



Government of Kerala

Directorate of Environment & Climate Change

The Department of Environment and Climate Change, Government of Kerala is established with an aim to protect the environment of the State. The primary concerns of the Department are implementation of policies and programmes relating to conservation of the State's natural resources, its biodiversity and the prevention and abatement of pollution. The major responsibilities includes - conduct environmental appraisal at planning level related to the development schemes of the State Government, promote and prioritize research and development on matters related to environment conservation, planning and developing schemes for the conservation of natural resources, co-ordinate with other Departments on programmes related with environment and climate change management, etc. The Department focuses on developing appropriate environment conservation plan for the State assessing by the applicability of environmental protection activities and integrating these aspects at the scientific, social and educational sectors. The Directorate of Environment and Climate Change (DoECC) is the nodal agency in the administrative structure of Environment Department for the planning, promotion, co-ordination and overseeing the implementation of Central and State policies and programmes.

SPECIFIC GUIDELINES AND CALL FOR PROJECT PROPOSALS UNDER THE PLAN SCHEMES "CLIMATE CHANGE" AND "CLIMATE RESILIENT FARMING"

Climate change poses serious threat to our State environment and has become a vital component for development planning in recent decades. The Environment Department is the nodal agency for coordinating activities related to climate change in the State. The 'State Action Plan on Climate Change' (SAPCC) has been drawn up by the State through series of consultative processes and the Action Plan has been approved by Ministry of Environment, Forest and Climate Change (MoEFCC), Government of India in 2014. The "Climate Change" scheme is for the purpose of carrying out **specific and in depth activities/ programmes** paying special attention to cost evaluation **in relation to climate change adaptation/**

mitigation measures with the technical support of Research and Development Centres, Academic Institutions and **implementable action plans on relevant subjects/areas/fields with particular relevance to the State of Kerala.**

Thrust Areas

Under this Programme, proposals may be considered in the following thrust areas

Climate Change

- Climate change Mitigation /Adaptation measures in different sectors such as Forest, Biodiversity, Energy, Agriculture, Animal Husbandry, Fisheries and Coastal System, Health, Tourism, Urban Front and Transportation, Women and Children, Education, Industries, etc.
- Carbon offsetting projects with certified emission reduction units
- Capacity building on climate change induced epidemic preparedness
- Urban Heat Islands – Causes, Effects and Mitigation
- Air Pollution and its impacts on climate change
- Reduction of Green house gas (GHG) emissions
- Sustainable Water Consumption
- Management of Hydrological Regimes in climate change vulnerable areas
- Concept of Green Buildings
- Indigenous Knowledge Documentation/Management in the context of Climate Change
- Climate Change Economics
- Climate Change Risk Assessment/Vulnerability Analysis of different sectors
- Projection models on extreme weather events
- Vegetation dynamics and climate change
- Marine & Wetland ecology and climate change
- Climate change impacts on biodiversity

Climate Resilient Farming

- Agroforestry – Mitigation potential of natural forests and cultural forests
- Recreation of forests with native trees - Miyawaki model
- Permaculture gardening (agriculture)
- Integrated Water Resource Management including rainwater harvesting and other novel irrigation techniques.
- Adaptive farming system for extreme weather condition including agriculture hot spots, sustainable livestock and fisheries.

- Building soil resilience through improved soil management techniques
- Conservation of the gene pool of climate resilient cultivars

Who Can Apply?

The proposals can be submitted by an individual or a team of scientists/technologists engaged in science and technology research fields in Universities / Govt. or Govt. Aided Colleges, Research and Development Centres, Government Departments and Non-Governmental Institutions / Organizations with declared mandate for environmental research and development, as evident from their by-laws. The Non-Governmental Institutions/ Organizations should be registered under the appropriate laws and have been functioning for at least 3 years in the relevant field at the time of project submission.

Selection Criteria

The proposal should be submitted in the given format (*Please see Page No. 5*) of DoECC with the project timelines and milestones, and an indication of the expected output/outcome. ***Six copies of the project proposal should be submitted*** [Avoid spiral binding and plastic covering sheets].

Proposals prepared by the Principal Investigator (PI) / Project Implementing Agency (PIA) should be endorsed by the Administrative Head of the Institution.

In case a project proposal involves a network of institutions/ departments, the PI would identify the Lead Investigator from each of the participating Institutions with the approval of the Heads of those Institutions. **In case of the proposals submitted from R&D, Government/ Government-aided institutions, the PI of the project shall be a permanent government employee.** In addition, the PI should have more than three years of service period at the time of submission of the project. In case of PIs who would be superannuating during the duration of the project, association of an "in service" Co-Investigator should be ensured. In such cases, the Institute authorities should inform to the Directorate, well in advance, about their "no objection" for providing the infrastructural facilities to the new investigator for implementation of the project after his/her superannuation.

The proposal should clearly describe the action plan in detail. It should accompany the complete Team of Investigators, and provide their detailed resume. There should be a detailed year wise break-up of the costs consistent with the Funding Norms.

Screening: The proposals would be examined in the Climate Change Division of the Directorate to determine whether or not they conform to one or more of the identified thrust areas of the Directorate. Weak, incomplete, diffused, repetitive and/or superfluous proposal(s) could be rejected at this stage.

Evaluation and Selection: The PI (s) / PIA whose proposals found feasible and complete in all respect will be invited for making presentations before the Technical Committee. Selection of the proposals received will be made only on the basis of technical evaluation of the proposals and implementing credentials of the proposed team. No TA/DA will be paid to the participants for project proposal presentations. In the absence of PI / PIA, the project proposal will not consider for funding.

The committee should, inter alia, assess the following:

- a) Component-wise analysis of the costing of the project
- b) Expected and other physical outcomes of the project
- c) Minimum required tenure of the project
- d) Modalities for replication of the outcomes
- e) No duplication with completed / existing /ongoing projects

Approval and Sanction: It would be the endeavour of the Directorate to complete the project appraisal cycle in three to six months from the date of receipt of invited and commissioned proposals. Based upon the recommendations of the Technical Committee, the project will be placed before the Department Working Group for approval and administrative sanction as per the availability of funds under the scheme.

The PI / PIA have to submit consent letter and willingness to undertake the project with the sanctioned budget and objectives. An agreement has to be signed between the PI and the Director, DoECC after the approval of Project Proposal. A formal sanction order will be released from DoECC. After the issue of the Directorate order, administration will take steps to effect the payment. Copies of the Proceedings regarding the issuance of fund in installments will be sent to the PI /PIA and all concerned.

Release of Funds

The applicant institution will need to execute an undertaking as acceptance of the Terms & Conditions for taking up the project as per the guidelines and conditions prescribed. The full text of guidelines and conditions should be appended to the undertaking. After receipt of the undertaking, the first instalment of funds will be

released to the institution. Total funds will be released in 3 instalments in the order of 40:40:20 of the total amount sanctioned for the project. While first instalment will be released as envisaged above, subsequent ones will be released **on request** and the **appraisal of the progress, Interim Report and submission of Utilization Certificate (in KFC Form 44) and detailed Expenditure Statement** of at least 80% of the funds released. 20% of the last instalment will be released only on receipt of the Final Project Report and its appraisal by the Screening/Evaluation Committee, based on their recommendations.

Concept Proposal Format

The proposal shall include the following details.

I. Summary Page of the Proposal including -

- Title of the project
- Name and address of the PI/ PIA
- Abstract of the project in 500 words
- Total outlay
- Duration of the project
- Implementing area
- Expected outcomes and Beneficiaries

II. Detailed Project Proposal

- a) Title of Project
- b) Scope/Objectives
- c) Materials and Methodology
- d) Details of project implementing area
- e) Beneficiaries of the Project
- f) Significant output from the Proposed Project
- g) Detailed budget and year wise work plan
- h) Previous experience in similar works / area of specialization
- i) If the same project proposal submitted elsewhere, details?
- j) References

III. Details of Project Implementation Agency (PIA) and Investigators (PIs)

IV. Terms and Conditions and Declaration

Monitoring and Evaluation

The PI through the implementing Institute will furnish to the Directorate 3 copies of the Annual Technical Progress report of the work carried out on the project. DoECC may designate a Technical Team / Scientist or an Expert Panel to visit the Institute / Project Area periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realization of the objectives of the project. The implementing Institute will provide all facilities to the visiting Technical Team/ Scientist or the Expert Panel by way of accommodation etc. at the time of their visit.

On completion of the project, the PI through the Institute should send the following documents to the Directorate to enable us to settle the account:

- 5 copies of the Final Technical Report / Project Implementation Report.
- One page abstract highlighting the output and outcome.
- Soft copy of the Summary and Final Technical Report
- Consolidated Audited Statement of Expenditure and Utilization Certificate (in Form 44).
- DD/ NEFT/RTGS transfer receipt for any unspent amount in favour of The Director, Directorate of Environment and Climate Change payable/paid at Thiruvananthapuram.
- Reprints/copies of papers/patents/articles/ any usable databases, etc.

Acceptance of the Final Technical Report

The Principal Investigator has to submit the draft of Final Technical/ Project Implementation Report to the Directorate within 3 months after the completion of the project. The PI should make a presentation before the Technical Committee and a panel of experts appointed by DoECC. Based on the recommendation of the Technical Committee, the Directorate would undertake the final acceptance of the Final Technical Report and, thereafter, the final settlement of accounts and closure of the project would be done. No projects shall be sanctioned in future by DoECC to the PIs whose Final Project Report are graded below 7.

TERMS AND CONDITIONS FOR SANCTION OF RESEARCH PROJECTS

1. A project will normally be sanctioned for a maximum period of three years. However in exceptional cases, DoECC holds the right to select projects with higher project duration, if found necessary.
2. The grant will be disbursed to the administrative authorities of the Institutions in accordance with the principles provided below.
3. The authorities receiving the grants will be responsible for their disbursement, administration, and maintenance of accounts. In the case of collaborative work 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 partners.
4. After execution of the agreement, the first installment of funds will be released to the institution. For the projects with the project period less than or equal to 2 years, total funds will be released in 3 installments (40%, 40% and 20% of the project cost) of the total amount sanctioned for the project. The last installment (20% of the project cost) will be released on receipt of the draft final report of the project and its appraisal by the Committee based on its recommendations. If the project period is more than 2 years, yearly requirement as approved by the Committee and the Working Group, will be released as first and subsequent installments on yearly basis. While first installment will be released as envisaged above, subsequent ones and 80% of the last year installment will be released based on appraisal of the progress and submission of details of utilization of at least 80% of the funds released. Remaining 20% of the last installment will be released only on receipt of the draft final report of the project and its appraisal by the Committee and submission of the final report based on its recommendations. In exceptional cases, the committee/ working group shall decide on fund allocation, if found necessary.
5. The approved grant should be exclusively spent on the project for which it has been sanctioned within the stipulated time period. In the project wholly sponsored by the Directorate, the grantee organization is not permitted to seek or utilize funds from any other organization (Government, semi-government, autonomous or private) for the same project. Any unspent amount out of the grant sanctioned by the Directorate for a particular project would be required to be surrendered to DoECC. The carry forward of the unutilized amount from one to the next year for

utilization for the same project would require the specific approval of the Directorate.

6. An extension of project period up to a maximum of six months may be granted to projects in deserving cases. Any request for extension of the project should be sent by PI / PIA to DoECC at least three months before the closing date. In the case of an extension of tenure of projects, the PI / PIA would provide complete justification for the same. The PI should not make any expenditure after the closing date without specific approval of the DoECC till the extension is conveyed to him. No additional funds would be sanctioned for the extension period.
7. The implementing institution and the PI have the full responsibility for completion of the project and to achieve the expected outcomes and deliverables of the project.
8. In case any Investigator (including Lead or Principal Investigator) leaves the institute on account of superannuation, unforeseen circumstances, the responsibility for the completion of the project may be entrusted to another equally qualified Investigator by the Head of the Institution with approval of the DoECC at no extra cost.
9. If the investigator leaves the institution where the project is based, he / she should submit 5 copies of complete and detailed report of the work done on the project till the date of his release. Prior to leaving, the Investigator shall inform the Directorate and get an approval to hand over the project to another Investigator who shall be responsible for the completion of the project and submission of the final report.
10. In case the PI is shifting to another institution due to a new appointment/transfer/long-term deputation, the project could be transferred to that institution with mutual consent of both the institutions and with the approval of the Directorate.
11. Those institutions/individual PIs which/who do not render accounts/submit physical progress reports against the released grants within the stipulated period will be blacklisted by the Directorate after ensuring an adequate dialogue, both in speech and writing, by the Directorate with the authorities of the concerned defaulting institution/individual.
12. For permanent and semi-permanent assets acquired solely or mainly out of the grant, including books and furniture, an audited record in the form of a Register shall be maintained by the grantee. All equipment and stores purchased out of the grant would remain with the institution concerned unless otherwise specified in

the sanction. The grantee will submit the list of assets acquired under the project. The term "Assets" here means (a) immovable property and (b) movable property of a capital nature, where the value exceeds Rs 10,000/-. The grantee should make every effort to put all the equipment available in the institution in effective use for the future needs of the Directorate /other Govt. Departments. The Director, DoECC shall hold the right to decide on the future use of the equipments/instruments acquired as part of the project.

13. The grant should not be utilized for construction of any buildings. The implementing institute should provide full infrastructural facilities such as accommodation, water, electricity, library, and communication facilities etc. for smooth implementation of the project.
14. The project becomes operative with effect from the date of receipt of the first installment by the implementing Institution through DD/ NEFT/ RTGS transfer. This date should be intimated by the Institution authorities/ Principal Investigator to the Directorate. It will, in no case be later than one month after the receipt of the Draft/ NEFT/ RTGS transfer of first installment by the Institute.
15. The selection and appointment of JRFs/SRFs/ Staff for the project may be made by the Principal/Lead Investigator in accordance with the procedures of the concerned Institutions for the period not exceeding the sanctioned duration of the project. The qualification and experience should be followed as per the CSIR/UGC guidelines.
16. Staff appointed for the research project will be subject to the administrative control and service rules as applicable at the Institute where they are appointed and DoECC / Govt. of Kerala will not have any commitment in any respect.
17. The grantee organization would furnish to the Directorate yearly progress report of the work done on the project, an audited Statement of Expenditure and Utilization Certificate in prescribed formats (KFC Form 44) within thirty days from the close of each sanction year (sanction year implies one year from the date of release of grant for previous financial year).
18. The Directorate have the right to depute empanelled Expert Peer Reviewers/Scientists/ Specialists/Finance persons of the Department to visit the grantee organization periodically for reviewing the progress of the work and for suggesting such measures as to ensure early realization of the objectives of the project. Full facilities are to be provided by the grantee organization to the visiting scientists/specialists.

19. In the event, after due enquiry, of any conclusion that the progress of a project is highly unsatisfactory, cannot be improved and violated the conditions of agreement; DoECC will be at liberty to terminate the Project. Upon such termination, the PI / PIA shall refund the sanctioned amount with 18% interest.
20. On termination of the project, the duly audited accounts shall be submitted and the unspent balance, if any shall be refunded to the DoECC within three calendar months of completion of the project. Full and final payment will be made only on completion of all closure formalities such as the acceptance of all the financial certificates, audit reports and final technical reports of the project.
21. The PI / PIA shall submit files and accounts related to the project whenever the DoECC demands.
22. Calendar of events should be prepared and forwarded to DoECC in pen drive. The PI / PIA shall exhibit the Board of DoECC in the premises of the project.
23. The grantee organization(s) has to furnish 5 copies of the Final Project Report, including Executive Summary, database and any other relevant documents along with a soft copy, to DoECC.
24. If the PI and the institutions who fails to submit the final project report / relevant documents even 3 months after the end of the scheduled time period or if the progress of the project is not satisfactory, procedure for the refund of the amount as per relevant Government norms will be initiated. Further, the Head of the Institution where the PI is located should be intimated regarding the non-submission of the project report and the decision of Government to suspend future funding to the institution. A list of such PIs and Institutions would be submitted to government.
25. Investigators who wish to publish papers based on the research work done under the Project or to present such papers at conferences need to duly inform the Directorate and should acknowledge the financial support received from the Directorate. Three copies of the publications/papers shall be sent to the Directorate.
26. Patents shall be filed only with the concurrence of DoECC. If the research results are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
27. The Investigator(s) should not enter into collaboration on the sanctioned project with a foreign party (individual/industry) without prior approval of the DoECC.

28. Sharing of Intellectual Property Rights between the Government and the Institution(s) and research staff participating in the project would be specified in the sanction order based on Guidelines of the CSIR.

29. All correspondence is to be addressed to the Director, Directorate of Environment and Climate Change, IV Floor, KSRTC Terminal, Thampanoor P.O., Thiruvananthapuram – 695 001, Ph: 0471-2326264, Email: envt.dir@kerala.gov.in; environmentdirector@gmail.com

Place:

Date:

Signature, name & address of investigator

Counter signed by
The Head of the Institution

(SEAL)