

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

## **Grant under State Higher Research Centres of Excellence in Science & Technology Applications (SHRESTA) Scheme**

### **Terms & Conditions**

**Name and Address of the Host Institution:**

**Name, Designation and Address of Principal Investigator (Head of the Institution):**

**Name and Address of the Collaborating National/International Institution/Centre:**

**Name, Designation and Address of Co - Investigator(s) (Co-Is):**

**Title of the Research Proposal:**

**Broad Area of Research:**

**File No.:**

1. SHRESTA scheme is envisaged for nurturing a few Centres of Excellence (CoE) from the State that produce world-class research in the areas of (i) Floods and Droughts (ii) Viral Research (Biotechnology) (iii) Nanotechnology (iv) Climate Change and (v) Robotics & Artificial Intelligence. The proposed CoEs need to collaborate with National/ International Research Centres/ Universities/ Institutions and the proposal shall include the details with the consent from such collaborating Institutions. The CoEs will be supported with financial grant to augment and strengthen the research capacity including infrastructure at par with world class level in the stipulated areas with a multi-disciplinary and inter-institutional perspective.
2. The Centre of Excellence (CoE) will be supported in phased manner. The application for the scheme shall contain a research proposal and necessary infrastructure

strengthening including equipment/lab facilities. Based on the peer review by the national level subject experts and evaluation by the Programme Advisory Committee (PAC), the CoE will be initially selected for Phase I support for a period of 2 years.

3. The financial grant for the Centre is released on the basis of yearly requirements taking note of technical progress and expenditure incurred. The proposal under Phase I cannot include any equipment that is very expensive and has a long gestation period for procurement and installation. The first sanction order indicates the budgetary allocation for the entire duration of project (2 years) under various heads like Equipment, Human Resources, Research, Infrastructure strengthening, Travel, Consumable, Other costs, Contingencies, etc. The first installment of grant (1<sup>st</sup> year grant) is released along with the first sanction order. The grant is exclusively for the stipulated research and infrastructure requirements and does not include any civil construction or moveable or immovable properties.
4. The space/building for setting up the laboratory and other facilities shall be identified by the host Institution. The space identified must have scope for further future expansion and also accessibility. In case any separate building construction or improvement of available physical space is required, that shall be the responsibility of the host Institution. No grant sanctioned under the project in full or part is liable to be diverted for such purposes.
5. The grant will be released on yearly basis and subsequently subject to the satisfactory progress of the research work and submission of Progress Reports and audited Utilization Certificate (UC) & Statement of Expenditure (SE). The UC & SE shall be furnished on yearly basis. The quantum of funding shall be based on the recommendations of Programme Advisory Committee (PAC) of SHRESTA and approval of Council.
6. Diversion of funds from Equipment, Human Resources, etc., is not normally allowed. However, any reallocation/ re-appropriation of grants under different heads requires prior approval of KSCSTE, on unavoidable circumstances. The PI should submit request for reallocation/re-appropriation and extension in the prescribed format well before time. The Equipments sanctioned should be procured at the earliest to avoid any cost escalation. The PI/ Host Institution should complete all formalities in advance for placing the order. There should not be a break/ time gap in between the project period. The project has to be done continuously and it shall end on expiry of approved duration. Extension of duration of project beyond 6 months will not be granted normally. 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.
7. KSCSTE shall support the Centre for the procurement of necessary equipment and lab facilities along with allied research. Once the Centre is established, the upgradation and updation of the Centre at par with the state-of-the-art technology shall be the responsibility of the host Institution. The Head of the Institution shall be the in-charge of the CoE and responsible for the overall management of the Centre. The Centre/ Institution shall also submit the perspective plan for the next 5 years with credible sources for sustenance of the CoE after the grant period is over. Host Institution can

also explore the possibility to seek funding from other agencies to upgrade the Centre. The Centre of Excellence shall be managed in such a way that it is accessible to the Scientists, Researchers, Faculty members and Students in the field to promote advanced research and inter Institutional and multi- dimensional and inter-disciplinary research. There should be separate budget proposals for Phase I and Phase II with clearly identified deliverables for the two phases.

8. 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 Institution. 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 provided by the Institution.
9. 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. KSCSTE's name should be engraved or affixed permanently on all equipments/ instruments procured and also in the fabricated ones under the SHRESTA programme of KSCSTE such as 'Procured under the SHRESTA scheme of KSCSTE'.
10. 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.
11. The Principal Investigator/Institute shall furnish Progress Reports on the activities of the project on quarterly basis. Quarterly Progress Reports (QPRs) in the prescribed format should be submitted with effect from the Date of start of the project. (ie. if the date of start is 01.08.2021, then the first QPR shall be for the period 01.08.2021 to 31.10.2021, second QPR from 01.11.2021 to 31.01.2022 and so on). The Institute/ PI should also furnish Annual Progress Report at the expiry of one year from the date of start of project (ie. if the date of start is 01.08.2021, the Annual Progress Report shall be for the period 01.08.2021 to 31.07.2022 and so on).
12. 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 Centre. 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, hospitality etc. at the time of their visit.
13. In case, the PI leaves the Institution due to unforeseen reasons, on transfer or superannuation or other reasons, the responsibility will be automatically transferred to the succeeding Head of the Institution until successful completion of the programme. The PI/HoI on such cases, shall communicate the date of relieving in writing to KSCSTE well in advance and also undertake to assign the liabilities and responsibilities of the SHRESTA Centre to the succeeding HoI as PI of the Centre in consultation with KSCSTE and ensure the smooth functioning of the Centre.

14. The first Co-Investigator, who is from the same Institute or Department, shall have the same responsibility and accountability as that of the Principal Investigator. In case the first Co-I leaves the organisation before the successful completion of the programme, the Institute shall take up the responsibility to assign another suitable faculty as the first Co-I in consultation with KSCSTE, to continue with the programme until its successful completion.
15. At the time of seeking further instalment 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) 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 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.

16. Further instalment of financial grant will be released based on the review of the Project by the Programme Advisory Committee (PAC). The UC/SE should be countersigned by the HOI to the effect that the grant has been utilized on the heads for which it was sanctioned. The final audited Utilization Certificate and Statement of Expenditure, Final Technical Report (FTR) and Project Completion Report (PCR) shall be submitted within three months of completion of the project.

**17. Management of CoE:**

- ❖ Scientists/Faculty members, Technical/ Administrative Staff, Researcher Scholars, Project personnel of the Centre/Institution shall support the functioning of the CoE.
- ❖ A multidisciplinary Team shall be formed for the CoE which is headed by the Head of the Institution. The Team shall consist of Scientists/ Faculty members , from all concerned Departments and Officials from Administration/Finance for the proper Administration/Financial Management of CoE. This team should meet at least quarterly to review the functioning of the CoE.
- ❖ The CoE shall have a Steering Committee which is responsible to administer and manage the affairs and environs of the Centre. It is the apex policy making and decision-making authority of the Centre. The Steering Committee will be chaired by the Head of the Institution, with eminent Scientists/Academicians from various disciplines as Members, and a Convenor. The Steering Committee shall review the activities of CoE and shall provide necessary advice and guidance for strengthening the activities, with an overall objective of promoting the Research in their areas of specialization. This committee should meet once in 3 months to review the functioning of CoE and to sort out any issues related to its functioning.
- ❖ The Institution shall have adequate infrastructure for the functioning of CoE, including own land with buildings. The CoE may have sophisticated

instrumentation facilities, Library, Technology Business Incubation facility, General facilities including Computer Centre, Internet facilities, Telephone connection, Video Conferencing facilities, Conference Halls/ Seminar Halls, basic furnitures and equipments, Computers, Laptops, Accessories, etc.

#### **18. Review of Phase I :**

On completion of Phase I, the Principal Investigator shall submit 2 copies of bound volume of Project Completion Report (PCR) and 3 copies of Final Technical Report (FTR) in the prescribed format (soft binding without using plastic material and also with soft copies). Along with PCR and FTR, the Asset Transfer Certificate duly signed by the Head of the Host Institution shall also be submitted. On completion of Phase I, the progress of all CoEs including the deliverables will be critically reviewed by the Programme Advisory Committee (PAC), including field visits also. The PI shall present the achievements and deliverables before the PAC. The Final Technical Report (FTR) will be evaluated by the PAC and grades (in the scale 1 to 10) will be awarded to each CoE based on their performance. The CoEs which could not achieve the targeted and desired progress and deliverables in Phase I and which have no scope for further expansion will not be considered for further support. No project shall be sanctioned in future by KSCSTE to the PIs whose project FTR are graded below 6.

19. Based on the performance and deliverables achieved in Phase I, and as recommended by the PAC, a few potential CoEs will be provided continued support for Phase II for a period of 3 more years. The financial support to the Centre selected for Phase II support will be released on yearly basis. The release of financial grant and the procedure for reviewing the progress and the performance of the CoE supported under Phase II will be same as done during Phase I. The PI need not submit separate proposal for Phase II support.
20. The unutilized portion of the financial grant at the end of Phase I shall be refunded to Council forthwith by DD in favour of the Member Secretary, KSCSTE. The unspent amount need not be refunded at the end of first year, but the amount may be automatically adjusted towards the release of subsequent grant, unless otherwise it is specified.
21. For the CoEs selected for Phase II support, financial grant will be released on yearly basis. The unspent amount need not be refunded at the end of first and second year, but the amount may be automatically adjusted towards the release of subsequent grant, unless otherwise it is specified. The unutilized portion of the financial grant at the end of Phase II shall be refunded to Council forthwith by DD in favour of Member Secretary, KSCSTE.
22. 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.
23. 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 instalment of grant.

24. The Institute shall 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 as per the prevailing Council norms.
25. 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 host Institution.
26. 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 necessary progress is not made. 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.
27. The project becomes operative with effect from the date of receipt of Council Order or the date on which the amount is received by the Host Institution. This date should be intimated by the Institution authorities/ Principal Investigator to the Council. It shall, in no case be later than one month after the receipt of the amount by the Institute.
28. Investigators wishing to publish technical/ scientific papers based on the research work done under the project, should acknowledge the assistance received from Council, indicating the scheme. Investigators are also requested to publish the research papers emerging out of the project work in leading Indian Journals.

29. If the results of research are to be legally protected through IPR, the results should not be published without action being taken to secure legal protection for the research results such as filing Patents. The Investigator(s) should not enter into any collaboration with a foreign party (individual/industry) without prior approval of KSCSTE.
30. 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 Host Institution.
31. The 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 strictly observe such directions in the conduct of the research work.

We agree to the terms and conditions stated above.

**Signature with date:**

**Name and Address of  
Principal Investigator**

**Signature with date:**

**Name and Address of  
Co-Investigator(s)**

**Signature with date:**

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

**Office Seal with date**