

**Government of India
Ministry of Chemicals & Fertilizers
Department of Fertilizers
A Wing, Shastri Bhawan,
New Delhi-110001**

Subject : Research/Science & Technology project proposals for fertilizer industry
- Grants for S&T Programme of Department of Fertilizers during 2011-12.

The Department of Fertilizers invites project proposals under Science & Technology (S&T) programme from Engineering/Research Institutions/fertilizer industry on indigenous research & development in the field of fertilizer industry for ensuring optimum levels and international standards in terms of achieving higher capacity utilization, upgradation/modernisation of process technologies & equipment to reduce the specific energy consumption and pollutants including Coal and Coal Bed Methane as feedstocks for manufacturing fertilizers as well as proposals relating to the possibility of extracting Muriate of Potash (MOP)/Potassium Sulphate/Potassium Chloride etc. from indigenous Gluconite, etc. which may be beneficial to the farmers. Preference will be given to those proposals which are directly or indirectly related with the specific problems of the fertilizer industry. In order to have projects specific to the needs of industry, part funding of the project by industry is mandatory.

2. All Research & Development proposals will be selected as per the established procedure of DOF. Appropriate formats, terms and conditions etc. may be obtained from DOF website www.fert.nic.in. Ten copies of the proposal in the prescribed format should reach Department of Fertilizers within six weeks from the date of issue of advertisement in the leading newspapers. For any further clarification please contact Shri M.P. Johnson, Deputy Director General (E&S), Department of Fertilizers, Shastri Bhawan, New Delhi (Tele. No. 23389839).

PROFORMA – I

**PROFORMA FOR SUBMISSION OF PROJECT PROPOSALS ON SCIENCE
AND
TECHNOLOGY**
(To be filled by the applicant)

PART I: GENERAL INFORMATION

1. Name of the Institute/University/Organisation submitting the Project Proposal :

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2. State: 3. Status of the Institute:

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(Please see Annexure-I)

4. Name and designation of the Executive Authority of the Institute/University forwarding the application :

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.....

5. Project Title :

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.....
.....

6. Category of the Project (Please tick) : R&D

7. Specific Area :

8. Duration : Years..... Months

9. Total Cost (Rs.)

10. Is the project Single Institutional or Multiple-Institutional (S/M) ? :

11. If the project is multi-institutional, please furnish the following :

Name of Project Coordinator :

Affiliation :

Address :

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.....
.....

12. Scope of application indicating anticipated product and processes

13. Project Summary (Not to exceed one page. Please use separate sheet).

PART II: PARTICULARS OF INVESTIGATORS

(One or more co-investigators are preferred in every project. Inclusion of co-investigator(s) is mandatory for investigators retiring before completion of the project)

Principal Investigator:

14.

Name:.....

...

Date of Birth: Sex (M/F):

.....

Designation:.....

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Department:.....

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Institute/University:.....

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Address:.....

.....

..... PIN:.....

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Telephone: Fax:.....E-

mail:.....

Number of research projects being handled at present:.....

Co-Investigator

15. Name:

.....

Date of Birth :Sex (M/F) :

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Designation :

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Department :

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Institute/University:

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Address :

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..... PIN :

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Telephone : Fax:.....E-mail :

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Number of Research projects being handled at present:

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Co-Investigator

16. Name :

.....

Date of Birth : Sex(M/F) :

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Designation :

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Department :

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Institute/University :

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Address :

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..... PIN :

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Telephone : Fax E-mail :

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Number of Research projects being handled at

present:.....

Note : Use separate page, if more investigators are involved

PART III : TECHNICAL DETAILS OF PROJECT

(Under the following heads on separate sheets)

16. Introduction (not to exceed 2 pages or 1000 words)

16.1 Origin of the proposal

16.2 (a) Rationale of the study supported by cited literature (b) Hypothesis (c) Key questions.

16.5 Current status of research and development in the subject (both international and national status)

16.6 The relevance and expected outcome of the proposed study

16.7 Preliminary work done so far

17. Specific objectives (should be written in bulleted form, a short paragraph indicating the methods to be followed for achieving the objective and verifiable indicators of progress should follow each specific objective)

18. Work Plan: should not exceed 3-4 pages (the section can be divided according to the specific aims and under each specific aim, the following should be stated clearly as sub headings)

18.1 Work plan (methodology/experimental design to accomplish the stated aim)

18.2 Connectivity of the participating institutions and investigators (in case of multi- institutional projects only)

18.3 Alternate strategies (if the proposed experimental design or method does not work what is the alternate strategy)

19. Timelines: (Please provide quantifiable outputs)

Period of study	Achievable targets
6 Months	
12 Months	
18 Months	
24 Months	
30 Months	
36 Months	

20. Name and address of 5 experts in the field

Sr.No.	Name	Designation	Address

PART IV: BUDGET PARTICULARS

Budget (In Rupees)

A. Non-Recurring (e.g. equipments, accessories, etc.)

S. No.	Item	Year 1	Year 2	Year 3	Total

Sub-Total (A)

B. Recurring

B.1 Manpower (See guidelines at Annexure-III)

S. No.	Position No.	Consolidated Emolument	Year 1	Year 2	Year 3	Total

Sub-Total (B.1) =

B.2 Consumables

S. No.	Item	Quantity	Year 1	Year 2	Year 3	Total

Sub-Total (B.2) =

Other items	Consolidated Emolument	Year 1	Year 2	Year 3	Total
B.3 Travel					
B.4 Contingency					
B.5 Overhead (If applicable)					1
Sub-total of B (B.1+B.2+B.3+B.4+B.5)					
Grand Total (A + B)					

Note : Please give justification for each head and sub-head separately mentioned in the above table.

Financial Year : April - March

In case of multi-institutional project, the budget estimate to be given separately for each institution.

PART VI: DECLARATION/CERTIFICATION

It is certified that

- a) the research work proposed in the scheme/project does not in any way duplicate the work already done or being carried out elsewhere on the subject.
- b) the same project proposal has not been submitted to any other agency for financial support.
- c) the emoluments for the manpower proposed are those admissible to persons of corresponding status employed in the institute/university or as per Government guidelines.
- d) necessary provision for the scheme/project will be made in the Institute/University/State budget in anticipation of the sanction of the scheme/project.
- e) it is agreed that any research outcome or intellectual property right(s) on the invention(s) arising out of the project shall be taken in accordance with the instructions issued with the approval of the Ministry of Finance, Department of Expenditure, as contained in Annexure-IV
- f) we agree to accept the terms and conditions as enclosed in Annexure-II .The same is signed and enclosed.
- g) the institute/university agrees 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.
- h) the Institute assumes to undertake the financial and other management responsibilities of the project.

**Signature of Project Coordinator
Authority**

(applicable only for multi-institutional projects)

seal

Date :

Signature of Executive

of Institute/University with

Date :

Signature of Principal Investigator :

Date :

**Signature of Co-Investigator
Investigator**

Date :

Signature of Co-

Date :

**PART VII: PROFORMA FOR BIOGRAPHICAL SKETCH OF
INVESTIGATORS**

Provide the following information for the key personnel in the order listed on PART II.
Follow this format for each person. **DO NOT EXCEED THREE PAGES**

Name :

.....

Designation

.....

Department/Institute/University :

.....

Date of Birth : Sex (M/F) SC/ST :

.....

Education (Post-Graduation onwards & Professional Career)

Sl No.	Institution Place	Degree Awarded	Year	Field of Study

A. Position and Honors

Position and Employment (Starting with the most recent employment)

Sl No.	Institution Place	Position	From (Date)	To (date)

Honors/Awards

Professional Experience and Training relevant to the Project

B. Publications (Numbers only)

Books : Research Papers, Reports :General articles

.....

Patents :Others (Please specify) :.....

Selected peer-reviewed publications (Ten best publications in chronological order)

Appendix- A

**Assets acquired wholly or substantially out of Government grants
Register to be maintained by Grantee Institution**

Name of the Sanctioning Authority: _____

1. Sl. No. _____
2. Name of Grantee Institution _____
3. No. & Date of sanction order _____
4. Amount of the sanctioned grant _____
5. Brief purpose of the grant _____
6. Whether any condition regarding the right of ownership of Govt. in the property or other assets acquired out of the grant was incorporated in the grant –in-aid sanction order. _____
7. Particulars of assets actually credited _____
or acquired.
8. Value of the assets as on _____
9. Purpose for which utilised at present _____
10. Encumbered or not _____
11. Reasons, if encumbered _____
12. Disposed of or not _____
13. Reasons and authority, if any, for disposal _____
14. Amount realised on disposal _____
15. Remarks _____

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)

Appendix-B

UTILISATION CERTIFICATE
(for the financial year ending 31st March)

(Rs. in lakhs)

1. Title of the project/scheme :
2. Name of the Organisation:
3. Principal Investigator :
4. Deptt. of Fertilizers sanction order No. & date of sanctioning the project :
5. Amount brought forward from the previous financial year quoting DOF letter No. & date in which the authority to carry forward the said amount was given :
6. Amount received from DOF during the financial year
(Please give No. and dates of sanction orders showing the amounts paid) :
7. Other receipts/interest earned, if any, on the DBT grants :
8. Total amount that was available for expenditure during the financial year (Sl. nos. 5, 6 and 7) :
9. Actual expenditure (excluding commitments) incurred during the financial year (statement of expenditure is enclosed) :
10. Unspent balance refunded, if any (Please give details of cheque No. etc.)
11. Balance amount available at the end of the financial year :
12. Amount allowed to be carried forward to the next financial year vide letter No. & date :

1. Certified that the amount of Rs. _____ mentioned against col. 9 has been utilised on the project / scheme for the purpose for which it was sanctioned and that the balance of Rs.remaining unutilized at the end of the year has been surrendered to Govt. (Vide No.dated)/ will be adjusted towards the grants-in-aid payable during the next _____ year.
2. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled / are being fulfilled and that I have exercised the following checks to see that the money was actually utilised for the purpose for which it was sanctioned.

Kinds of checks exercised:

- 1.
- 2.
- 3.
- 4.
- 5.

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)
(To be Countersigned by the DBT Officer-in-charge)

Appendix-C

Statement of Expenditure referred to in para 9 of the Utilisation Certificate

Showing grants received from the Department of Fertilizers and the expenditure incurred during the period from 1st April _____ to 31st March _____ (Rs. in lakhs)

Item	Unspent balance Carried for ward from previous year	Grants received from DBT during the year	Other receipts/ interest earned - if any, on the DBT grants	Total of Col. (2+3+4)	Expenditure(ex cluding) commitments) incurred during the year	Balance(5-6	Remark
1	2	3	4	5	6	7	8
1. Non -Recurring							
(i) Equipments							
2. Recurring							
(i) Human Resource							
(ii) Consumables							
(iii) Travel							
(iv) Contingency							
(v) Overheads							
(if applicable)							
Total :							

(PROJECT INVESTIGATOR)

(FINANCE OFFICER)

(HEAD OF THE INSTITUTE)

Status of the Institute submitting the Project Proposal

1. Central University
2. State University
3. Deemed University
4. College (*Please specify the University to which affiliated*)
5. Institution of CSIR
6. Institution of ICAR
7. Institution of ICMR
8. Institution of the Department of Atomic Energy (DAE)
9. Institution of the Department of Biotechnology (DBT)
10. Institution of the Department of Defence Research & Development Organisation (DRDO)
11. Institution of the Department of Science & Technology (DST)
12. Institution/Organisation of any other Government Agency (please specify)
13. Autonomous Institute/Society (please specify the parent Ministry/Department)
14. Public Sector Undertaking (Please specify the Nodal Ministry/ Department)
15. Non-Governmental Organisation (NGO)/ Society
16. Private Institute/Organisation

Annexure -II

TERMS & CONDITIONS OF THE GRANT

(To be signed and enclosed with concern filled proforma)

1. Approval of the Research proposal and the grant released would be for the specific project mentioned in paras I to V of this proposal and grant should be exclusively spent on the project for which it has been sanctioned within the stipulated time. The Institute is not permitted to seek or utilise funds from any other organisation (Government, Semi Government, Autonomous or Private) for this research project. Any unspent part of amount would be surrendered to the Govt. of India through an account payee demand draft drawn in favour of the "Pay & Accounts Officer, Department of Fertilizers, New Delhi", and carry forward of funds of the next financial year for utilization for the same project may be considered only with the specific approval of the Department of Fertilizers (DOF).
2. For permanent/semi-permanent assets acquired solely or mainly out of the grant, an audited record in the form of a register in the prescribed proforma (enclosed at **Appendix-'A'**) shall be maintained by the Institute. The term "**assets**" means (I) immovable property and (II) movable property of a capital nature, where the value exceeds Rs. 1000/- The grant will not be utilised for construction of any immovable property, Full facilities by way of accommodation, etc. for the project will be given by the Institute.
3. All the assets acquired from the grant will be the property of Govt. of India and should not without the prior sanction of the Deptt. of Fertilizers, be disposed of, or encumbered or utilised for purpose other than those for which the grant has been sanctioned.
4. At the conclusion of the project, the Govt. of India will be free to sell or otherwise dispose of assets which are the property of the Government. The Institute shall render to Govt. necessary facilities for arranging the sale / disposal of these assets. **The Government may, however, consider the request of host institutions to retain the assets created under a project for carrying out similar work for the promotion of science.**
5. The implementing Institute/PI will furnish progress report of work on the project every three months. The progress of the project will also be reviewed/monitored at least once a year by the designated officer/committee of the Department. In addition the DOF shall designate Specialists to visit the Institute periodically for reviewing the progress of work and for suggesting such measures as to ensure early realisation of the objectives of the project. On completion of the project five copies of a consolidated report of the work done on the subject would be submitted to the Department of Fertilizers.
6. The Institute is required to send to DOF a list of assets referred to at Sl. No. 2 above at the end of each financial year as well as at the time of seeking further instalments of the grant.

7. The Institute would furnish to the Deptt. of Fertilizers a Utilization Certificate (Copy enclosed at **Appendix - 'B'**) and an audited statement of expenditure (**Copy enclosed at Appendix - 'C'**) duly signed by the P.I., the Head of the Institute and the Head of the Finance wing, pertaining to the grant at the end of each financial year as well as a consolidated statement of expenditure at the end of the completion of the project.
8. A stamped receipt be sent to the Deptt. of Fertilizers on receipt of the Cheque/ Demand draft towards each release.
9. The Comptroller and Auditor-General of India at his discretion shall have the right of access to the books and accounts of the Institute for the grant received from the Government.
10. The Institute would maintain separate audited accounts for the project. If it is found expedient to keep a part or whole of the grant in a bank account earning interest, the interest thus earned should be reported to the Deptt. of Fertilizers.
11. Sale proceeds, if any, as a result of the development of the project arising directly from funds granted by the Deptt. of Fertilizers shall be reported to the Govt. of India. The Govt. of India may at its discretion allow a portion of such receipt to be retained by the Institute for its utilisation for the project activities.
12. Investigators/Institutes wishing to publish papers based on the research work done under Deptt. of Fertilizers projects should acknowledge the financial support received from the Deptt. of Fertilizers.
13. Department of Fertilizers shall have the right to finally decide on the issues of technology transfer and Intellectual Property Rights (IPR).
14. The Institute may not entrust the implementation of the work for which the grant is being sanctioned to another institution and to divert the grant receipts as assistance to the latter institution. However, in such situations the express permission of DOF may be obtained. In case the grantee is not in a position to execute or complete the project, it may be required to refund forthwith to the Govt. of India (Department of Fertilizers) the entire amount of grant received by it.
15. The human resources that may be engaged for the project by the Institute are not to be treated as employees of the Govt. of India and the deployment of such human resource at the time of completion or termination of project, will not be the concern/responsibility of the Govt. of India. The Organisation may make reservations for Scheduled Castes, Schedule Tribes etc. in the human resource to be engaged for the project in accordance with the instruction issued by the Govt. of India from time to time.
16. The Deptt. of Fertilizers reserves the right to terminate the grant at any stage and also to recover the amounts already paid if it is convinced that the grant has not

been properly utilized or the work on the project has been suspended for any unduly long period or appropriate progress is not being made.

17. The project will become operative with effect from the date of release of the first installment for the project.

18. If the Investigator to whom a grant for a project has been sanctioned leaves the institution where the project is being implemented, he shall submit five copies of complete and detailed report of the work done by him on the project and the money spent till the date of his/her release and shall also arrange to refund the unspent balance , if any.

Signature of Project Coordinator
(applicable only for multi-
institutional projects)

Date :

**Signature of Executive Authority of Institute/
University With seal**

Date :

Signature of Principal Investigator :

Date :

Signature of Co-Investigator

Date :

Date :

Signature of Co-Investigator

Annexure – III

GUIDELINES ON EMOLUMENTS FOR RESEARCH PERSONNEL PARTICIPATING IN R&D PROJECTS/PROGRAMMES OF THE CENTRAL GOVERNMENT DEPARTMENTS/AGENCIES. (Effective from 1.04.2002)

Attention is invited to the O.M. No. SP/S9/2-23/97 dated 24.2.98, issued by the Department of Science & Technology, Government of India, on the above subject. The matter has been further considered by the Government and the following revised guidelines have been approved. These revised guidelines are applicable to the research personnel working on R&D programmes funded by the Central Government Departments / Agencies.

1. **Emoluments:**

2.

i) **Junior Research Fellow (JRF)/
Senior Research Fellows (SRF)**
JRF JRF

A Graduate degree in engineering disciplines & post-graduate degree in science disciplines

Ist and

2nd Year
(subsequent years/SRF)

Rs. 8000/-
(Existing Rs.5000/-)

Rs. 9,000/-
(Existing Rs.5600/-)

B In medical and engineering subjects

MBBS/BDS/MVSc/M.Pharma.
ME, M.Tech; and BE/B.Tech,
BVSc, B.Pharma or equivalent
with 2 years experience

Rs. 9,500/-
(Existing Rs.6000/-)

Rs.10,000/-
(Existing Rs.6400/-)

The local institution should review after two years whether JRF/SRF should continue for the third year. Similarly, at the end of the third year the local institution should review his case whether extension for another year should be given. The Guidelines for selection of JRF/SRF will be done as per DST Office Memorandum No.12(1)/76-GRS dated 30th July, 1990. In programmes where there is a need to engage research personnel at a level higher than JRF/SRF and such need has been accepted by the funding agency, the remuneration for such personnel may be fixed as indicated below.

ii) **Research Associates :**

Research Associates may be fixed at a consolidated amount at one of the 3 pay levels given below, depending upon the qualifications and experience. The Institute / Organization concerned may decide the level in which a particular associate should be placed.

Essential Qualifications (EQ)

In Science, Medical and Engineering subjects (PhD/MD/MDS and MVsc/Mpharm/ME/MTech with 3 years research/teaching/Design and development experience.

Category

SL. No Existing Pay Revised Pay

- i) RA-I Rs. 8000/- Rs.11000/-
- ii) RA-II Rs. 8800/- Rs.11500/-
- iii) RA-III Rs.10500/- Rs.12000/-

iii) Research Scientists :

The existing scales as under will continue.

SL. No Scales

- 1. Rs. 8000-275-13500
- 2. Rs.10000-325-15200
- 3. Rs.12000-375-16500
- 4. Other scales below Rs. 8000-13500 as recommended by the 5th Pay Commission and approved by the Central Government

Service Conditions :

1. **DA and CCA :** JRFs, SRFs and Research Associates will not be entitled to these allowances. The Research Scientists will get D.A. as per rates of Central Government and CCA as per rules of the local institutions where they are working.

2. **House Rent Allowance and Medical Benefits:** As at present, HRA and Medical benefits may be allowed to all categories viz., JRF/SRF, Research Associates and Research Scientists as per rules of the institutions where they are working. For this purpose the fellowship amounts, for JRF/SRF and Research Associates will be taken as Basic Pay.

3. **Leave and other service benefits:** The existing policy is to continue. Under this, JRF/SRF are eligible only for casual leave while Research Associates / Scientists are entitled to leave as per rules of the institutions. However, participation by any of these categories in any scientific event in India or abroad will be treated as on duty. Maternity leave as per Govt. of India instructions would be available to all categories.

4. **Bonus & L.T.C:** Not admissible to any category.

5. **Retirement Benefits:** These will not be applicable to JRFs / SRFs / Research Associates. Research Scientists who are appointed for the duration of the project in regular scales of pay as mentioned above may be allowed to be members of the Contributory Provident Fund of the institution.

6. **Encouragement for pursuing higher degree:** Students, selected as JRF/SRF may be encouraged to register for higher degrees and the tuition fees to undertake this may be reimbursed to the student from the contingency grant sanctioned under the project grant.

7. **Benefits to Host Institutes:** Towards meeting their costs for overhead expenses including infrastructural facilities, an amount of : i. 20% of the total project cost with an upper limit of Rs. 5.0 lakh for educational institutions and Rs. 3 lakh for laboratories and institutes under S&T agencies/departments, will be provided as a part of the project, and ii. On projects costing more than Rs. 50 lakhs, the quantum will be decided on a case to case basis.

8. **Date of Effect:** The revision in emoluments under these orders will be applicable w.e.f. 1.4.2002 for all categories of JRF/SRF and Research Associates. In the case of Research Scientists, the existing scales will continue, till further orders. 9. Central Government Departments / Agencies are requested to ensure that the above guidelines are followed in regard to the remuneration and other benefits to the research personnel engaged in R&D projects funded by them. They are also requested to circulate these orders to their attached and subordinate offices and also to the autonomous institutes funded by them.

9. The above may be used as guidelines by CSIR etc.

Annexure – IV

Instructions for Technology Transfer and Intellectual Property Rights

With a view to encourage the institutions to file patent applications on their innovations, motivate them to transfer their technologies for commercialisation, and facilitate them to reward their inventions, the following instructions are issued.

1. In these instructions :

(a) **“Institution”** means any technical, scientific or academic establishment where research work is carried out through funding by the Central / State Government.

(b) **“Intellectual Property Rights”** include patents, registered designs, copyrights and layout design of integrated circuits.

(c) **“Inventor”** means an employee of the institution whose duties involve carrying out of scientific or technical research.

2. Scope : These instructions apply to those institutions receiving funds for research projects from the Ministry of Science and Technology and the Department of Ocean Development.

3. Inventions by institutions : Institutions shall be encouraged to seek protection of Intellectual Property Rights (IPR) to the results of research through R&D projects. While the patent may be taken in the name(s) of inventor(s), the institutions shall ensure that the patent is assigned to it. The institution shall get its name entered in the Register of Patents as the proprietor of the patent. The institution shall take necessary steps for commercial exploitation of the patent on exclusive / non-exclusive basis. The institution is permitted to retain the benefits and earnings arising out of the IPR. However, the institution may determine the share of the inventor(s) and other persons from such actual earnings. Such share(s) shall be limited to 1/3rd of the actual earnings.

4. Inventions by institutions and industrial concerns : IPR generated through joint research by institution(s) and industrial concern(s) through joint efforts can be owned jointly by them as may be mutually agreed to by them through a written agreement. The institution and industrial concern may transfer the technology to a third party for commercialisation on exclusive/non-exclusive basis. The third party, exclusively licensed to market the innovation in India, must manufacture the product in India. The joint owners may share the benefits and earnings arising out of commercial exploitation of the IPR. The institution may determine the share of the inventor(s) and other persons from such actual earnings. Such share(s) shall not exceed 1/3rd of the actual earnings.

5. Patent Facilitating Fund: The institution shall set apart not less than 25 per cent of such earnings for crediting into a fund called Patent Facilitating Fund. This Fund shall be utilised by the institution for updating the innovation, for filing new patent applications, protecting their rights against infringements, for creating awareness and building competency on IPR and related issues.

6. Information: The institutions shall submit information relating to the details of the patents obtained, the benefits and earnings arising out of IPR and the turnover of the products periodically to the Department/Ministry, which has provided funds.

7. Royalty-free license: The Government shall have a royalty-free license for the use of the intellectual property for the purposes of the Government of India.

8. Review: These instructions shall be reviewed by the Central Government after a period of five years.

9. These instructions are issued with the approval of Finance Minister, Ministry of Finance, Government of India vide Department of Expenditure, Plan Finance-II Division Letter No. 33(5)/PF.II/99 Dated 22nd February, 2000.