summarized as follows:

## **Vision, Mission and Objectives of R&D Scheme**

### **Vision**

Promotion of research in various facets of ecology and environment for the conservation of the environment and natural resources of the State.

### **Mission**

To plan, support and coordinate environmental research in public interest for enhancing the understanding of the environment and ecology and devising strategies and solutions for environmental protection and management.

### **Objectives**

The objectives of research support are as follows:

- To generate information and knowledge required for developing strategies, technologies and methodologies for better environmental management.
- To ascertain practical solutions to the problems of environmental management in the State.

- To develop and demonstrate the models suitable for environmental conservation, climate change adaptation and mitigation, etc at local level for adoption in the development plans of the local self governments
- To strengthen the capacity of local institutions for undertaking Environmental Research for evolution and demonstration of cost effective and energy efficient technologies for environmental management in the State.
- To generate, document, and analyze information for taking policy decisions relating to environmental concerns of the State.
- To facilitate database management at one single point in the Department.

## Research Proposals

Under this programme, **Major** (duration 24 - 36 months) and **Minor** (duration 12 - 18 months) project proposals may be considered in the following modes:

*Suo-moto Proposals*: Such proposals may be submitted by the proposer at any time of the year to the DoECC in priority areas proclaimed from time to time.

*Invited Proposals (Competitive)*: Proposals may be invited on certain priority areas by the DoECC, depending upon the need, from scientists/teachers working in Research Institutions, Universities, Govt./Govt. Aided Colleges. Selection among the proposals received will be made on the basis of technical evaluation of the proposals including research credentials of the proposed principal investigator / research team and envisaged outcome of research.

*Commissioned Proposals (Non-competitive)*: Depending upon specific needs of the Directorate or to focus research efforts on important areas of ecology and environment, DoECC may directly commission research studies to one or a network of research institutions, identified on the basis of recognized capabilities in the concerned area. The research will be assigned depending upon specific needs of State's policy making, including formulation of programs, dissemination of information and sensitizing local self governments.

## Thrust Areas of Research in Environment

The thrust areas of research will be decided from time to time after due deliberations at Government level at the time of formulation of Five Year Plan or Annual Plans. The details will be published in website/media with the invitation of proposals from competent institutions on the topics of relevance and within their capacities.

Proposed thrust areas for the year 2018 - 19 are:

- a) Research on Climate Change: Microclimate studies in climate hotspot districts of Kerala
- b) Identification and restoration of potential water resources in climate hotspot districts of Kerala.
- c) Environmental impacts of monoculture plantations
- d) Development of strategies for the ecological restoration of areas affected by linear intrusions in Kerala part of Western Ghats
- e) Restoration of degraded ecosystems: Identification of potential areas for mangrove restoration/afforestation/conservation in Kerala
- f) Developing indigenous / low cost technologies in renewable energy sector
- g) Development of strategies/technologies for prevention and/or control of pollution including waste recycling, management of hazardous substances, development of biodegradable plastics/eco-friendly alternatives and Instrumentation Development
- h) Development of biological and other interventions for pollution prevention and control
- i) Clean Technologies: Greening of products and processes.
- j) Development of technologies for low cost building construction using locally available eco friendly resources.

### **Scope and Coverage of Research Grants**

A grant for a research project is provided to the Principal Investigator through his/her concerned institution to cover the following:

- a) Fellowship/Salaries and other related charges for research fellows/associates/research consultants and supporting staff. The salaries will be paid as consolidated amounts in accordance with the orders issued by the Directorate from time to time, either in regular monthly instalments. The Principal Investigator (or any of the other investigators) who is employed and

already receives a salary will not be paid any salary or honorarium from the funds sanctioned for the project.

- b) Acquisition of equipment not available in the institution or not available for dedicated use in the Project and expendable items, laboratory supplies and expenses for other project-related activities.
- c) Hiring Services: This is meant for specialized technical work, such as sample analysis, for which the University/Institution either has no infrastructure or such services are available on payment basis. Such of the Principal Investigators who have not been given Project Fellow on a regular basis, may hire a person for technical assistance and the person so engaged must fulfil the qualifications prescribed for Project Fellow. He/she may be paid remuneration at par with the Project Fellow, limited to a maximum of 6 months in the total tenure of the project.
- d) Travel and field work. The amount allocated under the head travel/field work is to be utilized for data collection and collection of other information such as documents and visit to libraries within the general scope and sphere of the ongoing project. This should not be used for attending conferences, seminars, workshops and training courses etc. Foreign travel is strictly prohibited in this scheme.
- e) Contingency grants: The admissible contingency grant may be utilized on spares for apparatus, photostat copies and microfilms, typing, stationary, postage, telephone calls, internet, fax, computation and printing needed for the project. Expenditure towards advertisement for post of Project Fellow and the audit fee may also be claimed under contingency head.
- f) Institutional Overheads (Only for Institution): The host Institute will be provided additional grant to the tune of 10% – subject to a ceiling of Rs. 2.00 lakhs of the approved recurring grant as overhead cost, to provide infrastructural facilities including office support, administrative and accounting services to the PI's.
- g) Any other expenditure which is considered appropriate depending upon the requirements of a specific proposal, with approval of DoECC. The Terms and Conditions governing the Research Grants are given as Annexure I.

### **Who are Eligible**

Recognized R&D Institutions, Universities, Academic Institutions, Government Departments, reputed non-governmental organizations, private organizations –

including industry-through scientists and technologists who engaged in scientific and technology research.

Nongovernmental institutions and private organizations - including industry should have declared mandate for environmental research and development, as evident from their by-laws and should be registered under appropriate laws and should have been functioning for at least 3 years in the relevant field at the time of submission of the project.

### **Principal Investigators / Co-Investigator (s)/ Institution**

The Principal Investigator (PI) has the primary responsibility in implementing the project. The PI should have Ph.D in the subject area. If there is more than one investigator, it is necessary to ensure that the project is carried out by the project team in a cohesive manner. Periodic meetings of the team are essential for this purpose.

The PI should have more than three years of service period at the time of submission of the project. In case of PIs who would be superannuating during the duration of the project, association of an "in service" Co-Investigator should be ensured. In such cases, the Institute authorities should inform to the Directorate, well in advance, about their "no objection" for providing the infrastructural facilities to the new investigator for implementation of the project after his/her superannuation.

Having accepted the responsibility for the implementation of the project, the PI should be committed to implement the project and should have no plans to go on long leave during the project period. In case the PI leaves the project due to unforeseen circumstances, the Co-Investigator, if any could be considered as the PI subject to the approval of both PI, Co-PI, Head of the Institute and DoECC. Such a request should be sent at least 4-6 months in advance along with a detailed bio-data of the Co-Investigator.

No premature closing is allowed except those wherein the R&D Committee has recommended closing of the project due to poor progress/non-compliance of the terms of implementation. The project sanctioned for 3 years cannot be closed prematurely owing to the PI leaving the place for better opportunities. If there is no Co-Investigator, there should be an institutional mechanism to transfer the project to the next eligible person, if available or to return the funds received till date to the Directorate.

In case, the PI is shifting to another institution on new appointment/ transfer/ long term deputation, the project could be transferred to that institution with the mutual consent of both the institutions and of this Directorate. Such requests for transfer of the project should be sent well in advance and should be accompanied with 'No Objection' certificates from both the institutions and the Endorsement Certificate from the new Institution.

The PI as well as the implementing institution has the responsibility of informing the Directorate about any change in the status of the PI/ Co-Investigator including relieving them on short term deputation for a continuous period of 3 months or more. The implementing institution has an important role to play and in consultation with the Directorate should take steps to ensure successful completion of the project, before relieving the PI.

The implementing institute should provide full infrastructural facilities such as accommodation, water, electricity, library, communication facilities etc. for smooth implementation of the project.

Normally only one project will be sanctioned to a Principal Investigator at a time by the Directorate, except in the case of officials from the Directorate.

### **Project Staff**

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 of the implementing Institute. No reference on these issues should be made to the Directorate. The Directorate will have no liability, whatsoever, for the project staff after completion of the project duration.

Scale and emoluments for the posts not covered under this order are governed by norms prevalent in the implementing Institution or as may be decided by Directorate.

## **Procedure for Submission, Appraisal, Monitoring and Review of Research Proposals**

### **A) Submission of Proposals**

Six copies of research proposals may be submitted in the prescribed proforma as available in the DoECC website (Annexure II), upon invitation to the designated

office as detailed in the public advertisement, to be published as and when required.

The proposal should clearly describe the research topic, methodologies involved, and data sources.

The proposal should accompany the complete Team of Investigators, and provide their detailed resume, highlighting their academic backgrounds and publications record.

Year-wise breakup of the costs consistent with the funding norms should be described in detail. The equipments (including computers and peripherals) and instruments available with the institute and that specially required for the project should be mentioned in detail.

The project time lines, milestones, and an indication of the expected output/outcomes should be clearly depicted in the project proposal.

Salary of Principal Investigator (PI) / Co-PI will not be borne under the project except very essential research fellowships for the project period, to be filled by eligible candidates as per CSIR/UGC norms.

Proposals prepared by the Principal Investigator (PI) should be endorsed by the Administrative Head of the Institution. In case, a research proposal involves a network of research institutions, the PI would identify the Lead Investigator from each of the participating Institutions with the approval of Heads of Institution.

## **B) Preliminary Scrutiny**

Proposals received would be duly acknowledged. The proposals would be examined in the Research Division of the Directorate to determine whether or not they conform to one or more of the identified thrust areas of the Directorate. Weak, incomplete, diffused, repetitive and/or superfluous proposal(s) could be rejected at this stage.

## **C) Appraisal by R&D Committee**

Proposals received in DoECC will be assessed by the R&D Committee constituted by the Department as per GO (Rt) 55/08/Envt dated 16.06.2008 and subsequent GOs.

The Principal Investigators whose proposals found feasible and complete in all respect will be invited for making presentations before the Committee. No

TA/DA will be paid to the participants. In the absence of Principal Investigator, the project proposal will not consider further for funding.

If the Committee considers necessary, it may invite experts from the concerned field from the panel of experts maintained by the DoECC to determine the technical competence of the research team and whether the outputs from the project would be useful for addressing the thrust areas as decided by the Committee.

The committee should, inter alia, assess the following:

- a) Expected and other physical outcomes of the project
- b) Component-wise analysis of the costing of the project
- c) Cost-benefit analysis in terms of the physical outputs and environmental benefits
- d) Minimum required tenure of the project
- e) Modalities for replication of the outcomes
- f) No duplication with existing work/ongoing projects

#### **D) Approval and Sanction**

It would be the endeavour of the Directorate to complete the project appraisal cycle in three to six months from the date of receipt of invited and commissioned proposals. Based upon the recommendations of the R&D Committee, the Directorate would examine the recommended cases for approval and financial sanction as per the availability of funds under the scheme.

The PI has to submit consent letter and willingness to undertake the project with the sanctioned budget and objectives. A formal sanction order will be released on receipt of the consent letter.

After the issue of the Directorate order, administration will take steps to effect the payment. A copy of the letter regarding the issuance of first instalment will be sent to the PI and all concerned.

#### **E) Date of Commencement of Project and Duration**

The duration of the minor projects is for 12 - 18 months (1 - 1 ½ years) and that of major projects is for 24 - 36 months (2 - 3 years). Normally, maximum

duration of the project is 3 years and the same will be specified in the first sanction order.

The project becomes operative with effect from the date of sanction order or receipt of the first instalment by Draft/NEFT/RTGS transfer by the implementing Institution. This date should be intimated by the Institution authorities/ Principal Investigator to the Directorate within one month. It will, in no case be later than one month after the receipt of the first instalment by the Institute.

#### **F) Monitoring and Evaluation**

The PI through the implementing Institute will furnish to the Directorate 3 copies of the Annual Technical Progress report of the work carried out on the project.

DoECC 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 realization of the objectives of the project. The implementing Institute will provide all facilities to the visiting Scientist or the Expert Panel by way of accommodation etc. at the time of their visit.

DoECC may also conduct R&D Committee meetings periodically for keeping strict vigil on the progress of the project work by each PI. It is mandatory for all PIs who have completed one year to present the work in the Expert Committee meeting.

Final grant of a project shall be released only upon recommendation of the Committee. This also shall be based on the publications in peer-reviewed journals or indications of the scope of publications/patents based on the quantum and quality of the work accomplished.

On completion of the project, the PI through the Institute should send the following documents to the Directorate to enable us to settle the account:

- i. 5 copies of the Final Technical Report in the prescribed format.
- ii. One page abstract highlighting the outcome.
- iii. Soft copy of project completion report and abstract.
- iv. Consolidated audited statement of expenditure and utilization certificate.

- v. DD/ NEFT/RTGS transfer receipt for any unspent amount in favour of The Director, Directorate of Environment and Climate Change payable/paid at Thiruvananthapuram.
- vi. Reprints/copies of papers/patents/articles etc.

### **G) Acceptance of the Final Technical Report**

The Principal Investigator has to submit the draft of Final Technical Report (FTR) to the Directorate within 6 months after the completion of the project. The PI should make a presentation before the R&D Committee and a panel of experts appointed by DoECC. Based on the recommendation of the R&D Committee, the Directorate would undertake the final acceptance of the Final Technical Report and, thereafter, the final settlement of accounts and closure of the project would be done. No projects shall be sanctioned in future by DoECC to the PIs whose Final Project Report are graded below 7.

### **Norms of Funding**

The DoECC will provide quantum of assistance for a research project (Major and Minor) will be as under:

- a) Establishment (Pay and allowances of PI or Co-PI) : Nil
- b) Project Fellow: may be appointed with a consolidated fellowship
  - (i) NET/GATE qualified: Fellowship as per KSCSTE Norms
  - (ii) Non-NET/Non-GATE : Fellowship as per KSCSTE Norms

The person to be considered for appointment as Project Fellow must have second class master degree with a minimum of 55% marks for general category (50% in case of SC/ST/PH) or M.Phil in the subject concerned or a related subject. The candidate to be appointed as Project Fellow should be below the age of 40 years at the time of appointment. The Project Fellow should do work full time in the project and get the fellowship from one source only.

- c) Support staff (technical/non-technical, eg. Junior Technical Assistant, Technical Assistant, Field Attendant, Senior Technical Assistant, Computer/data-entry operator/field worker): 25% of the total project cost, at

the wage rates of the institution and purely temporary, but as per the norms of the institution.

- d) Equipment/Instruments including computers, softwares and peripherals necessarily required for dedicated use in the Project and are not available in the Department / Institution (non availability certificate from the Head of the Institution and essentiality certificate from PI should be attached): Not more than 40% of the cost of project. 100% competitive bidding / tender basis in accordance with host institution norms.
- e) Travel / Field Work Expenses: As per norms of the research institution (International travel will not be supported under the project).
- f) Contingency: Include consumables including stationary, operating cost of the equipments, hiring services, engaging local assistance in the field etc. Actual limited to 25% of total cost.
- g) Institutional Charges: 10% of the project cost subject to a maximum of Rs 2.00 lakh

Any deviation of these norms or relaxation should be presented before the R&D Committee for decision on merits.

### **Release of Funds**

The applicant institution will need to execute an undertaking as acceptance of the conditions for taking up the project as per the Terms and Conditions prescribed. The full text of Terms and Conditions shall be appended to the undertaking.

The grants for the project are released on the basis of yearly requirements taking note of the technical progress and expenditure incurred. The first sanction order will indicate the budgetary allocation for the duration of the project under various heads.

After receipt of the undertaking, the first instalment of funds will be released to the institution. For the projects, with the project period less than 2 years, total funds will be released in 3 instalments in the order of 40%, 40% and 20% of the total amount sanctioned for the project. If the project period is more than 2 years, yearly requirement, as approved by the Committee, will be released as first and subsequent instalments on yearly basis and last year's requirement will be treated as the last instalment.

The implementing institute should maintain a separate bank account exclusively for the project and it should be reported to DoECC and the interest accrued should be reflected in the Statement of Expenditure.

While the first instalment will be released as envisaged above, subsequent ones will be released based on appraisal of the progress and submission of details of utilization of at least 80% of the funds released. Annual Progress Report (3 copies) will be submitted as on completion of each project year. The recipient institution shall forward an audited utilization certificate and statement of expenditure (UC & SE) signed by PI and countersigned by the Head of the Institution to the effect that the grant has been utilized for the research works for which it was granted, to the Director, DoECC.

The audited Statement of expenditure and the Utilization Certificates (KFC Form 44) are to be submitted on project year basis within a period of 3 months from the completion of the project year. The institution should maintain separate audited accounts for the project.

After receiving Utilization Certificate & Statement of Expenditure, if unspent funds are available as per the U.C, the money for the subsequent years will be released after deducting the unspent amount. The request for grants should however reach the Directorate at least 2 months in advance.

Any request for release of the next instalment should be accompanied by the following documents: a) Audited Utilization Certificate (KFC Form 44) and Statement of Expenditure for the previous project year (in original) b) latest authenticated Statement of Expenditure including Committed Expenditure and interest accrued if any and a detailed Annual Progress Report.

20 per cent of the third year grant will be released only on receipt of draft final report and upon recommendation of the R&D Committee based on the publications in peer-reviewed journals or indications of the scope of publications/patents based on the quantum and quality of the work accomplished.

The unutilized portion of the grant amount at the end of the project period shall be refunded to DoECC forthwith by DD/NEFT/RTGS transfer in favour of The Director, Directorate of Environment and Climate Change. In the case of project duration exceeding one year, the amount need not be refunded at the end of first or second year as the case may be, but the amount may be carried forward as per the sanction from the Directorate.

The equipments sanctioned in the project should be procured at the earliest to avoid any cost escalation. The PI and the implementing Institute should complete all formalities in advance for placing the order.

There should not be a gap in between the project period. The project has to be done continuously and it will end on expiry of approved duration.

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 to other institute as assistance. In case the Institute is not able to implement the project, it should refund the entire grant to the Directorate or the balance grant at the earliest.

For permanent, semi-permanent or infrastructural assets acquired solely from the project grants, an audited record in the form of a register in the prescribed format shall be maintained by the Institute. The term "Assets" include (a) the immovable property acquired out of the grant; and (b) movable property of capital nature where the value exceeds Rs 10,000/-. The Institute is required to send to the Directorate list of assets acquired from the grant.

The equipments acquired by the Principal Investigator under a Major / Minor Research Project must be deposited to Research Institutions, University/ College or in the Government Department after the completion of the project which will be the institutional property. The Research Institutions, University/Colleges/Departments should make every effort to put all the equipment available in the laboratories in effective use for the future needs of the Directorate.

The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.

The DoECC reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilized or appropriate progress is not being made.

### **Extension of the duration of the project**

The extension will not be granted normally. In exceptional cases, where the work could not be completed, PI should submit request for extension in the prescribed format, 4 months before completing the tenure and the request will be placed before the next R&D Committee for recommendation and further approval of DoECC.

### **Re-appropriation of Funds**

Re-appropriation of funds within the total budget may be approved based on the recommendation of the R&D Committee. The Principal Investigator may re-appropriate maximum 20 per cent of the grant allocated under each head with the permission of Directorate. The Fellowship/Honorarium/Institutional overhead grants cannot be re-appropriated.

### **Guidelines for Publication of Results**

- a) Investigator(s) are also requested to patent/publish the outcome of the research work in leading Journals. Patents shall be filed only with the concurrence of DoECC.
- b) DoECC should be duly acknowledged for financial assistance in all the publication that has derived from the research work during or after completion of the projects.
- c) If the research results are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
- d) The Investigator(s) should not enter into collaboration with a foreign party (individual/industry) without prior approval of the DoECC.

**TERMS AND CONDITIONS FOR SANCTION OF RESEARCH PROJECTS**

1. A Project will normally be sanctioned for a maximum of three years. The grant will be disbursed to the administrative authorities of the institutions in accordance with the principles provided below. The authorities receiving the grants will be responsible for their disbursement, administration, and maintenance of accounts and submission of Utilization Certificate, Expenditure Statements and Progress Reports on time. In the case of collaborative research carried out by a network of institutions, the Coordinating Institution would be responsible for submission of the Utilization Certificate and Expenditure Statement and Progress Reports covering all the partners.
2. The approved grant should be exclusively spent on the project for which it has been sanctioned within the stipulated time period. In the project wholly sponsored by the Directorate, the grantee organization is not permitted to seek or utilize funds from any other organization (Government, semi-government, autonomous or private) for the same research project. Any unspent amount out of the grant sanctioned by the Directorate for a particular project would be required to be surrendered to DoECC. The carry forward of the unutilized amount from one to the next year for utilization for the same project would require the specific approval of the Directorate.
3. An extension of project period up to a maximum of one year may be granted to research projects in deserving cases. Any request for extension of the project should be sent by PI to DoECC at least three months before the closing date. In the case of an extension of tenure of Research Projects, the PI would provide complete justification for the same. The PI should not make any expenditure after the closing date without specific approval of the DoECC till the extension is conveyed to him. No additional funds would be sanctioned for the extension period.
4. The implementing institution and the PI have the responsibility for completion of the Project and to achieve the expected outcomes and deliverables of the Research Project. In case any Investigator (including Lead or Principal Investigator) leaves the institute on account of superannuation, unforeseen circumstances, the responsibility for the completion of the project may be entrusted to another equally qualified Investigator by the Head of the Institution with approval of the DoECC at no extra cost.

5. If the investigator leaves the institution where the project is based, he should submit 5 copies of complete and detailed report of the work done on the project till the date of his release. Prior to leaving, the Investigator shall inform the Directorate and get an approval to hand over the project to another Investigator who shall be responsible for the completion of the project and submission of the final report.
6. In case the PI is shifting to another institution due to a new appointment/transfer/long-term deputation, the project could be transferred to that institution with mutual consent of both the institutions and with the approval of the Directorate.
7. Those institutions/individual PIs which/who do not render accounts/submit physical progress reports against the released grants will be blacklisted by the Directorate after ensuring an adequate dialogue, both in speech and writing, by the Directorate with the authorities of the concerned defaulting institution/individual.
8. For permanent and semi-permanent assets acquired solely or mainly out of the grant, including books and furniture, an audited record in the form of a Register in the prescribed proforma shall be maintained by the grantee. All equipment and stores purchased out of the grant would remain with the institution concerned unless otherwise specified in the sanction. The grantee will submit the list of assets acquired under the project. The term "Assets" here means (a) immovable property and (b) movable property of a capital nature, where the value exceeds Rs 10,000/-. The grantee should make every effort to put all the equipment available in the laboratories in effective use for the future needs of the Directorate.
9. The grant should not be utilized for construction of any buildings. Full facilities by way of accommodation and infrastructure required for the project will be provided by the grantee organization. The grantee organization is required to provide a list of assets referred above to the Directorate at the end of each financial year and at the time of seeking further instalments of the grant.
10. The implementing institute should provide full infrastructural facilities such as accommodation, water, electricity, library, communication facilities etc. for smooth implementation of the project.
11. The project becomes operative with effect from the date of sanction order or receipt of the Draft/ NEFT/ RTGS transfer of first instalment by the implementing Institution. This date should be intimated by the Institution

- authorities/ Principal Investigator to the Directorate within one month. It will, in no case be later than one month after the receipt of the Draft/ NEFT/ RTGS transfer of first instalment by the Institute.
12. The grantee organization would furnish to the Directorate an audited Statement of Expenditure and Utilization Certificate in prescribed formats within thirty days from the close of each sanction year (from the date commencement of project) for the grant released during the previous financial year.
  13. The grantee organization will furnish three copies and a soft copy of yearly progress reports of the work done on the project as per proforma given in the website. The PI is required to make a presentation on the progress of work carried out in the project to the R&D committee at least once, in a given financial year.
  14. The Directorate have the right to depute empanelled Expert Peer Reviewers/Scientists/ Specialists/Finance persons of the Department to visit the grantee organization periodically for reviewing the progress of the work and for suggesting such measures as to ensure early realization of the objectives of the project. Full facilities are to be provided by the grantee organization to the visiting scientists/specialists.
  15. On termination of the project, the duly audited accounts shall be submitted and the unspent balance, if any shall be refunded to the DoECC within three calendar months of completion of the project. Full and final payment will be made only after the acceptance of all the financial certificates, audit reports and final technical reports of the project. Twenty (20) percent of the sanctioned amount will be released only on completion of all closure formalities.
  16. The grantee organization(s) has to furnish 5 copies of the Final Technical Report (FTR), including Executive Summary, along with a soft copy, to DoECC. The PI and the institutions who do not submit the FTR even six months after the end of the scheduled time period will not be funded by the Directorate in the future. The Head of the Institution (Vice-Chancellor/Registrar/Director/Principal) where the PI is located should be intimated regarding the non-submission of the FTR and the decision of Government to suspend future funding to the institution. A list of such PIs and Institutions would be circulated among all government agencies that fund research.
  17. The selection and appointment of JRFs/SRFs/ Staff for the project may be made by the Principal/Lead Investigator in accordance with the procedures of the concerned Institutions for the period not exceeding the sanctioned duration of

the project. The qualification and experience should be followed as per the CSIR/UGC guidelines.

18. Staff appointed for the research project will be subject to the administrative control and service rules as applicable at the Institute where they are appointed and DoECC / Government of Kerala will not have any commitment in any respect.
19. Investigators who wish to publish papers based on the research work done under the Project or to present such papers at conferences need to duly inform the Directorate and should acknowledge the financial support received from the Directorate. Three copies of the publications/papers shall be sent to the Directorate.
20. The amount allocated under the head travel/field work should be utilized only for data collection and visit to libraries within the general scope and sphere of the ongoing project. This should not be used for attending conferences, seminars, workshops and training courses etc. Foreign travel is strictly prohibited in this scheme.
21. In respect of particular research projects, at the time of sanction, DoECC may prescribe requirements of its prior approval before submitting the results for publication or conference presentation, papers or articles based on the Project.
22. Patents shall be filed only with the concurrence of DoECC. If the research results are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
23. The Investigator(s) should not enter into collaboration with a foreign party (individual/industry) without prior approval of the DoECC.
24. In the event, after due enquiry, of any conclusion that the progress of a research Project is highly unsatisfactory and cannot be improved, DoECC will be at liberty to terminate the Project. Upon such termination, full audited accounts and refund of all unspent balances will have to be made promptly to the Agency.
25. The Research Fellows and Investigators may pursue a research degree while working on the project. They may utilize the research outputs of the project towards their degree requirements, except in cases where the sanction would provide that the research results are classified.

26. Sharing of Intellectual Property Rights between the Government and the Institution(s) and research staff participating in the project would be specified in the sanction order based on Guidelines of the CSIR.
27. Non-Governmental Organizations seeking financial assistance for research projects shall execute a bond to be prescribed abiding by the directions of the DoECC.
28. All correspondence is to be addressed to the Director, Directorate of Environment and Climate Change, Pallimukku, Pettah P.O., Thiruvananthapuram - 695 024

Place:

Date:

Signature, name & address of investigator

Counter signed by  
The Head of the Institution

(SEAL)