

# **KERALA STATE COUNCIL FOR SCIENCE, TECHNOLOGY AND ENVIRONMENT**

## **Kerala State Young Scientist Award (KSYSA) - Guidelines for Research grant**

The Kerala State Young Scientist Awards by the KSCSTE are intended to honour talented young Scientists in recognition of their outstanding contributions in any branch of science and technology coming within the purview of the Council.

Each Awardee will be presented a certificate with citation and a cash prize of Rs. 50,000/-. In addition, the recipient may be considered by the Council for research grant after due consideration of the research project with the help of an expert committee. The awardee has to submit the research project during the month of August of the award year. The Awardee, within 3 years of the receipt of the award, will be considered for a visit abroad for presenting the research work at a conference.

### **Guidelines**

This document provides guidelines for implementation of the KSYSA scheme supported under the Kerala State Council for Science, Technology & Environment (KSCSTE). The guidelines provide general information. In addition to these, the implementing agency has to follow its own rules and regulations, wherever necessary. However, we hope that the end result of this would be a smooth implementation of the project. For any further clarification or further details, please approach the concerned official dealing with the project file. The Council reserves the right to review these guidelines and modify them.

### **1. Submission of Projects**

1. The awardees should submit a proposal for the research grant. The project proposals will be evaluated by an expert committee once in a year. The project proposals may be submitted during the month of August every year.
2. 10 copies of the project proposal along with a soft copy have to be submitted in the prescribed format to the **Director, Kerala State Council for Science, Technology & Environment** for funding.
3. Applications must have the Endorsement from the Head of the Institution (HoI) duly signed by Principal Investigator and counter signed by HoI in each page. In the case of Govt./aided institutions, the terms & conditions should be submitted in plain paper while, for unaided academic and research institutions/NGO's, the terms and conditions in a stamp paper worth Rs.200/- has to be sent to the Council duly signed by P.I and countersigned by Head of the Institution in each page.
4. The Maximum grant for a project shall be Rs. 50 lakhs for three years excluding overheads. In addition, the host institution will be eligible for an overhead @ 10% of total expenditure subject to a ceiling of Rs.2 lakh.

## **2. Budget – Main heads**

1. Man Power
  - a. Project Fellow @ 22,000/month
  - b. Technical Assistant @ 19,000/month
2. Consumables - (Chemicals, glass wares, research materials etc.)
3. Travel - Rs. 30,000/year (In exceptional cases, where the study involves extensive traveling, this can be relaxed)
4. Contingencies Rs. 50,000/year (In exceptional cases this can be relaxed)
5. Equipments - (below 60% of total outlay, in exceptional cases this can be relaxed)
6. Overheads @ 10% of total expenditure -subject to a ceiling of Rs. 2 lakh.
7. After receiving the project proposal it will be acknowledged with a reference number and other instructions if any, submitting for relevant documents. If the project proposal is as per the format and norms of Council it will be sent to referees for evaluation. Otherwise, it will be returned to the PI. Research proposals should be reviewed by a panel of reviewers (national level) prior to the selection by the expert committee.

## **2. Sanction order**

- i) Once the project is approved, a formal sanction order from Director will be issued to the awardee. The total cost of the project is finalised based on the latest quotation(s) of equipment(s) approved under the project and other relevant documents related to manpower, contingencies etc. submitted by the Investigator. The first sanction order provides the detailed breakup of funds allocated under the different heads like Equipment, Manpower, Travel, Consumables, Contingencies etc.
- ii) After issue of the Council order, the payment will be done through electronic transfer.
- iii) Any correspondence with the KSCSTE regarding the project should invariably quote the reference number and date and should be addressed to the concerned official.
- iv) All formats are available in our website for reference. Documents in other formats will not be accepted.

## **3. Date of commencement of project & its duration**

- i) The duration of the project is normally for 3 years and this will be specified in the first sanction order.
- ii) The project becomes operative with effect from the date of sanction order or receipt of the research grant by the implementing Institution. This date should be intimated by the Institution authorities/

Principal Investigator to the Council within one month. **It will, in no case be later than one month after the receipt of the grant by the Institute.**

#### **4. Principal Investigator and the Implementing Institution**

i) The KSYSA awardee will be the Principal Investigator of the project. The Principal Investigator (PI) has the primary responsibility in implementing the project.

ii) 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.

iv) 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 Council. 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.

v) In case the PI leaves the project due to unforeseen circumstances, a request should be sent to the Council in advance through the Institution and the PI has the responsibility to windup the project and submit Final report and financial statements.

vi) The PI as well as the implementing institution has the responsibility of informing the Council about any change in the status of the PI including relieving them on short term deputation for a continuous period of 3 months or more.

vii) The implementing institution has an important role to play and in consultation with this Council should take steps to ensure successful completion of the project, before relieving the PI.

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

#### **5. Project Staff**

i) 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 Council. The Council will have no liability, whatsoever, for the project staff after completion of the project duration.

ii) 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 this Council.

## **6. Release of grants in yearly installment and financial management**

i) 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 indicates the budgetary allocation for the duration of the project under various heads like Equipment, Manpower, Travel, Consumable, Contingency etc.

ii) The first installment of grant is released along with the first sanction order. It consists of the entire grant for the 'Equipment' and part of recurring grant including 'Overheads' for the first year of the project.

iii) Diversion of funds from equipment and manpower heads etc. is normally not allowed. However, any reallocation/ reappropriation of grants under different heads requires prior approval of this Council.

iv) The Equipment 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.

v) 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.

vi) Annual progress report will be submitted as on completion of each project year.

vii) The recipient institution shall forward an audited utilization certificate and statement of expenditure (UC & SE) signed by PI and countersigned by the HOI to the effect that the grant has been utilized for the research works for which it was granted, to the Director, KSCSTE. The UC & SE shall be furnished on a project year basis within 3 months of the completion of the project year. The institution should maintain separate audited accounts for the project.

viii) The subsequent installment of grant would be released annually on the basis of expenditure incurred in the previous project year and expected expenditure in that year.

ix) However, any request for release of the next installment should be accompanied by the following documents:

- a) Audited Utilization Certificate 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.
- c) Technical Annual Progress Report, if not sent earlier.

x) 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 Council at least 30 days in advance.

xi) The unutilized portion of the grant amount at the end of the project period, shall be refunded to Council forthwith by DD in favour of Member Secretary, KSCSTE. In the case of project duration exceeding one year, the unspent amount need not be refunded at the end of first or second year as the case may be, but the amount may be automatically carried forward, unless otherwise it is specified.

xii) The audited Statement of expenditure and the Utilization Certificates are to be submitted on project year basis within a period of 3 months from the completion of the project year. (ie. if date of start of the project is 12.01.2012, then the first statement of account and utilization certificate will be for the period 12.01.2000 to 11.01.2013, the next statement will be for the period 12.01.2013 to 11.01.2014 and so on.)

xiii) The implementing institute will maintain separate bank account and it should be reported to Council and the interest accrued should be reflected in the Statement of Expenditure.

xiv) 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 Council or the balance grant at the earliest.

xv) 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 1,000/-. The Institute is required to send to this Council list of assets acquired from the grant.

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

xvii) All the assets acquired from the grant will be the property of KSCSTE and should not be disposed off or encumbered or utilized for purpose other than those for which the grant had been sanctioned, without the prior sanction of this Council.

xviii) After completion/ termination of the project, the KSCSTE will be free to sell or otherwise dispose off the assets, which are the property of the Council. The Institute shall render to the Government necessary facilities for arranging the sale of these assets. The Council also has the discretion to gift the assets to the Institute for research purpose or transfer them to any other Institute if it is considered appropriate and justified.

xix) The Council 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.

## **7.Extension of the duration of the project and reappropriation of funds**

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, 6 months before completing the tenure and the request will be placed before the next expert committee for recommendation and further approval of Council.

## **8. Reappropriation of funds.**

Reappropriation of funds within the total budget may be approved based on the recommendation of a committee. Reappropriation from manpower and equipment will not be normally allowed.

## **9. Progress evaluation and Monitoring**

- i) The PI through the implementing Institute will furnish to this Council, the Annual Technical Progress report (1 hardcopy & softcopy in PDF) of the work carried out on the project on an annual basis
- ii) In addition, this Council 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/ specialist or the Expert Panel by way of accommodation etc. at the time of their visit.
- iii) This Council also organizes Monitoring Workshops meetings wherein the PIs are invited to present the technical progress of their project. The Investigators should attend such workshops since it provides an opportunity to review their progress based on which any mid term requests by the PIs for additional grants/ extension in duration etc. are considered by the Council. Subsequent releases of grant would be based on the reviewing and monitoring committees recommendations.
- iv) On completion of the project, the PI through the Institute should send the following documents within 6 months of completion of the project period to this Council to enable us to settle the account:
  - a) 3 copies of the Project Completion Report in the prescribed format.
  - b) One page abstract highlighting the outcome.
  - c) Soft copy of project completion report and abstract.
  - d) Consolidated audited statement of expenditure and utilization certificate.
  - e) Asset transfer certificate in the prescribed format.
  - f) DD/ cheque for any unspent amount drawn in favour of Member Secretary, KSCSTE, Sasthra Bhavan payable at Thiruvananthapuram.
  - g) Reprints/copies of papers/patents/articles etc.

Completion report should be evaluated by referees with grading. The grading for the previous projects should be mentioned in the subsequent project proposals.

## **10. Guidelines for publication of results**

- i) Investigators wishing to publish technical/ scientific papers based on the research work done under the project, should acknowledge the assistance received from the Council.
  - ii) The Investigator(s) should not enter into collaboration with a foreign party (individual/ industry) without prior approval of the Council.
  - iii) Investigators are also requested to patent the outcome of the project in collaboration with KSCSTE
  - iv) If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
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