

Kerala State Council for Science, Technology and Environment

Technology Development and Adaptation Programme (TDAP)

Guidelines for submitting application

Introduction

The Kerala State Council for Science, Technology & Environment (KSCSTE) is an autonomous body under the Government of Kerala which is established to promote the Science & Technology related activities in the State. Technology Development and Adaptation Programme (TDAP) aims technology development and demand driven adaptation of technologies. Some of the suggested areas under this Programme are as follows:

1. Development of a new or improved process resulting in establishment of process know-how, development of process equipment and its demonstration.
2. Development of a new or improved product resulting in prototype development and ending with demonstration in commercial environment.
3. Up-gradation of existing technologies.
4. Development & demonstration of technologies for common use of public.

Objectives:

- To provide catalytic support for the development and demonstration of innovative need-based technologies.
- To perfect the technologies, develop suitable adaptation strategies and to raise such technologies to the level of commercialization

Who can Apply?

- ✓ Individual innovators (The applicant should possess a professional degree. He/ She should possess a Diploma or Degree in Engineering or equivalent. Those who are studying for professional technical courses can also apply. Prior experience in developing innovative projects will be an added advantage.)
- ✓ Scientists/ Researchers from Research Organizations/ Academic Institutions/ Non- Governmental Organizations

The project proposals under this Scheme are evaluated by the Technical Committee for TDAP (TC-TDAP). Based on the recommendations of the Committee, financial grant not exceeding Rs.10 lakhs will be provided for the project, for a maximum duration of two years. The financial support from KSCSTE primarily covers prototype development, cost of process equipment or its fabrication/ development, test and evaluation of products, user trials etc.

In the case of individuals, a Tie-up Institution will be identified for implementing the project and the applicant will be attached to that Tie-up institution for developing the proposed technology. The financial assistance will be released to the Tie-up institution, where the applicant intends to carry out

the project. (In the case of student applicant, the grant will be disbursed through a regular staff/ faculty of the Institution who will act as supervisor of the project.)

The project approved for implementation will be provided with financial sanction, subject to certain terms and conditions. The following guidelines assist for smooth implementation of the project in conformity with those terms and conditions.

1. Submission of Projects:

- a. Ten copies of the project proposal along with a soft copy have to be submitted in the prescribed format to Dr. V. Ajit Prabhu, Joint Director, KSCSTE.
- b. The project proposals will be evaluated by the Technical Committee for TDAP (TC-TDAP) which will be convened as and when required, but at least twice in a year. The project proposals may be submitted throughout the year, to facilitate smooth processing.
- c. The Maximum grant for a project shall be Rs.10 lakhs for two years excluding Institutional overheads and the funds will be disbursed to the applicant through the Head of the tie-up institution. The tie-up institution will be eligible for an overhead @ 10% of total project cost.
- d. Budget – Main heads:
 - i. *Equipment / Instruments-*
 - ii. *Consumables (raw materials, accessories etc.)*
 - iii. *Man Power-*
 - a) Project Fellow @ Rs 10,000/month, subject to the recruitment of eligible candidates as per the norms. (If the applicant is unemployed / student and is found to be a qualified hand to enact as the Project Fellow, TC_TDAP will take appropriate decision to provide suitable honorarium, for a reasonable period.)
 - b) Technical Assistant @ Rs 6,000/ month.
 - iv. *Travel @ Rs. 20,000/ year- (In exceptional cases when the development involves extensive traveling, this can be relaxed)*
 - v. *Contingencies @ Rs. 20,000/ year-*
- e. After receiving the project proposal, it will be acknowledged with a reference number. If the project proposal is as per the format and norms of Council, it will be sent to referees for evaluation, if required. Further, the project proposals will be placed in the TC-TDAP for final decision

2. Sanction order

- i) Once the project is approved, the Principal Investigator (PI) should execute an agreement in the format in a non-judicial stamp paper worth Rs.100/- countersigned by the Head of the Institution/ Tie-up Institution.
- ii) If the documents furnished by the PI is in order, Sanction Order will be issued. The first Sanction Order provides the detailed breakup of funds allocated under the different heads like Equipment, Manpower, Travel, Consumables, Contingencies etc.
- iii) Copies of the Sanction Order will be sent to the Principal Investigator (PI) and the Head of the Institution (Director/ Registrar/ Comptroller/ Principal, etc. as the case may be).

- iv) Any correspondence with KSCSTE regarding the project should invariably quote the reference number and date and should be addressed to the Council Attention: Concerned official by name (for eg. Dr. Ajit Prabhu V., Joint Director, KSCSTE)
- v) After issue of the Council order, administration will take steps to effect the payment within two weeks. The letter issuing the cheque will be sent to the Head of the Tie-up Institution.

3. Date of Commencement of Project & its Duration

- i) The duration of the project 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 Draft/ Cheque by the implementing Institution. This date should be intimated by the Institution authorities/ Principal Investigator to the Council.
- iii) The date of start of the projects should in no case be later than one month after the receipt of the draft/ cheque by the Institute.

4. Principal Investigator & Co-Investigator (s) and the Implementing Institution

- i) KSCSTE will approve the project and project personnel can be appointed as per the sanction order. It is necessary to ensure that the project is carried out by the Principal Investigator (PI), Co-Investigator(s)/ Supervisor in a cohesive manner. Periodic meetings of the team are essential for this purpose.
- ii) Once the project is sanctioned, PI should also furnish the following documents:
 - ✓ Date of start of the project
 - ✓ Details of the Project personnel recruited and copy of Appointment Order
 - ✓ Specifications and Quotation of the equipment purchased
 - ✓ Purchase procedures followed by the implementing institution.
- iii) KSCSTE's name should be envisaged or affixed permanently on all equipment/ instruments produced and also in the fabricated ones under the TDAP Programme of KSCSTE like '*Procured under the TDAP project sanctioned from KSCSTE*'.
- iv) In case the PI leaves the project due to unforeseen circumstances, it will be the responsibility of the Institute to pursue for the smooth implementation of the project.
- v) The implementing institution has an important role to play and in consultation with the Council, it should take steps to ensure smooth implementation of the project, before relieving the PI.
- vi) PI should strictly adhere to the purchase procedures of the implementing institution for the purchase of equipment sanctioned for the project.
- vii) The implementing Institute should provide full infrastructural facilities such as accommodation, water, electricity, library, communication facilities etc. for smooth implementation of the project.
- viii) Normally only one project will be sanctioned to an Innovator/Principal Investigator at a time by the Council.

5. Project Staff

- i. Selection of project personnel shall be as per the general procedure. The advertisement inviting applications for the post of project personnel should be notified through leading news papers (at least in 3 leading dailies).
- ii. PI should furnish the details of the Project personnel recruited in the project along with a copy of Appointment Order. If a vacancy arises in the due course, details of new project personnel appointed should also be reported promptly.
- iii. 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 Institution. No reference on these issues should be made to KSCSTE and that KSCSTE will not be responsible for such appointments.
- iv. The KSCSTE will have no liability, whatsoever, for the project staff after completion of the project duration and cannot make any claim either to the implementing institution or to KSCSTE for any type of appointment.
- v. Scale and emoluments for the posts not covered under this order are governed by rules of the implementing Institution and KSCSTE will have no binding in this regard.

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. Diversion of funds from Equipment and Manpower are normally not allowed. However, any reallocation/ re-appropriation of grants under different heads requires prior approval of this Council.
- iii. 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.
- iv. Quarterly Progress reports should be sent with effect from date of start of the project. Annual progress report (2 copies) on project year basis should be submitted.
- v. There should not be a break time gap in between the project period. The project has to be done continuously and it will end on expiry of approved duration.
- vi. The Tie-up Institution shall forward a utilization certificate and audited statement of expenditure (UC & SE) countersigned by the HOI (Tie-up Institution) to the effect that the grant has been utilized for the research works for which it was granted to KSCSTE. The UC & SE shall be furnished on a project year-to-year basis. The institution should maintain separate audited accounts for the project.
- vii. The subsequent installment of grant will be released on the basis of expenditure incurred in the previous project year and expected expenditure in that year.

- viii. However, any request for release of the next installment should be accompanied by the following documents:
- a) Utilization Certificate and Statement of Expenditure audited by a Chartered Accountant for the previous year (in original)
 - b) Latest authenticated Statement of Expenditure including Committed Expenditure
 - c) Technical Annual Progress Report, if not sent earlier.
- ix. 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 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.
- x. The Statement of Accounts and the Utilization Certificates are project year wise and are to be submitted within a period of 3 months from the completion of 1st year.
- xi. The implementing institute will maintain separate audited accounts for the project. Any interest earned should be reported to this Council and should be reflected in the Statement of Expenditure.
- xii. 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 to this Council the entire grant or the balance grant at the earliest.
- xiii. 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
- xiv. The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.
- xv. All the assets acquired from the grant will be the property of KSCSTE and should not be disposed of or encumbered or utilized for purpose other than those for which the grant had been sanctioned, without the prior sanction of this Council.
- xvi. After completion/ termination of the project, the KSCSTE will be free to sell or otherwise dispose of 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 or transfer them to any other Institute if it is considered appropriate and justified.
- xvii. 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. Progress evaluation and Monitoring

- i) PI shall furnish Progress Report of the activities on the project on quarterly basis (QPR). Quarterly Progress Reports (QPR) should be submitted with effect from the Date of start of the project.
- ii) The PI through the tie-up Institute shall furnish to this Council 2 copies of the Annual Technical Progress report of the project work carried on project year basis. (ie. if the date of start of a project is 12.01.2010 the first Annual Technical Progress report shall be for the period 12.01.2010 to 31.01.2011, the next will be from 01.02.2011 to 31.01.2012 and so on).
- iii) 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.
- iv) This Council may also organize Group Monitoring Workshops wherein the PIs/ Co-PIs and research staff 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 midterm requests by the PIs for additional grants/ extension in duration etc. are considered by this Department. Subsequent releases of grant would be based on the reviewing and monitoring committee's recommendations.
- v) If the PI do not submit Annual Progress Report and audited financial statements in time, the grant in the subsequent year will not be released.
- vi) On completion of the project, the PI through the Institute should send the following documents to KSCSTE to settle the account:
 - a) 5 copies of the Project Completion Report in the prescribed format;
 - b) Consolidated audited statement of expenditure and utilization certificates;
 - c) List of assets/ equipment in the prescribed format; and
 - d) DD/ cheque for any un-spent amount with the Institute.
 - e) Certificate from the Head of Tie-up Institution to the effect that all the equipment purchased have been handed over to the Institution.

A review will be arranged for all completed projects and overall grading awarded will be communicated to Principal Investigator.

8. Reappropriation of funds

Re appropriation of funds within the total budget may be approved based on the recommendation of TC- TDAP. Re appropriation from man power and equipment will not be normally allowed.

9. Extension of the duration of the project

The extension of duration of the project 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 final decision by TC- TDAP.

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 publish some of the research papers emerging out of the project work in leading Journals.
- 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. In such cases, the legal rights shall be proportionately shared with KSCSTE, unless specified, as the case may be.
- v. The knowledge generated from the project will be the property of KSCSTE and should be properly acknowledged. Transfer of technology generated, applications for patents, etc., shall be done only in consultation with KSCSTE and as agreed upon by KSCSTE.

The above guidelines provide general information only. KSCSTE reserves the right to review these guidelines and modify them, as and when required. In addition to these, the implementing agency has to follow its own rules and regulations, wherever necessary.

In case of any specific clarifications please contact:

Dr. Ajit Prabhu V.

Joint Director & Head

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