

KERALA STATE COUNCIL FOR SCIENCE TECHNOLOGY AND ENVIRONMENT

Grant under Engineering and Technology Programme

Title of the Project Proposal:

Name and Designation of Principal Investigator (PI):

Address of the Implementing Institution:

File No.:

1. Engineering and Technology Programme (ETP) aims to encourage and promote high quality research in the emerging areas of Engineering and Technology by providing research grant for the implementation of such research projects. The scheme supports the research projects in any of the identified domain themes/sub themes which will be notified from time to time.
2. The assistance for the project will be for a maximum period of ---years. Sanction will be given for the full period of investigation, but fund will be released only in installments and subsequently subject to satisfactory completion of the work and submission of audited Utilization Certificate (UC) & Statement of Expenditure (SE). The UC & SE shall be furnished on project year basis.
 - (a) The quantum of funding shall be based on the recommendations of Programme Advisory Committee for Engineering and Technology Programme (PAC-ETP) and approval of Council.
 - (b) Re-appropriation of fund within the total budget may be approved based on the recommendation of PAC. The PI shall submit the request for re-appropriation in the prescribed format. However, re-appropriation from manpower and equipment will not be normally allowed. The extension of duration of the project will not be granted normally. In exceptional cases where the work could not be completed within the stipulated time, PI should submit request for extension in the prescribed format, six months before completing the tenure. The final decision will be based on the recommendations of PAC and/or with the approval of KSCSTE.
 - (c) The amount of grant shall be utilized for the purpose for which it is granted within a period of one year from the date of receipt of the amount or Council Order date, whichever is convenient to the PI, and the same should be intimated in writing to KSCSTE.

- (d) The Implementing Institution is eligible for an overhead @ 10% of total expenditure subject to a ceiling of Rs.1 lakh, which will be released on successful completion of the project and after settlement of the SE & UC.
3. For permanent, semi-permanent assets acquired solely or mainly out of the project grant, an audited record in the form of a register shall be maintained by the Institute. The grant shall not be utilized for construction of any building unless specific provision is made for that purpose. Full infrastructural facilities by way of accommodation, water, electricity, communication etc. for smooth implementation of the project shall be given by the Institute.
 4. PI should strictly adhere to the purchase procedures of the Implementing Institution for the purchase of equipments sanctioned for the project. KSCSTE's name should be engraved or affixed permanently on all equipments /instruments procured and also in the fabricated ones under the ETP programme of KSCSTE like **'Procured under the ETP project sanctioned from KSCSTE'**.
 5. All the assets acquired from the grant will be the property of KSCSTE and should not be disposed off or encumbered or utilised for purpose other than those for which the grant had been sanctioned, without the prior approval of the Council. At the conclusion/ termination of the project, the Council has the discretion to gift the assets to the Institute or transfer them to any other Institute if it is considered appropriate.
 6. The Principal Investigator/Institute shall furnish Progress Reports on the activities of the project on half yearly basis. Half yearly Progress Reports in the prescribed format should be submitted with effect from the Date of Start of the project.
 7. The PI/Institute should also furnish Annual Progress Reports covering the details of entire work carried on project-year-basis within 1 month of completion of each project year (ie. if the date of start of a project is 10.11.2021, the first Annual Progress Report shall be for the period 10.11.2021 to 09.11.2022, the next will be from 10.11.2022 to 09.11.2023 and so on). In addition, the 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. During the implementation of the project the Institute should provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation etc. at the time of their visit.
 8. At the time of seeking the further installment of grant, the Institute/ PI has to furnish the following documents:
 - a) Audited Utilization Certificate (UC) and Statement of Expenditure (SE) audited by Accounts Officer in case of Government Institutions and audited by Chartered Accountant in case of Aided Institutions for the previous project year in the prescribed format (in original or copy if sent earlier);
 - b) Latest authenticated Statement of Expenditure including Committed Expenditure for the next year, till the previous month;
 - c) Annual Progress Report, if not sent earlier.

These documents must be submitted within 3 months of completion of project year.

9. The Utilization Certificate and Statement of Expenditure (UC & SE) should be countersigned by the HOI to the effect that the grant has been utilized for the research items for which it was sanctioned.
10. On completion of the project, the PI through the Institution should send the following documents to KSCSTE to enable settlement of the accounts and project:
 - ✓ 3 Copies of the Final Technical Report (FTR) in the prescribed format (soft binding without using plastic material)
 - ✓ 2 copies of the Project Completion Report (PCR) in the prescribed format (soft binding without using plastic material)
 - ✓ Soft Copy of FTR and PCR.
 - ✓ Consolidated audited Statement of Expenditure and Utilisation Certificate.
 - ✓ Asset Transfer Certificate in the prescribed format.
 - ✓ DD/Cheque for any unspent amount with the Institution in favour of Member Secretary, KSCSTE.

The above documents must be submitted within 3 months of completion of the project. The PIs who submit the FTR after 6 months shall not be considered for future support under any research scheme.

11. A review will be arranged for the completed projects. The Final Technical Report (FTR) will be evaluated by the Programme Advisory Committee (PAC) and grades are awarded to each project based on the research output. No project will be sanctioned in future by KSCSTE to the PIs whose project are graded below 'D'.
12. The grant amount sanctioned for the Ist, IInd or IIIrd year should be utilized within the same project year and the unutilized portion of the grant amount should not be used without prior permission from the Council. Subsequent release of grant should be based on the yearly appropriation of the grant utilized for the purpose for which it was sanctioned.
13. 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 adjusted towards the release of subsequent grants, unless otherwise it is specified.
14. If for any reason, it is found that the recipient has not utilized the grant for the purpose for which it was sanctioned, he/she shall be disqualified for getting any further grant and steps shall be taken against such person/persons for realizing the amount of grant.
15. The institute shall maintain separate audited accounts for the project. If it is found expedient to keep a part or whole of the grant in a bank account earning interest, the interest thus earned should be reflected in the Utilization Certificate. The interest thus earned will be adjusted towards further installment of grant.
16. 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 receipts to other Institute as assistance. In case the Institute is not in a position to implement or complete the project, it

should, forthwith, refund to the Council the entire grant received by it or the balance grant with it.

17. Regarding the recruitment of Project Staffs, the application to the position shall be invited on an open basis through advertisements and there shall be a selection committee constituted for the purpose. 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. Project personnel will be eligible only for casual leave, as per rules of the Institution. PI may authorize participation by such staff in any scientific event in India or abroad which may be treated as on duty. Maternity leave as per Govt. of India instructions would be available to all categories. Students, selected as Project Fellows are encouraged to register for higher qualification and the tuition fees to undertake this may be reimbursed to the student from the contingency grant sanctioned under the project grant, subject to the discretion of the PI/Head of the Institution. 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. 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. Scale and emoluments for the posts which are not covered under the guidelines of the scheme are to be governed by the norms prevalent in the implementing Institution.
18. The Council reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilised or appropriate progress is not being made.
19. Also, the PI is liable to refund the grant amount in part or in full in case of unsatisfactory implementation of the project or unwillingness to co-operate with the Council for monitoring or evaluating the progress of the project.
20. The project becomes operative with effect from the date of sanction order or receipt of grant by the Implementing Institution. This date should be intimated to KSCSTE by the Institution authorities/ Principal Investigator in the prescribed format. The date of start of the programme should in no case be later than one month after the receipt of the fund by the Institution.
21. 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 KSCSTE. 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.
22. In case the PI leaves the project due to unforeseen circumstances, the Institute/ PI will inform the same to the Council and in consultation with Council, evolve steps to ensure successful completion of the project, before relieving the PI. In such case, the Co-Investigator could be considered as the PI subject to the approval of the Head of the Institution and KSCSTE. Such a request should be sent at least well in advance along with a detailed bio-data of the Co-Investigator and with consent letter from PI and Head of the Institution.

23. The PI as well as the Implementing Institution has the responsibility of informing KSCSTE 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.
24. Investigators who wish to publish technical/ scientific papers based on the research work done under the project, should acknowledge the assistance received from KSCSTE. The Investigator(s) should not enter into any collaboration with a foreign party (individual/ industry) without prior approval of KSCSTE. Investigators are also requested to publish some of the research papers emerging out of the project work in leading Indian Journals. 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 results.
25. 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 and the Implementing Institution.
26. Programme Advisory Committee/KSCSTE may enforce additional guidelines for the operation of the scheme from time to time and the Institution/Investigators are required to observe such directions in the conduct of the research work.

We agree to the terms and conditions stated above.

Signature with date:

Signature with date:

Signature with date:

**Name, Designation &
Address of Principal Investigator**

**Name, Designation &
Address of Co-Investigators**

**Name and Address of
Head of the Institution**

Office Seal with date