

GUIDELINES

FOR THE SCHEME

'DEVELOPMENT AND PROMOTION OF CLEAN TECHNOLOGY

AND

WASTE MINIMISATION STRATEGIES'

2013

GOVERNMENT OF INDIA
Ministry of Environment & Forests
Paryavaran Bhavan, CGO Complex,
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1. INTRODUCTION:

1.1 A grant-in-aid scheme on Development and Promotion of Clean Technologies was initiated in 1994. Clean Technologies are distinct and different from “end-of-pipe” abatement technologies, minimizing the generation of waste streams in the production processes and utilizing the wastes from other consumption goods and production processes, rather than treating the wastes after generation. In general, clean technologies are less intensive in using the raw materials and energy than conventional technologies, which rely on pollution abatement after generation. The Ministry has been providing financial assistance under the Central Sector Plan Scheme for those projects whose primary research has already been completed and is ready for Pilot scale demonstration research on innovative technologies in the areas of highly polluting categories of industries. Main objective of the demonstration research projects was to standardize the data obtained after primary research to develop and demonstrate the suitability of the prototype and to study the feasibility of the technology in the Indian environmental conditions both from economic and scientific points of view.

1.2 Main objective of the Scheme related to waste minimization was to optimize the consumption of raw materials and also to reduce waste generation by adopting suitable production techniques which are cleaner in nature and can be adopted by the existing units without necessarily changing the production processes or unit operations. The approach to the problem was towards utilizing the existing production facilities in an optimal manner. The purpose of the scheme was to assist primarily the Small and Medium Scale units which do not have access to the requisite technical expertise to achieve waste minimization. The programme aimed at not only achieving waste reduction and bringing down the overall cost of production through optimization in one or more units but also building confidence among other industrial units in the cluster/region to take similar initiatives.

1.3 The Ministry of Environment & Forests proposes to merge the abovementioned two sub-schemes on clean Technologies and waste minimization respectively and to streamline the process of project submission, appraisal, monitoring along with strengthening industry-research linkage to ensure adoption of technologies/strategies developed, with a focus on small and medium sector.

2. OBJECTIVES:

2.1 The primary objectives of the scheme are:

- (i) Identification of priority areas and development of appropriate economically viable clean technologies and waste minimization strategies for small scale and medium scale industries through interface with industry, R&D establishments and academic institutions,
- (ii) Promotion and adoption of clean technologies and waste minimization strategies by the industry/industrial clusters through setting up of pilot/demonstration projects on prototype development,
- (iii) Absorption and up-gradation of imported clean technologies and their demonstration through pilot projects,

3. SECTORS OF INTEREST:

3.1 The industry sectors/clusters, where despite the availability of clean technology options, the small and medium scale industry has not been able to switch over to cleaner technologies and waste minimization strategies owing to lack of R&D capabilities, limited access to appropriate and affordable clean technologies and other related factors shall be the focus of interventions in thrust/priority sectors identified by the Ministry. An illustrative list of these sectors is as follows:

S. No	Sector	S. No.	Sector
1.	Agro-based industries	2.	Aluminum Smelter
3.	Caustic Soda	4.	Cement
5.	Copper Smelter	6.	Distilleries
7.	Dyes and Dye Intermediates	8.	Electroplating
9.	Fertilizer	10.	Integrated Iron & Steel
11.	Tanneries	12.	Pesticides
13.	Petrochemicals	14.	Plastics
15.	Drugs and Pharmaceuticals	16.	Pulp and Paper
17.	Waste Oil Refineries	18.	Sugar
19.	Energy	20.	Zinc Smelter
21.	Textiles	22.	Paints and Resins
23.	Chemicals	24.	E-waste

3.2 Projects have to address the Clean Technology/Waste Minimization needs of Small and Medium Scale units falling in the above mentioned categories. In addition, projects related to common treatment facilities and infrastructure may also be considered. The thrust/priority sectors may be further elaborated by a project committee constituted by the Ministry and consisting of various experts as mentioned in para 5 of the guidelines. Representatives from SPCBs and industry associations may be called as special invitees for the purpose.

4. ELIGIBLE ENTITIES AND NATURE OF PROJECT PROPOSALS:

4.1 Project proposals can be submitted by the following entities:

- i) Autonomous institutions/statutory bodies under Central or State Government in the field of R&D/Extension, with proven track record of having tie-up/collaboration with industries/consortiums of industries,
- ii) A registered company more than three years old, having healthy financial track record, with in-house R&D units, preferably recognized by DSIR, and having tie-up with industries/consortiums of industries
- iii) Apex industry bodies

4.2 MoEF will encourage multi-disciplinary proposals envisaging network/collaboration of various institutions having diverse expertise and facilities for synergistic implementation of the projects with industries/ Associations/ Industrial Development Corporations of States/SEZ.

4.3 The project proposal should aim at identification of appropriate economically viable clean technologies with clear environmental benefits with market potential. The project should result in significant benefits in terms of environmental projection, raising the technological level of the industry concerned, energy and material savings/recovery,

conservation of resources and waste minimization without compromising on market competitiveness.

4.4 The nature of proposals supported should conform to the objectives of the Scheme mentioned at para 2 above. Project should aim at development of a new or improved product resulting in prototype development and ending with demonstration in commercial environment, or development of a new or improved process resulting in establishment of process knowhow, development of process equipment and demonstration of yield, efficacy, environmental benefits etc. in a pilot plant or customization of imported technologies in Indian environment or survey and research on identification of key areas for intervention or dissemination of waste minimization strategies approach (**Annexure – III**).

4.5 The general requirements for the Project Proponent are given at (**Annexure – I**).

5. PROCESS OF INVITATION AND EVALUATION OF PROJECTS:

5.1 The project proposals may be invited by the MoEF in the following modes:

(i) Through open advertisement: The Ministry may invite proposals, through advertisements suitably published, in the identified thrust areas, in addition to the specific needs of policy making, including survey and research. Selection of the proposals received for funding can be made competitively on the basis of the technical soundness of the proposals (including research credentials of the proposed research team), projected financial requirements and the sectoral priorities.

(ii) Through limited offer: The Ministry may award research studies to one or a network of research institutions, identified competitively on the basis of recognized capabilities in the concerned niche area, out of a panel of shortlisted institutions, depending upon the specific needs of policy making.

5.2 The Ministry shall constitute a Project Evaluation Committee on Cleaner Technologies, the composition of which shall be as follows:

(i) Joint Secretary, C.T. Division, MoEF, New Delhi	-	Chairman
(ii) Advisor, DST, New Delhi	-	Member
(iii) Advisor, CSIR or nominee, New Delhi	-	Member
(iv) Advisor (Env.) Planning Commission or nominee, New Delhi	-	Member
(v) Member Secretary, CPCB or nominee	-	Member
(vi) Director (IFD), MoEF, New Delhi	-	Special Invitee
(vii) Director, Clean Technology, MoEF, New Delhi	-	Member Secretary

In addition, subject matter experts from SPCBs/public R&D institutions and representatives of apex industry associations may be co-opted as special invitees on a case to case basis.

5.3 The terms and reference of the above committee would inter alia include:

- (i) Identification of additional priority/thrust areas relating to industry sectors/industrial clusters requiring adoption of clean technologies and waste minimization strategies by small and medium scale sector.

- (ii) Identification of bouquet of appropriate clean technologies/processes for the identified/prioritized industry sector/cluster for establishment of pilot/demonstration project.
- (iii) Invitation of proposal for establishment of pilot/demonstration project or other activities envisaged through open advertisement.
- (iv) Consideration and evaluation of proposals, including preliminary scrutiny. The Committee would examine the proposal with specific reference to:
 - (a) Expected environment and other physical outcomes of the project.
 - (b) Component wise analysis of costing of the project.
 - (c) Techo economic feasibility of the project
 - (d) Cost benefits analysis in term of physical outputs and environmental benefits.
 - (e) Sources of funding of the project.
- (v) Make recommendations for funding the project.
- (vi) Identify appropriate Public Sector Institution for Monitoring the implementation and output/outcomes of the project in association with SPCB/CPCB/MoEF.

5.4 The project proposals received in the Ministry will be initially scrutinized by a three member Committee. After the preliminary scrutiny, the proposals will be sent to two reputed public sector institutions having domain expertise for independent peer review along with the Central Pollution Control Board. A list of such institutions may be seen at **(Annexure-IX)**. Subsequently, the comments received from these Institutions will be placed before the Project Committee of the Ministry for final consideration. The Committee will consider the comments received from the experts in each case and may accept the proposal or reject it or direct the project proponent to incorporate the suggestions given by the experts and revise the proposal accordingly.

6. SANCTION AND MONITORING OF PROJECTS:

6.1 The Ministry will consider the recommendations of the Project Evaluation Committee on Cleaner Technologies and examine the administrative and financial aspects as per the norms of the Government of India and get the approval of the competent authority for funding the project.

6.2 A Project Monitoring Committee (PMC) shall be constituted by the Ministry for each project comprising one representative each of MoEF, CPCB, concerned SPCB/PCC and one of the public sector institutions, with domain expertise, which have appraised the proposal. The empanelled Institution will nominate two experts not below the rank of the Professor/Associate Professor. Usually, the senior most Professor will be the Chairman of the Committee and will be responsible for over all functioning of the Project Monitoring Mechanism and the second name shall be kept in reserve. The PMC shall monitor the progress of the project and provide suggestions to achieve the results from the project. The Committee shall meet at least twice during the project duration, once during mid-term and again at the completion of the project positively and will submit its report to the Ministry.

6.3 The Terms of references (ToR) of the PMC will be as follows:

- (i) The activities undertaken in the project shall be monitored and the experts will provide comments on project implementation, including suggestions for mid-term course correction and evaluation of work done against the sanctioned roadmap.

(ii) The meeting of the Committee shall be convened at the project site to enable site inspection. The PMC shall have to submit its Progress Report within seven days after the visit.

6.4 A maximum of 5% of the project cost shall be available for meeting expenditure on monitoring and evaluation of the project, which shall be borne separately by the MoEF.

6.5 For externally aided projects (EAP), suitably modified appraisal, sanction, budgetary release and monitoring methods may be adopted by the Ministry.

7. FUNDING PATTERN:

7.1 Grants will be released for different types of projects on the following pattern:

- (i) **Demonstration/Pilot Project:** The Support from the Ministry would primarily cover prototype development, cost of pilot plant, cost of process equipment development, testing and evaluation of products, user trials, contingencies, travel costs and salaries for the consultants and supporting staff etc. This does not include the cost of the land and building, which shall be provided by the project proponent/industry. The scale of central assistance would be limited to 75% of the project cost, excluding land and building. In such cases the balance minimum 25% contribution would be made by the project proponent/participating industry. Some contribution by industry would be mandatory.
- (ii) **Waste Minimisation Circles:** Ministry has been facilitating and supporting Waste Minimisation Circles through Industry associations / organisations to promote practices relating to waste minimisation and its utilisation by the Industries. While the establishment of these circles have contributed significantly in popularizing waste minimisation strategies amongst industries, it is felt that it would be more effective if Waste Minimisation Circles should be encouraged at the state level, as per local conditions, by the SPCB, as a conclave of preventive technologies spearheaded by polluting industries themselves. As such, it is proposed to facilitate formation of Waste Minimisation Circles at the State level by Conclave of Industries in consultation with SPCBs and support the same.

The Programme aims to achieve waste reduction through optimization in one or more units, sharing of experiences with each other to achieve reduction in waste and also in production cost. The assistance for carrying out the activities of Waste Minimisation Circles would be available to registered societies of member industries, which may work under the supervision and guidance of Project Proponent extension institutions/industry body. Norms for prioritization of industrial area/clusters for support and deliverable would be as per details given in guidelines. The scale of support to such registered societies would be limited to 90% of the cost of approved activities at cluster level with 10% of the contribution from member industries/registered societies. In addition, 100% support for manpower and project supervision shall be given to the project proponent.

- (iii) **Survey and Research Studies:** Projects related to carrying capacity/life cycle assessment studies, creation of data base and survey of Best Available Technologies, feasibility of the economic instruments etc. comes under this category. 100% assistance is available to the project proponent.

7.2 The Ministry shall release the sanctioned amount in three installments. The first installment shall be released upfront, the second installment after the mid-term evaluation of the progress of the project and recommendation by the PMC, and the third installment at the end of the project after review and recommendation by the PMC and acceptance of the Final Technical Report by the Ministry.

7.3 The pattern/norms for assistance for different kind of projects are given at **Annexure – II.**

8. INDUSTRIAL PARTICIPATION IN THE PROJECT

The demonstration/pilot plant would be setup in the industry. The scale of assistance would be limited to 75% of the project cost excluding land and building. The industry will have to contribute 25% of the project cost. This does not include the cost of the land and building which shall be provided by the industry. Consent of the industry to set-up demonstration/pilot plant to standardized the technology at commercial scale and to replicate it, will be an essential component of the project (**Annexure-VIII**).

9. DISSEMINATION OF PROJECT FINDINGS TO THE BENEFICIARIES

9.1 Wide dissemination of findings of the project would be encouraged. A national level workshop will have to be organized by the Project Proponent at a suitable place where all the concerned departments and entrepreneurs in that sector would be invited to participate. The Project Proponent in joint authorship with the Ministry will also publish a small booklet containing the objectives, methodologies and outcomes of the study. The booklet will be distributed in the workshop and dispatched to the concern organizations and other stakeholders. Apart from the workshop, an endeavor would be made to publish the findings in professional journals/books, Enviro News etc. The results will also be put on the website of the Ministry and other related websites (CPCB, Research Institutions/Universities etc.).

10. INTELLECTUAL PROPERTY RIGHTS AND ROYALTY:

10.1 The research institution, collaborating industry will own the IPR (as per agreement they enter into). They will also indemnify the government against any possible infringement of IPR. The Project Proponents would have the first right to commercialise the technology developed. In case the company does not commercialise the technology in a period of two years after completion of the project or does not exercise its option to commercialise technology within one year of completion of the project, only in such a case the technology will need to be assigned to MoEF or the CPCB, if the Ministry so deems fit, for third party licensing. Revenues from such licensing will be shared with the executing agency as per the actual financial contribution in the project.

10.2 Project Proponent will be required to pay lumpsum royalties in five annual installments amounting to 1.3 times the amount received, after start of commercial sale / commercial support.

10.3 A project will be deemed to have been successfully commercialized on the date when the industry undertakes first commercial sale of products in their existing plant or a new producing units installed on the basis of the project supported by the Ministry.

GENERAL REQUIREMENTS FOR THE PROJECT PROPONENT

The following procedure will apply to all proposals:

1. The Principal Institution implementing the project should assume financial and other administrative responsibilities of the project. The Head of the Institution should forward the proposals (**Annexure-V**). In case a pilot scale demonstration project where proposal involves a network of researchers, the Institution should identify the Lead Investigator from each of the participating institution with the approval of the Head of the Department concerned. A coordinator among themselves can be nominated as Principal Investigator (PI) who will be responsible for over all progress to complete the tasks.
2. In the case of multi-institutional projects, the Principal Investigator (PI) has to obtain the formal consent of the collaborating institutions/scientists, along with the participating industry. Formal MoU/Agreement may be worked out formalizing the arrangements stated in the proposal and approved by MOEF subsequent to the sanction of the project.
3. Project personnel recruited for the project work are temporary and should be paid as per the rules of the parent institute and guidelines of the Government of India.
4. It is the policy of MoEF to maximize the use of the equipment. So, the Investigators shall permit the use of spare or ideal capacities of the equipment procured under the project by the *bona fide* users of the parent or nearby institutes. Equipment of indigenous technology is preferred for the project while imported equipment can be considered only if it is certified that he said equipment is not available in India.
5. The Ministry of Environment and Forests would suitably advertise the thrust areas of the scheme. Accordingly, the project proposals can be submitted in the prescribed format by the Principal Investigator.
6. Project Proponents should submit 10 copies of the proposal to the MoEF, printed on both sides of A4 size paper, with the electronic copy of the proposal on a CD in MS Word.
7. Proposals should be prepared and submitted strictly according to the formats prescribed.
8. MoEF will issue a letter of acknowledgement, with a registration number of the project within two weeks from the date of receipt of the proposals in the Ministry.
9. Registration number/ letter number (given by the MoEF) and title of the proposal should be given in all subsequent communications.

10. Information should be furnished under each sector of the project proposal. In case, if any, sector is not applicable for the proposed work, it should be filled as "Not Applicable" or "Nil".
11. In the case of scientists superannuating during the tenure of the project, operating the project as Principal Investigator (PI), there should be a Co-PI who should be in permanent service during the entire duration of the project.
12. Projects will normally be sanctioned for a maximum of two years. The grant will be payable in three installments on timely submission of Utilization Certificates, Expenditure Statements and Progress Reports of the Progress Monitoring Committee. In the case of collaborative research carried out by a network of institutions, the Coordinating Institution would be responsible for submission of the Utilization Certificate, Expenditure Statement and Progress Reports covering all the collaborators. Authorities of the institution(s) where the project work is to be carried out would receive the grants and they will be responsible for fund disbursement, administration and maintenance of accounts (**Annexure-IX**). The projects become operative with effect from the date on which the Draft/Cheque from the Ministry is received by the implementing organization. This date should be immediately intimated by the organization authorities/Principal Investigator to MoEF.
13. 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.
14. First installment of grant is released along with the first sanction order. It includes cost of Equipment for demonstration plant and part of recurring grant including 'Overheads' for the first year of the project.
15. In case, any investigator leaves the institutions, responsibility for completion of the project should be ensured by the Principal Investigator concerned to the Ministry, before leaving. MoEF reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilized or satisfactory progress is not being made.
16. All accounts in respect of the project will be subject to annual audit by the institution and utilization certificate (UC), Expenditure Statement (ES) and Audit Certificate (AC) should be submitted to the Ministry (**Annexure-VI-A-B**). On completion/termination of the project, the duly audited accounts shall be submitted and the unspent balance, if any shall be refunded to the MoEF within six calendar months of completion/termination of the project. Full and final payment will be made only after the acceptance of all the financial certificates, audit reports and Final Technical Report (FTR) of the project.
17. During the course of implementation of the project, the MoEF will constitute a Project Monitoring Committee (PMC) to monitor progress of the project, which will meet

twice during the project duration, once during midterm and again at the completion of the project. The monitoring will be done by an empanelled institution (**Annexure-X**), who will nominate two experts not below the rank of Professor/Associate Professor. The MoEF/CPCB/SPCB will be the member of the monitoring committee.

18. Selection and appointment of JRFs/ SRFs/ Emeritus Scientists/Support Staff for the project should be made by the Principal/Lead Investigator in accordance with the procedures of the institutions concerned for a period not exceeding the sanctioned duration of the project. However, the consultants can charge their fee as per the prescribed norms of MoEF (**Annexure – II-B**).
19. Staff appointed for the research project will be subject to the administrative control and service rules of the institutions where they are appointed.
20. Appointment of a consultant in the project shall be governed by the prevailing guidelines of CSIR. However:
 - (i) The consultant(s) in the project can be engaged for a specific assignment and justification for engagement should be adequately brought out. The roles, rights and responsibilities of consultant(s) will be well defined;
 - (ii) The period of engagement of consultant could be up to one year only and any extension shall be reviewed and approved by the PMC up to a maximum of another one year.
21. In respect of some specific research projects, *at the time of sanction*, the Ministry may prescribe some conditions of prior approval for publication or conference presentation of the results/outcomes of the project.
22. In the event, after due enquiry, the Ministry concludes that the progress of a research project is unsatisfactory and beyond improvement, it may terminate the project. Upon such termination, full audited accounts should be submitted and refund of all unspent balances should be made promptly to the Ministry.
23. All equipment and stores purchased out of the grant would remain with the institution concerned unless otherwise specified in the sanction. However, the grantee organization will submit the list of assets acquired under the project as per the prescribed Performa. The terms "Assets" here means (a) Immovable property and (b) movable property of a capital nature where the value exceeds Rs. 10,000/-.
24. International travel, even if provided for in the project budget, will normally not be allowed.
25. The research fellows and investigators may pursue a research degree while working in the project. They may utilize the research outputs of the project towards their degree requirements, except in cases where the sanction would provide that the research results are classified.
26. The PI shall submit, without fail, three hard copies and one soft copy of the progress report of the project at six months interval to the Ministry.

27.The grantee organization shall open a separate account for the project and interest accrued from the amount of grant may be utilized for the project with the permission of Ministry.

28.Extension may be granted in exceptional cases after recording reasons in writing upto a maximum period of one year. Any request for extension of the project should be sent by the PI to the Ministry at least three months before the closing date. The PI should not make any expenditure after the closing date without the specific approval of the Ministry or till the extension is conveyed. If such extension does not involve change in scope of the project, no additional funds would be sanctioned.

29.At the end of the project, the grantee organization(s) will furnish 5 copies of the Final Technical Report (FTR), including Executive Summary, along with a soft copy, to the Ministry. The FTR will be subject to review by the Project Monitoring Committee (PMC).

30.Non-Governmental Organizations seeking financial assistance for research projects shall execute a Bond in the prescribed format (Annexure – IV).

31.All the correspondence should be made only to the contact person of MoEF specified for the demonstration project concerned.

32.Outcome of the project will be published by the Project Proponent in joint authorship with the Ministry in the form of a booklet and will be sent to the CPCB, SPCB and other organizations concerned for implementation.

33.After successful completion of the project, the PI shall organize a National Workshop for the dissemination of the results.

34.The Ministry will follow one Principal Investigator one project norm and no second project will be sanctioned till the on-going project is completed. However, in case of a requirement of the Ministry, the committee may consider it on case to case basis.

35.The Head of the Institution/Department will certify that Certified that the equipment/instruments proposed in the project are not at all available in the Department/institution or are available in the Department/Institution but are not available for dedicated project use (Annexure-VII). The guidelines for formulation and submission of projects and the prescribed format can be obtained from the Ministry of Environment,Forest and Climate Change Clean Technology Division, Indira Paryavaran Bhawan, Jor Bagh Road, New Delhi – 110 003 or downloaded from the Ministry's website (<http://www.MoEF.gov.in>). Proposals complete in all respects (10 hard copies & in a CD) may be sent to:

**The Adviser,
Clean Technology Division,
Ministry of Environment,Forest and Climate Change,
Indira Paryavaran Bhawan,
Jor Bag Road.
New Delhi – 110 003
Tel: 011-24695245 E-mail: hasan-mef@nic.in**

**ACTIVITIES PROPOSED UNDER PILOT/DEMONSTRATION PROJECTS ON
TECHNOLOGY DEVELOPMENT AND PROMOTION**

The financial support by MoEF primarily covers prototype development, cost of pilot plant, cost of process equipment development, test and evaluation of products, user trials etc. Part of the financial support to the projects has to be from industry's resources. The financial support from MoEF is mainly to meet part of the developmental expenditures for:

- a. Personnel costs (specialists employed, part-time/full-time/contract basis, exclusively for specified activities);
- b. Consultancy (cost of indigenous consultancy and equivalent services used exclusively for the research activity, including research, technical knowledge, patents, etc);
- c. Patenting;
- d. Running costs (such as expenditure towards raw materials, consumables, hardware/software tools, components/sub-assemblies for prototype, equipment for pilot plant etc. incurred directly as a result of proposed research activity)
- e. Testing, trials & certification.
- f. Support is available only for the innovative element in the project.

Support staff (Technical/non-technical) recruited specifically for the project	Establishment costs are not covered by direct budgetary/grant support by the Government	Actual and subject to a maximum of 25% of pay and allowances of Research staff (inc. JRF/SRF) even if these costs are met by Government under any other scheme
Equipment/instruments (including Computers, software and peripherals) essentially required for dedicated use in the project and are not available in the Department / institution (or) are available in the Department / Institution but are not available for dedicated use of the project.	All institutions	100% on preferably on competitive bidding
Equipment/instruments (including Computers, software and peripherals), not for the dedicated use of the project	All institutions	Covered under "Institutional charges"
Travel	All institutions	As per CSIR/UGC/DST norms for travel entitlements [for personal level of staff]
Expendables and Field Survey	All Institutions	100% as per verified estimates subject to actual
Contingencies	All Institutions	Project cost up to one Crore: 5% of the total Project Cost (excluding institutional charges) Project cost > one crore: quantum to be decided on a case to case basis
Institutional Charges	All Institutions	(a) As applicable in a public sector institutions. (b) For others maximum of 15% of the project costs

**APPLICATION FORMAT FOR PROJECT PROPOSAL SEEKING PARTIAL
FINANCIAL SUPPORT FOR NEW PRODUCT DEVELOPMENT**

Project Title:

Part A – General

- A1. Company Background
- A2. Technology Background
- A3. Personnel Background

Part B – Summary

- B1. Executive summary of the proposal

Part C - Details

- C1. Technical
- C2. Commercial
- C3. Financial with justification

Sl. No.	Expenditure Heads	Total Estimated Cost
1.	Design/Engineering/Consultancy from external agencies (their background and work assigned to them are to be given along with cost estimate).	
2.	Prototype(s) (Sub-assemblies/ components/ parts/ consumables, software, assembly/ integration).	
3.	Mechanical Tools, Jigs, Fixtures, Dies, Software tools etc required to develop prototypes.	
4.	Manpower costs of industry personnel (including their travel costs).	
5.	Specialized test equipment required to test prototypes.	
3.	Testing/ endurance trials/ national and international certification.	

- C4. Existing facilities that will be utilized.
- C5. Details of Network partners

- C6. Details of participating industries with consent letter
- C7. Action Plan
- C8. Summary of inputs
- C9. Summary of output

Signature of Chief Executive/Managing Director

**APPLICATION FORMAT FOR PROJECT PROPOSAL SEEKING PARTIAL
FINANCIAL SUPPORT FOR NEW PROCESS DEVELOPMENT**

Project Title:

Part A – General

- A1. Company Background
- A2. Technology Background
- A3. Personal Background

Part B – Summary

- B1. Executive summary of the proposal

Part C - Details

- C1. Technical
- C2. Commercial
- C3. Financial with justification

Sl. No.	Expenditure Heads	Total Estimated Cost
1.	Consultancy from external agencies (their background and work assigned to them are to be given along with cost estimate)	
2.	Pilot plant equipment (procured/ developed)	
3.	Chemicals and raw materials consumed	
4.	Manpower costs of industry personnel (including their travel costs)	
5.	Specialized test equipment for pilot plant.	
3.	Test trials	

- C4. Existing facilities that will be utilized.
- C5. Action Plan
- C6. Summary of inputs
- C7. Summary of output

Signature of Chief Executive/ Managing Director

RESEARCH STUDY AND SURVEY FOR GRANT OF PROJECT

(To be completed by the Principal Investigator)

1. Title of the Project: :
2. Name, Designation and Addresses of Principal and Lead Investigators :
3. Date of superannuation of PI :
4. Name(s), Designation and Address(es) of Co- Investigators: :
5. Institution where the project will be implemented (Lead Institution in case of a network) :
6. Names of Network Partners (participating institutions and Industry) :
7. Details of the participating industry (size and type of the industry i.e. SSI or SME) :
8. Consent letter from the Industry :
9. Duration of the project (years, months) :
10. Total amount of Grant required :

Annexures:

Annexure III (A): Project Brief

A brief summary of the project (not exceeding one page):

Annexure III (B): Project Investigators:

- (a) CVs of all research staff, covering academic qualifications (Degrees, Year, University, Thesis Title for research degrees), Peer Reviewed research publications, and Institutions where previously located.
- (b) Details of project grant proposals submitted by (all participating) Institutions to Ministry/all other funding organizations which are currently under consideration.

Annexure III (C): Technical Proposal

- (a) Specification of research question(s) :
- (b) Survey of literature relating to the project :
 - Existing relevant literature on the subject – 2 pages note on key findings, gaps in knowledge.
 - Relevant sites on Internet – 2 pages Note on key Internet findings
- (c) Justification for the proposed project in relation to the Thematic Priorities :
- (d) Outline of research methodology :
- (e) Data sources :
- (f) Surveys to be conducted :
- (g) Equipments and Infrastructure Available :
- (h) Equipments and Infrastructure required :
- (i) Support staff available (Technical/Non-Technical) :
- (j) Additional Support staff required (Technical/Non-Technical):
- (k) Time Schedule of the project (PERT-Chart) giving annual monitorable targets :
- (l) Envisaged deliverables :
 - (i) Economic Benefits
 - (ii) Environmental Benefits
- (m) Modalities for dissemination of Research Outputs :

Note:

- ❖ **Activity schedule to be provided.**
- ❖ **The project shall be carried out in 2 phases:**
 - (i) Preparation of pre-feasibility study**
 - (ii) Final Technical Report**
 - (iii) Workshop**
- ❖ **The physical and financial targets should be given separately for both the phases.**

Signature of the Applicant

Annexure III (D): Project Budget:

A. Person-months to be spent on the project:

Name of Investigator/ JRF/SRF/ Emeritus Scientist/ Support staff	Person months Year 1	Person months Year 2
Totals:		

B. Salaries₃ and Benefits₄ (scaled to person-months to be spent on the project by each):

Name of Investigator/ JRF/SRF/ Emeritus Scientist/ Support staff	Salary For Year 1	Benefits For Year 1	Total Year 1	Salary For Year 2	Benefits for Year 2	Total Year 2
Totals:						

C. Capital costs of Equipment/Infrastructure⁵:

Equipment/ Infrastructure	No. required	Unit costs	Cost in Year 1	Cost in Year 2	Total cost
Totals					

³ Salary: Includes Pay and Dearness Allowance

⁴ Benefits includes all other Allowances and estimated reimbursements (except travel related)

⁵ Includes computers, software, and peripherals

D. Consumables (Chemicals, Glassware):

Year 1:

Year 2:

Total:

E. Travel costs:

Name of Investigator/ JRF/SRF/ Emeritus Scientist	Travel Events Year 1	Travel Events Year 2	Total No. of trips National	Total No. of trips International
Totals				

Name of Investigator/ JRF/SRF/ Emeritus Scientist	Travel Year 1	Per- Diem Year 1	Total Year 1	Travel Year 2	Per- Diem Year 2	Total Year 2	Per- Diem Year	Project Total
Totals								

F. Contingencies

G. Institutional charges

H. Contribution of the participating industry for demonstration/pilot plant (excluding land and building)

I. Grand Total for Project

BOND
(For Non Govt. Organization)

KNOW ALL MEN BY THESE PRESENTS THAT WE, signed for and on behalf of a society registered under the _____ and having its office at _____(herein after called the 'Obligors' which terms shall unless excluded by or, repugnant to the context be deemed to include its successors, permitted assigns and all persons entitled to and capable of disposing off the assets and properties of the obligors) are held and firmly bound to the President of India (herein-after called the 'Government' which term shall unless exclude or repugnant to the context be deemed to include his successors and assigns) in the sum of Rs. _____(Rupees _____only) well and truly to be paid to the government on demand and without a demur for which payment we firmly bind ourselves by these presents.

SIGNED this _____day of _____in the year Two thousand _____.

WHEREAS on the obligors request the government has as per union Ministry of Environment's letter No. _____ dated _____(herein after referred to as the Letter of sanction' which forms an integral part of these present and a copy whereof is annexed hereto as Annexure'A') agreed to made in favor of the obligors for the purpose of grant of Rs. _____(Rupees _____only) out of which Rs. _____ (Rupees _____only) have on _____ been paid to the obligors (the receipt of sum the _____do hereby admit and acknowledge) on condition of the obligors have agreed to do.

NOW the condition of the above-written obligation is such that if the obligors duly fulfill and comply with all the terms and conditions mentioned in the Letter of sanction then the above written bond or obligation shall be void and of no effect, but otherwise it shall remain in full force, effect and virtue.

And these presents further witness as under:

The decision of the Secretary to the Government of India in the ministry of Environment on the question whether there has been breach or violation of any of the terms and condition mentioned in the letter of sanctions shall be final and binding in the obligors, and

The Government have agreed to bear the stamp duty, if any, chargeable on the presents.

In witness whereof those Presents have been executed on behalf of the obligors pursuant to the Resolution No. _____dated _____passed by the Board of the Management of the Society (Governing Body) of the Obligors in the presence of

With name and address

Signature of the grantee institution.

2.

(for office use only)

Accepted for and on behalf
of the President of India

Witness:-

(Name and Designation)

Name and address:-

**7. ENDORSEMENT FROM
HEAD OF ORGANISATION**
(On the official letter-head)

Project Title

1. Affirmed that the Organisation welcomes the participation of Dr/Mr/Ms as the **PI** and Dr/Mr/Ms.....as the **Co-PI** for the Project and that in the unforeseen and legitimate event of discontinuation by the PI, the **CoPI** will assume full responsibility for completion of the Project. Information to this effect, endorsed by me, will be promptly sent to MoEF.
2. Certified that the equipments mentioned in the proposal to carry out the project are not available in the department.
3. Affirmed that the equipment and basic as well as other administrative facilities as per the terms and conditions of the award of the Project, will be made available to the Investigator(s) throughout the duration of the Project
3. The Organisation shall ensure that the financial and purchase procedures are followed as per the prevailing norms of the Organisation, within the allocated budget.
4. The Organisation shall provide timely the Statement of Expenditure and the Utilisation Certificate of the Funds under the Grant as required by MoEF in the prescribed format.

(Head of Organisation)
Seal/Stamp

Date

Place

UTILISATION CERTIFICATE

(TO BE SENT IN DUPLICATE TO MINISTRY OF ENVIRONMENT & FORESTS)

For the Financial Year (from 1st April to 31st March of the next calendar year).

1. Title of the Project /Scheme :
2. Name of the organization :
3. Principal Investigator :
4. Ministry of Environment & Forests
letter No. and date of sanctioning the Project :
5. Amount brought forward from the previous
financial year quoting Ministry of Environment
& Forests letter no. and date on which the authority
to carry forward the said amount was given. :

	No. & date of Sanction	Amount
6. Amount received from Ministry of Environment and Forests during (Please give no. and dates of sanctions of sanctions showing the amount paid).	:	
	1.	
	2.	
	3.	
Total:		

1. Total amount that was available for
expenditure (including commitments)
incurred during the Financial Year
(S.NO. 5 + S. No. 6). :
8. Actual expenditure (excluding
commitments) incurred during the
financial year. :
9. Unspent balance refunded if any
(Please give details of cheque no. etc.) :
10. Balance amount available at the end of
Financial year. :

11. Amount allowed to be carried forward to :
the next Financial Year. Vide letter No.
and date.

Certified that the expenditure of Rs.....(Rupees.....).
mentioned against column 8 was actually incurred on the project/scheme for the purpose
for which it was sanctioned.

Date:

Signature of Principal
Head
Investigator
Organization

Signature of
Registrar/Accounts
Officer

Signature of
of the

Our Ref. No.

Accepted and Countersigned

Date:

COMPETENT AUTHORITY
MINISTRY OF ENVIRONMENT & FORESTS

Annexure-VI (B)

EXPENDITURE STATEMENT

(To be sent in duplicate to Ministry of Environment and Forests)

Statement showing the expenditure for six monthly period from 1st April to 30th September and 1st October to 31st March of the next calendar year.....

1. Total outlay of the project Rs.

2. Date of start of the project:

3. DurationDate of completion.....

a) Amount released in respect of the six month period to which the utilization certificate relates (Please give number and dates of sanctions showing the amount)

b) Amount brought forward from previous six monthly period.

c) Total amount available for expenditure (a+b) Rs.....

	Amount +amount carried	Amount spent expenditure	Balance/ excess forward
Salaries/wages of staff: Research Associate Sr. Research Fellow Jr. Research Fellow Lab. Assistant/ Technician etc.	-	-	-
Total	-	-	-
II. Permanent Equipment Purchased (item wise)	-	-	-
Total	-	-	-
III Expendable items	-	-	-
Total	-	-	-
IV. Travel and POL (Vehicle expenses)	-	-	-
Total	-	-	-

V. Contingencies	-	-	-
Total	-	-	-
Grand Total from	-	-	-

I to V.

State the amount and the item in which :
excess expenditure incurred with reasons

b. State the amount and the item in which less :
expenditure incurred.

c. Balance in hand as on :

d. Further requirement of funds from _____ to _____ Rs. _____ as per
the breakup given below:

- A. Salary : Rs.
- B. Permanent Equipment : Rs.
- C. Expendables : Rs.
- D. Travel : Rs.
- E. Other Project Cost : Rs.
- F. Contingencies : Rs.
- G. Institutional Charges : Rs.
- Total : Rs.

Counter signature of
Accounts Officer/Registrar

Signature of
Principal Investigator

Signature of
Head of Dept./Institute

Note: The original proforma of Expenditure Statement has been modified as per the modifications made in the proforma of Utilization Certificate by Secretary(E&F)

CERTIFICATE

To:

Contact person of the programme
Ministry of Environment & Forests
Paryavaran Bhawan
CGO Complex, Lodhi Road
New Delhi-110 003.

Sir,

1. A research project entitled,
.....
.....
.....is forwarded herewith for consideration of grant funding by the Ministry.
2. It is certified that the same project or another project with similar objectives has not been submitted to any other funding agency by the Investigator(s).
3. We have carefully read the terms and conditions of sanctioning the project and agree to abide by them.
4. The organization will provide all necessary infrastructural facilities (both laboratory and administrative) if the project is sanctioned.
5. The organization is fully responsible in regard to matters pertaining to the project.
6. Certified that the equipment/instruments proposed in the project are not at all available in the Department/institution or are available in the Department/Institution but are not available for dedicated project use.

Yours faithfully,

(Registrar/Director/Head of the Organisation)

Place:

Date:

CONSENT LETTER OF THE PARTICIPATING INDUSTRY

To:

Contact person of the programme
Ministry of Environment & Forests
Paryavaran Bhawan
CGO Complex, Lodhi Road
New Delhi-110 003.

Sir,

1. A research project entitled,“
.....
.....
.....is forwarded herewith for consideration of grant
funding by the Ministry.
2. It is certified that the same project or another project with similar objectives has not
been submitted to any other funding agency by the Investigator(s).
3. We have carefully read the terms and conditions of sanctioning the project and agree
to abide by them.
4. The organization will provide all necessary infrastructural facilities (both laboratory
and administrative) if the project is sanctioned.
6. The organization is fully responsible in regard to matters pertaining to the project.
7. Certified that the equipment/instruments proposed in the project are not at all
available in the Department/institution or are available in the Department/Institution
but are not available for dedicated project use.
8. The industry M/s_____ registration no._____
dated/License no._____ dated_____ will contribute 25% of the total
cost of the project i.e. Rs._____. This does not include land and building.

Yours faithfully,

(Head of the Organisation)
Managing Director or equivalent

Place:

Date:

PROFORMA FOR MAINTAINING ASSETS

Assets acquired totally or substantially out of Government Grants

Register to be maintained by grantee institution

Name of the sanctioning authority.....

Sl. No.	Name of grantee institute	No. and date of sanction	Amount sanctioned	Brief Purpose of grant right of ownership of Govt. of the property or other assets acquired, out of the grant was incorporated in the grant in aid sanction	Whether any condition regarding the created or acquired	Particulars of assets actually	Value of the assets as on
	Amount released on disposal	Reasons and authority for disposal	Disposed off or not	Reasons if encumbered	Encumbered or not	Purpose for which utilized at present	Remarks

Certified that above items are entered in Stock Register No.

Page No.on

**Signature of Registrar/
Director
Signature of Principal Investigator**

**LIST OF THE EMPANELLED INSTITUTIONS FOR EVALUATION/EXAMINATION OF
THE PROJECT. MONITORING MECHANISM.**

1. Indian Institute of Technology, New Delhi.
2. Indian Institute of Technology, Guwahati.
3. Indian Institute of Technology, Kanpur, Uttar Pradesh.
4. Indian Institute of Technology, Kharagpur, West Bengal.
5. Indian Institute of Technology, Chennai.
6. Indian Institute of Technology, Powai, Mumbai.
7. Indian Institute of Technology, Roorkee.
8. All India Council of Technical Education (AICTE)
9. Indian Academy of Sciences
10. Indian National Science Academy (INSA), New Delhi
11. State Councils for Science and Technology
12. Technology Information, Forecasting and Assessment Council (TIFAC)
13. Indian National Center for Ocean Information Services(INCOIS)
14. Nuclear Science Centre
15. Water Technology Centre for Eastern Region (WTCER)
16. Bhabha Atomic Research Centre (BARC)
17. Agharkar Research Institute (ARI)
18. Bose Institute, Kolkata
19. Central Scientific Instruments Organization (CSIO)
20. Central Soil and Materials Research Station (CSMRS)
21. Centre for Advanced Technology (CAT)
22. Centre for Liquid Crystal Research (CLCR)
23. Council for Scientific and Industrial Research (CSIR)
24. Defence Research and Development Organization (DRDO)
25. Indian Institute of Astrophysics (IIA)
26. Institute of Plasma Research (IPR)
27. Institute of Life Sciences
28. All NIIT Institutions
29. All Central Universities
30. All CSIR Institutions
31. Allahabad University
32. Anna University, Chennai
33. Babasaheb Bhimrao Ambedkar University, Lucknow
34. Bangalore University, Bangalore
35. Birla Institute of Technology & Science, Pilani
36. Cochin University of Science & Technology, Kochi
37. Govind Ballabh Pant University of Agriculture & Technology, Pantnagar
38. Gujarat University, Ahmadabad
39. Jawaharlal Nehru Technological University, Hyderabad, A.P.