

Directorate of Environment & Climate Change

The Department of Environment and Climate Change, Government of Kerala is established with an aim to protect the environment of the State. The primary concerns of the Department are implementation of policies and programmes relating to conservation of the State's natural resources, its biodiversity and the prevention and abatement of pollution. The major responsibilities includes - conduct environmental appraisal at planning level related to the development schemes of the State Government, promote and prioritize research and development on matters related to environment conservation, planning and developing schemes for the conservation of natural resources, co-ordinate with other Departments on programmes related with environment and climate change management, etc. The Department focuses on developing appropriate environment conservation plan for the State assessing by the applicability of environmental protection activities and integrating these aspects at the scientific, social and educational sectors. The Directorate of Environment and Climate Change (DoECC) is the nodal agency in the administrative structure of Environment Department for the planning, promotion, co-ordination and overseeing the implementation of Central and State policies and programmes.

SPECIFIC GUIDELINES AND CALL FOR PROJECT PROPOSALS UNDER THE PLAN SCHEMES "CLIMATE CHANGE"

Climate Change poses serious threat to our State environment and has become a vital component for development planning in recent decades. The Environment Department is the nodal agency for coordinating activities related to climate change in the state. The 'State Action Plan on Climate Change '(SAPCC) has been revised based on the Common framework of MoEF&CC through series of consultative processes in 2022. The "Climate Change" scheme is for the purpose of carrying out **specific and in depth activities/programmes** paying special attention to cost evaluation **in relation to climate change adaptation/mitigation measures** with the technical support of Research and Development Centres. Academic Institutions and **implementable action plans on relevant subjects/areas/fields with particular relevance to the State of Kerala.**

AREAS/TOPICS FOR SUBMITTING THE PROJECT PROPOSALS

Under this Programme, proposals may be considered only for the topics given below.

- High resolution regional climate downscaling of precipitation and temperature for better climate change adaptation over Kerala.
- Sustainable river bank management plans for selected rivers.
- Range shift of wild fauna due to Climate Change.
- Climate change impacts on Kerala's Economy with focus on agriculture and allied sectors, Forest, Tourism etc mentioned in State Action Plan on Climate Change (SAPCC 2.0)
- Development of State specific emission factors for the higher tier assessment of Green House Gas emissions.
- Study on the Climate Change induced migration from Kuttanadu.

Who Can Apply?

The proposals can be submitted by an individual or a team of scientists/ technologists engaged in science and technology research fields in Universities / Govt. or Govt. Aided Colleges, Research and Development Centres, Government Departments and Non-Governmental Institutions / Organizations with declared mandate for environmental research and development, as evident from their by-laws. The Non-Governmental Institutions/ Organizations should be registered under the appropriate laws and have been functioning for at least 3 years in the relevant field at the time of project submission.

Selection Criteria

The proposal should be submitted in the given format (*Please see Page No. 5*) of DoECC with the project timelines and milestones, and an indication of the expected output/outcome. ***Six copies of the project proposal should be submitted*** [Avoid spiral binding and plastic covering sheets].

Proposals prepared by the Principal Investigator (PI) / Project Implementing Agency (PIA) should be endorsed by the Administrative Head of the Institution.

In case a project proposal involves a network of institutions/ departments, the PI would identify the Lead Investigator from each of the participating Institutions with the approval of the Heads of those Institutions. **In case of the proposals**

submitted from R&D, Government/ Government-aided institutions, the PI of the project shall be a permanent government employee. In addition, 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.

The proposal should clearly describe the action plan in detail. It should accompany the complete Team of Investigators, and provide their detailed resume. There should be a detailed year wise break-up of the costs consistent with the Funding Norms.

Screening: The proposals will be examined in 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.

Evaluation and Selection: The PI (s) / PIA whose proposals found feasible and complete in all respect will be invited for making presentations before the Technical Committee. Selection of the proposals received will be made only on the basis of technical evaluation of the proposals and implementing credentials of the proposed team. No TA/DA will be paid to the participants for project proposal presentations. In the absence of PI / PIA, the project proposal will not consider for funding.

The committee should, inter alia, assess the following:

- a) Component-wise analysis of the costing of the project
- b) Expected and other physical output of the project
- c) Minimum required tenure of the project
- d) Modalities for replication of the outcomes
- e) No duplication with completed / existing /ongoing projects

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 Technical Committee, the project will be placed before the Department Working Group for approval and administrative sanction as per the availability of funds under the scheme.

The PI / PIA have to submit consent letter and willingness to undertake the project with the sanctioned budget and objectives. An agreement has to be signed between the PI and the Director, DoECC after the approval of Project Proposal. A formal sanction order will be released from DoECC. After the issue of the Directorate order, administration will take steps to effect the payment. Copies of the Proceedings regarding the issuance of fund in installments will be sent to the PI /PIA and all concerned.

Release of Funds

The applicant institution need to execute an undertaking as acceptance of the Terms & Conditions for taking up the project as per the guidelines and conditions prescribe. The full text of guidelines and conditions should be appended to the undertaking. After receipt of the undertaking, the first installment of funds will be released to the institution. Total funds will be released in 3 installments in the order of 40:40:20 of the total amount sanctioned for the project. First installment will be released as envisaged above, whilst subsequent ones will be released **on request** and the **appraisal of the progress, Interim Report and submission of Utilization Certificate (in KFC Form 44) and detailed Expenditure Statement** of at least 80% of the funds released. 20% of the last installment will be released only on receipt of the Final Project Report and its appraisal by the Screening/Evaluation Committee based on their recommendations.

Concept Proposal Format

The proposal shall include the following details.

I. Summary Page of the Proposal including -

- Title of the project
- Name and address of the PI/ PIA
- Abstract of the project in 500 words
- Total outlay
- Duration of the project
- Project Outputs/Expected deliverables
- Implementing area
- Expected outcomes and Beneficiaries

II. Detailed Project Proposal

- a) Title of Project
- b) Scope and Objectives
- c) Materials and Methodology

- d) Details of project implementing area
- e) Beneficiaries of the Project
- f) Significant output from the Proposed Project
- g) Detailed budget and year wise work plan
- h) Previous experience in similar works / area of specialization
- i) If the same project proposal submitted elsewhere, details?
- j) References

III. Details of Project Implementation Agency (PIA) and Investigators (PIs)

IV. Terms and Conditions and Declaration

Monitoring and Evaluation

The PI through the implementing Institute will furnish to the Directorate, soft and hard copies of the Annual Technical Progress report of the work carried out on the project. DoECC may designate a Technical Team / Scientist or an Expert Panel to visit the Institute / Project Area 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 Technical Team/ Scientist or the Expert Panel by way of accommodation etc. at the time of their visit.

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:

- 5 copies of the Final Technical Report / Project Implementation Report.
- One page abstract highlighting the output, outcome and way forward.
- Soft copy of the Summary and Final Technical Report
- Consolidated Audited Statement of Expenditure and Utilization Certificate (in Form 44).
- DD/ NEFT/RTGS transfer receipt for any unspent amount in favour of the Director, Directorate of Environment and Climate Change payable/paid at Thiruvananthapuram.
- Reprints/copies of papers/patents/articles/ any usable databases, etc.

Acceptance of the Final Technical Report

The Principal Investigator has to submit the **draft** of Final Technical/ Project Implementation Report to the Directorate within 3 months after the completion of the project. The PI should make a presentation before the Technical Committee and a panel of experts appointed by DoECC. Based on the recommendation of the Technical 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. A serious view will be taken for non-receipt or delayed receipt of annual or final technical report. No new projects will be sanctioned in future by DoECC to the defaulting PIs.

TERMS AND CONDITIONS FOR SANCTION OF RESEARCH PROJECTS

1. A project will normally be sanctioned for a maximum period of three years. However in exceptional cases, DoECC holds the right to select projects with higher project duration, if found necessary.
2. The grant will be disbursed to the administrative authorities of the Institutions in accordance with the principles provided below.
3. The authorities receiving the grants will be responsible for their disbursement, administration, and maintenance of accounts. In the case of collaborative work carried out by a network of Institutions, the Coordinating Institution would be responsible for submission of the Utilization Certificate, Expenditure Statement and Progress Reports covering all the partners.
4. After execution of the Agreement, the first installment of funds will be released to the Institution. For the projects with the project period less than or equal to 2 years, total funds will be released in 3 installments (40%, 40% and 20% of the project cost) of the total amount sanctioned for the project. The last installment (20% of the project cost) will be released on receipt of the **Draft Final Report** of the project and its appraisal by the Committee based on its recommendations. If the project period is more than 2 years, yearly requirement as approved by the Committee and the Working Group, will be released as first and subsequent installments on yearly basis. First installment will be released as envisaged above, whilst 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. Remaining 20% of the total installment will be released only on receipt of the **Final Report** of the project and its appraisal by the Committee and submission of the

Final Project Report based on its recommendations. In exceptional cases, the committee/ working group shall decide on fund allocation, if found necessary.

5. 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 project. Any unspent amount out of the grant sanctioned by the Directorate for a particular project should 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.
6. An extension of project period up to a maximum of six months may be granted to projects in deserving cases. Any request for extension of the project should be sent by PI / PIA to DoECC at least three months before the closing date. In the case of an extension of tenure of projects, the PI / PIA 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.
7. The implementing institution and the PI have the full responsibility for completion of the project and to achieve the expected outcomes and deliverables of the project.
8. In case any Investigator (including Lead or Principal Investigator) leaves the Institute on account of superannuation or unforeseen circumstances, the responsibility for 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.
9. If the investigator leaves the Institution where the project is based, he / she 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.
10. 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.
11. Those Institutions/Individual PIs which/who do not render accounts/submit

physical progress reports against the released grants within the stipulated period 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.

12. 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 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 institution in effective use for the future needs of the Directorate /other Govt. Departments. The Director, DoECC shall hold the right to decide on the future use of the equipments/instruments acquired as part of the project.
13. The grant should not be utilized for construction of any buildings. The implementing institute should provide full infrastructural facilities such as accommodation, water, electricity, library, and communication facilities etc. for smooth implementation of the project.
14. The project becomes operative with effect from the date of receipt of the first installment by the implementing Institution to their Plan Scheme Treasury Savings Bank Account (PSTSB). This date should be intimated by the Institution authorities/ Principal Investigator to the Directorate. It will, in no case be later than one month after the receipt of the first installment by the Institute. The Institution has to start & maintain a PSTSB account in this regard, if already not one in place.
15. 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.
16. 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 / Govt. of Kerala will not have any commitment in any respect.
17. The grantee organization should furnish to the Directorate yearly progress report of the work done on the project, an audited Statement of Expenditure and

Utilization Certificate in prescribed formats (KFC Form 44) within thirty days from the close of each sanction year (sanction year implies one year from the date of release of grant for previous financial year).

18. 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.
19. In the event, after due enquiry, of any conclusion that the progress of a project is highly unsatisfactory, cannot be improved and violated the conditions of the agreement; DoECC will be at liberty to terminate the Project. Upon such termination, the PI / PIA shall refund the sanctioned amount with 18% interest.
20. 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 on completion of all closure formalities such as the acceptance of all the financial certificates, audit reports and final technical reports of the project.
21. The PI / PIA shall submit files and accounts related to the project whenever the DoECC demands.
22. Calendar of events should be prepared and forwarded to DoECC in a pen drive. The PI / PIA shall exhibit the Board of Project details acknowledging DoECC in the premises of the Institution/Project implementing Location.
23. The grantee organization(s) has to furnish 5 copies of the Final Project Report, including Executive Summary, database and any other relevant documents along with a soft copy, to DoECC.
24. If the PI and the Institution who fails to submit the final project report / relevant documents even 3 months after the end of the scheduled time period or if the progress of the project is unsatisfactory, procedure for the refund of the amount as per relevant Government norms will be initiated. Further, the Head of the Institution where the PI is located should be intimated regarding the non-submission of the project report and the decision of Government to suspend future funding to the Institution. A list of such PIs and Institutions would be submitted to government.
25. 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.

26. 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.
27. The Investigator(s) should not enter into collaboration on the sanctioned project with a foreign party (individual/industry) without prior approval of the DoECC.
28. 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.
29. All correspondence is to be addressed to the Director, Directorate of Environment and Climate Change, IV Floor, KSRTC Terminal, Thampanoor P.O., Thiruvananthapuram – 695 001, Ph: 0471-2326264, Email: envt.dir@kerala.gov.in; environmentdirectorategmail.com

Place:

Date:

Signature, name & address of investigator

Counter signed by
The Head of the Institution

(SEAL)