

GUIDELINES FOR PREPARATION AND SUBMISSION OF R&D PROJECT PROPOSALS

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INTRODUCTION

Science & Technology plays a vital role in the development of various sections of society. Well thought out projects and investments in S&T can be of great assistance in raising the level of awareness and standard of living of the masses. They can benefit the people through development of new ideas, materials, machines or processes. They can be of particular assistance to the disadvantaged sections of the society by improvement of the traditional technologies and creating new awareness for employment. The S&T projects can also help in developing technologies, which are more relevant to the needs of the local people and thereby upgrade skills and technology on need basis.

OBJECTIVES

1. To motivate scientists & technologists for applying their expertise to the problems of the state.
2. To promote research, development and adoption of Science & Technology for improving quality of life of rural population.
3. To develop new/improve existing technology to improve the diversity of the local economy, utilization of local resources and to upgrade the skills of artisans etc. in the state.
4. To selectively promote the general capability in the relevant areas of science & technology by supporting need based R&D projects.
5. To encourage young scientists/inventors for pursuing innovative research ideas which have direct relevance to the development of the state.

OPERATION OF THE SCHEME

1. Generation of Proposals

The project proposals will be generated in the following ways:

- (a) A press advertisement will be released at the beginning of the year inviting scientists/inventors from academic institutions/govt.organizations/non-govt. organizations including private individuals to submit their project proposals in thrust areas identified by the council as well as newly emerging frontline areas identified by the council as Technology including multi disciplinary fields.
- (b) Various government departments, user organizations may suggest R&D in particular fields or on topics which may be of immediate relevance to them. In such cases, these proposals will be circulated to a sufficient number of academic/non-academic research institutions who are known to work in that area and project proposal obtained from them.
- (c) In exceptional circumstances the council may entertain project proposal of outstanding potential when received directly, at any time of the year.

KIND OF PROJECTS

2.1 Duration & Outlay : The duration of a project should not exceed 3 years and financial outlay not more than 10 lacs. In exceptional circumstances, Executive committee may allow a higher duration and outlay, after recording reasons.

2.2 Topics

- (a) The research topic should have immediate socio-economic benefit to the people of Haryana and society at large.
- (b) Research in applied fields/areas will be supported. Normally projects on research in pure science areas will not be supported.
- (c) Projects which are problem oriented and have short duration will be preferred.

PROJECT FORMAT AND TERMS AND CONDITIONS.

The project proposals will be submitted in the format and subject to such terms and conditions as given in the booklet.

Executive Committee will have the powers to relax the conditions in individual cases.

PROJECT APPRAISAL

- 4.1 The Project will be subjected to a preliminary appraisal by an internal screening committee consisting of Secretary/Executive Committee, Scientific Adviser, and two officers from the Council/Department, depending upon their field of specialization. The preliminary appraisal will concern itself with
- (a) Duration and budget of the project
 - (b) Relevance of the topic of research to Haryana's felt needs
 - (c) Conformation of the project proposal to the guidelines, enunciated in the Scheme.
 - (d) Council's previous experience with the institution submitting the project and general reputation of the institution.
 - (e) Infrastructure available with the Principal Investigator or his institution.
- (a) The Internal Screening Committee can interact with the Principal Investigator/ sponsoring institutions and suitability of the project for grant-in-aid.
- 4.2 The Recommendations of the Internal Screening Committee will be submitted to the Chairman/Executive Committee, Haryana State Council for Science & Technology to take decision for further action in the matter. Those projects which shall be cleared by the Chairman/Chairperson/Executive Committee will be sent to the external expert panel which shall comprise of the renowned Scientists working in the area of project.
- 4.3 The experts will send their comments latest in three weeks time. The comments of the experts will cover all the points mentioned in the Performa at Annexure 'A' At the end of the appraisal, experts will give their recommendations about funding of the project.
- 4.4 The recommendations of the experts will be placed before the Executive Committee for taking a decision for funding of project proposal.
- 4.5 To seek clarifications on the opinions, Secretary/EC may request the expert(s) to visit the Council office. If considered appropriate, Principal Investigator will be requested to join the experts in discussions on the Project.
- 4.6 Based on the recommendations of the experts, Principal investigator may be requested to suitably modify the Project. Principal Investigator's response to expert(s) comments etc. will also be placed before the Executive committee, for the approval.
- 4.7 Experts will be paid an honorarium of Rs. 800/- for evaluating the Project proposal. If called to Council, they will be paid travelling allowance at rates

admissible to officers of Haryana Govt., falling in Grade – I of TA rules and D.A. at Rs. 100/- per day.

- 4.8 In no case will the Council take more than three months in appraising a project and convey the decisions of the council to the principal Investigator.
5. Project Proposals not accepted by the Council will be returned to the Principal Investigator under intimation to the sponsoring academic institutions. Council will not enter into correspondence about the reasons for non-acceptance. Decision of the council will be final.
6. The grant for the project will normally be released year wise in one installment. However, more than one installment may be fixed, if Chairman/EC so decides.
7. Continuation of the project beyond first year will be subject to
 - (a) Submissions of 2 half yearly reports in the prescribed format on progress made during the year.
 - (b) An external expert and the internal Screening Committee judging the progress at end of the year to be satisfactory.
 - (c) Yearly installments may be released by Secretary/EC subject to above conditions. The yearly progress will be put up to Executive committee for information.
8. The project may be terminated mid-way if
 - (a) The progress is unsatisfactory; or
 - (b) The Principal Investigator/Institution indulges in violation of terms conditions of sanction;or
 - (c) The council so decides
9. Criteria for funding R&D projects
 - 9.1 More funding should be given to institutes/Universities of the state.
 - 9.2 Only those R&D projects should be taken up for funding which directly relates to the technological inputs in areas vital to the development of the State and its people.

- 9.3 While submitting the project for funding, the project investigator (P.I) should submit an affidavit indicating other agency/agencies from which funding has been sought/received and also state the amount received/to be received/sought. In case P.I. has already submitted the project to the other agency/agencies for funding then quantum of finance received from other funding agencies should be intimated to the Council. P.I. must also state the position of research activities in that particular area and confirm that there is no duplication in the research efforts sought to be undertaken vis-a-vis other research projects ongoing or completed.
- 9.4 Principal Investigator must submit the list of equipments required for the project so that while sanctioning, a conscious decision should be taken regarding assets which will remain with the institutes conducting the research after the project is completed.

GENERAL TERMS AND CONDITIONS

Approval of the research proposal and the grant being released is for the specific project sanctioned and should be exclusively spent on this project within the stipulated time. The institute is not permitted to seek or utilise funds from any other organization (Governments, Semi-Government, autonomous or private bodies) for the work that is supported under this scheme.

1. The project will become operative with effect from the date on which the grant is received by the institute. the date will be intimated by the institute to the sanctioning authority.
2.
 - a) The institute will maintain separate audited accounts for this project.
 - b) The institute will furnish to the Council a statement of accounts along with the progress report at the time of seeking further instalment of the grant.
 - c) The institute will furnish to the council, utilization certificate and an audited statement of accounts pertaining to each financial year.
 - d) Any unspent balance out of the amount sanctioned would be surrendered to the Council, carrying forward of unspent funds to the financial year other than permitted for utilization for the same project will require prior approval of the Council.

- e) If it is found expedient to keep a part or whole of the grant in a bank account earning interest, the interest earned should be reported to the Council. The interest thus earned will be treated as a credit to the Institute to be projected towards further installment of the grant.
4. a) 5 copies of the periodic progress report of the work on the project are to be submitted to the Council while seeking further installments of the Grant.
- b) 5 copies of a consolidated report on the work done under the project are to be submitted to the Council on completion of the project.
- c) If investigator leaves the institution when the project, has been sanctioned, the investigator shall submit a complete and detailed report of the work done by him on the project till the date of his leaving from the institution where the project is based. In such cases the principal investigator in consultation with the head of the institution shall make alternate arrangement for completion of the project.

5. The staff that may be employed for the project by the institution are not to be treated as employees of the Council and the employment of such staff at the time of completion or termination of the project will not be the responsibility of the Council. They will be subjected to administrative control & service rules as applicable (leave, T.A. etc.) of the institute where the project is based. For the expeditious implementation of the project, the rules governing the institute concerning the process of selection and appointment of the staff and payment to them will apply. In case of any special post rates of pay may be decided by the Council.

6. a) For permanent, semi-permanent assets acquired solely or mainly out of the grant and audited record shall be maintained by the institute. The term "assets" means (i) immovable property of the capital nature where the value exceeds Rs.1000. The grant will not be utilized the construction of any structure unless specific provision is made for this purpose.
- b) The institute is required to send to the Council of at the time of seeking further instalments of the grant, a list of assets referred to in 6(a) above.
- c) All the assets acquired from the grant will be the property of Council and should not, without the prior sanction of the Council, be disposed off or encumbered or utilized for purpose other than those for which the grant has been sanctioned.

d) At the conclusion of the project, the council will be free to sell or otherwise dispose off assets which are the property of council. The institute shall render to council necessary facilities for arranging the sale of these assets. The Council has the discretion to gift the assets to the institute if it considers appropriate.

7. a) Sale proceeds, if any, as a result of the development of the project arising directly from funds granted under the scheme shall be remitted to the council. The council may at its discretion allow portion of such receipts to be retained by the institute.

b) Know-how generated from the project would be the property of the Council and any receipts by way of sale of know-how, royalties etc. shall accrue to the Council. The Council may at its discretion allow a portion of such receipts to be retained by the institute.

c) The Council will have the right to call for drawing specification and other data necessary to enable transfer of know-how to other parties. The institute shall supply all the needed information at the request of the Financial commissioner, Department of Science & Technology, Haryana.

8. The institute shall not entrust the implementation of the work for which the grant is being sanctioned to another institution and divert the grant received as assistance to the latter institution. In case the institution fails to complete the project, it will be required to refund forthwith the council the entire amount of grants-in-aid received by it.

9. The Council, reserves the right to terminate the grant at any stage if it is convinced that the grant has not been properly utilized or appropriate progress is not being made.

10.a) Appropriate persons may visit the institute periodically for ascertaining the progress of work and resolving any difficulties that might be encountered in the course of the implementation. During the progress of the project the institute will provide all facilities to the scientists/specialists by way of accommodation etc.

b) Council at its discretion shall have the right of access to the books and accounts of the institute for the grants received from the council.

11. In case of multi-institutional project, the principal Investigator (PI) will obtain the formal agreement from the collaborating institutions.

12. International travel will not be permitted under the Project.

13. The PI shall not be allowed to change the scope and methodology of the project without prior permission of Council.

14. No additional funds or time shall be normally allowed to complete the Project. Such requests shall be considered only in exceptional cases.

15. In case PI does not complete the project to the satisfaction of or abandons the project without any valid reasons, he shall be liable to return the entire amount of the project paid to him towards the project.

16. Transfer of project from one person to another person will not be allowed without prior permission of Council.

ENDORSEMENT FROM THE HEAD OF INSTITUTION

(TO BE GIVEN ON LETTER HEAD)

PROJECT

TITLE: _____

1. Certified that the institute welcomes participation of Dr./Shri/Smt./Km _____ as the Principal Investigator and Dr./Shri/Smt./Km. _____ as the Co-Investigator for the project and that in unforeseen event of discontinuance by the Principal Investigator, the Co-Investigator will assume the responsibility of the fruitful completion of the project (with the intimation to council).
2. Certified that the equipment, other basic facilities and such other administrative facilities as per terms and conditions of the grant, will be extended to investigator(s) throughout the duration of the project.
3. Institute assumes to undertake the financial and other management responsibilities of the project.
4. Institute agrees to indemnify the council against any legal action or liability of any kind that may arise in connection with the undertaking of the project.

Name and Signature of Head of
Institution.

Date: _____

Place: _____

CERTIFICATE FROM THE INVESTIGATOR

Project title: _____

1. I/We agree to abide by the terms and conditions of the Council grant.
2. I/We have not submitted this or a similar project proposal elsewhere for financial support.
3. I/We have explored and ensured that equipment and basic facilities will actually be available as and when required for the purpose of the project. I/We shall not request financial support under this project, for procurement of these items.
4. I/We undertake that spare time on permanent equipment will be made available to other users.
5. I/We have enclosed the following materials:

<u>ITEMS</u>	<u>Numbers of Copies</u>
a) Endorsement from the Head of the Institution (on letter head)	One
b) Details of the Proposals from the part 1 to 5 (stitched)	Five
c) Name(s) and addresses (of experts) Institutions interested in the subject/outcome the project	One
d) Additional copies of part 2	Five

Name and Signature of Head of Institution

Date _____

Place _____

**FORMATS FOR SUBMISSION OF PROJECTS
(TO BE FILLED BY APPLICANT)**

PART-1

IDENTIFICATION

1. Project title_____

2. Duration
3. Total Cost
4. Principal Investigator
5. Designation
6. Department
7. Organization
8. Full Address (with telephone, telex, FAX etc.)

9. Co-investigator
10. Designation
11. Department
12. Organization
13. Full Address

SUMMARY OF PROJECT

PART-2

(ONE PAGE)

1. Project title_____
2. Principal Investigator
3. Project objectives
4. Workplace/Methodology
5. Anticipated results/benefits
6. Budget details

PART - 3

PROJECT PROPOSAL IN PERSPECTIVE

In about 2 typed pages the Principal Investigator should try to place the project proposal in a perspective, starting from the broad area of research to which the project belongs and moving down stage by stage to the exact proposal, describing in the process, the direction in which research/development is on in these areas, institutions which are primarily engaged in such R&D research leaders in these areas and the current status of research, in brief. It should be clearly brought out as to how the proposal will be breaking new grounds or how is it different from something very similar being done.

PART-4

TECHNICAL DETAILS

1. **Introduction**

- 1.1 Origin of the proposal
- 1.2 Definition of the problem
- 1.3 Objectives of the project

2. **Capability of the organization**

- 2.1 Specialists consulted/to be consulted
- 2.2 Expertise available with group
- 2.3 List of on-going and completed projects by the group giving the

following details.

Title of the project	Year of start and completion	Project cost	Name of sponsoring organization

3. **Workplan**

- 3.1 Phase wise plan of action including prior consultations with the target group persons etc. upto post project activities.
- 3.2 Time schedule of activities giving milestones
- 3.3 Organization of work elements
- 3.4 Plan for utilising expected outcome of project.

4. **Location specific information**

- 4.1 Description of participatory group and their prioritized needs.
- 4.2 Relevance of proposed activities to the work ongoing in the organization.

5. **Assessment of the Project**

- 5.1 Techno-economic viability/cost benefit analysis.
- 5.2 Comment on the integration of the project with the development strategy of the area.
- 5.3 Comment on the likely impact on neighboring areas/society.

- 5.4 Comment on the estimation when the activities will become self generating.
- 5.5 Suggested parameters for monitoring effectiveness of intervention during and after the project.
- 5.6 Work already done or being done which is nearest to the project in objective scope & methodology, alongwith the institutions & names of the people involved.

PART-5
BUDGET ESTIMATES

(In Rupees)

Item	(BUDGET)			
	1st Year	2nd Year	3rd Year	Total
<hr/>				
A. Recurring				
1. Salaries/Wages				
2. Consumable				
3. Travel				
4. Other costs/ Contingencies				
5. Overheads				

B. Equipment

Grant Total (A+B)

Financial Year : April to March

N.B./entries here should match those in section given below

BUDGET FOR SALARIES/WAGES

(In Rupees)

Designate (Number of Persons)	Monthly Emoluments	BUDGET		
		1st year	2nd Year	3rd Year
Total				
<hr/>				
Full Time				
Part Time				
<hr/>				
Total				

(Justification is to be given)

PART - 6

PERFORMA FOR BIO-DATA OF INVESTIGATORS

- A. Name
- B. Date of Birth
- C. Institution
- D Whether belongs to SC/ST
- E. Academic career
- F. Awards/Prize/Certificate etc. won by Investigator
- G. Publication (Number only)
Books Research Papers General Articles Patents and others (please specify)
- H. List of completed and on going projects

Sr.No.	Title of Project	Duration		Total Funding
		From	To	Cost
Agency				

I. Project submitted: -----

Title of Project	Name of organization	Status
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**PERFORMA FOR SUBMITTING HALF YEARLY
PROGRESS REPORT OF THE PROJECT**

1. Title of the Project
2. Date of start of Project
3. Name of Principal Investigator and address
4. Name of Co-Investigators (if any)
5. Place of work
6. Objectives
7. Time schedule of Project indicating year-wise activities and financial requirements.
8. (a) Summary of research work done so far
(b) Expected date of completion of the project (please indicate time versus activity schedule)
9. Report of work done during the last six months.
10. Work proposed to be done during the last six months.
11. Staff position
12. Details of Expenditure
 - (a) Details of expenditure incurred during the last six months.
 - (i) Recurring contingencies
 - (ii) Non-recurring contingencies
 - (iii) Salaries
 - (iv) Total :
 - (b) Funds released earlier with dates
 - (c) Next date due for getting the funds released (Please mention the amount requested)
13. List of equipment purchased (if any)
 - (a) Name of equipment
 - (b) Date of receipt
 - (c) Date of Installation
14. Difficulties/problems faced in implementation of project and suggestions for remedies.
15. Any other relevant information.