GUIDELINES FOR IMPLEMENTATION OF INNOVATIVE PROJECTS

1. Objectives

In order to promote innovation and finding innovative solutions for local problems in the areas of Agriculture, Engineering and design, Biotechnology, Health, Sanitation, Rural and Urban Development, New materials and Nanotechnology, ICT (Hardware & Software), Renewable Energy, Environmental Management, Handloom and Handicraft, Judiciary, e-Governance, Community Policing, Government, Management tool or model etc., there is a need for implementation of innovative R&D projects in the field for mass benefit. Among others, such projects should be in the areas of Municipal Solid Waste (MSW) Management, Health, Sanitation, Agriculture, Pollution Control and so on.

2. Eligibility / Target Group

i. The Planning & Convergence Department, Government of Odisha will provide support to Govt. and Non Govt. Organization. It will be given to a Registered Society / Government Agency / Company or Institute for implementation of the output (product / process / technology, etc.) of the innovative R&D project.

ii. In case of organization other than Government, the project should be done in consultation with the local Development Agencies like NAC, Municipality, Block etc linked with Government.

iii. It envisages that from such project all the stakeholders like Government, researchers & society should be benefitted. So it is important that concerned stakeholders are engaged from the beginning.

3. Selection Procedure

1. Advertisement

The Planning & Convergence Department, Government of Odisha will invite applications through advertisement in local newspapers and/or the website of the Department, or through National and State level Government Institutions.

2. The Proposal to be submitted in the prescribed format

i. Name of the project

ii. Sector

- Agriculture and Allied Sectors
- Engineering and design
- Rural Development
- Health
- Sanitation
- Urban Development / Management [Municipal Solid Waste (MSW), Sewerage Management]
- New materials and Nanotechnology
- ICT (Hardware & Software)
- Renewable Energy
iii. Any financial assistance received for implementation of similar other project.

iv. Salient features of the project to be implemented (1-2 pages).

v. Methodology / Process for implementation.

vi. Budget

vii. Benefit to the Society / Citizen

viii. Has the implementing organization been awarded with other project for implementation? If yes, give details of the said organization and details of such projects.

3. Selection by a State level Committee constituted by Government of Odisha in P&C Department.

4. Selection Criteria
   i. Advertisement
      The Planning & Convergence Department, Government of Odisha will invite applications through advertisement in local newspapers and/or the website of the Department (minimum 60 days period for submission of applications), or through National and State level Government Institutions.
   ii. The Proposal to be submitted in the prescribed proforma.
   iii. Authenticity of organization
   iv. Previous work experience for implementation of innovative R&D / other projects
   v. Resources and technology available with the organization for implementation of present project.
   vi. Recommendation of School / College / University / Institute / Any Government Department / Government Agency
   vii. In case of Non Govt. organization, audit report for last three years is required to be submitted to facilitate selection.
   viii. Selection by an Internal Screening Committee and Selection Committee constituted by Government of Odisha in P&C Department: Proposals received will be first placed before the internal Screening Committee and then before the Selection Committee.

5. Internal Screening Committee
   There will be an Internal Screening Committee comprising of the following members.
   1. Joint Director (Innovation), P&C Deptt - Member
   2. Scientist / Junior Scientist, P&C Deptt - Member
   3. Assistant Director, P&C Deptt - Member

   The committee will screen the projects received by the departments and place before Selection Committee.
6. Selection Committee

A state level selection committee may be constituted with the following members:

i. Special Secretary to Govt, P&C Deptt. - Chair Person
ii. Director-cum-Additional Secretary to Govt, P&C Deptt. - Member
iii. FA-cum- Additional Secretary to Govt, P&C Deptt. - Member
iv. Joint Director (Innovation), P&C Deptt - Member
v. Scientist / Junior Scientist, P&C Deptt. - Member
vi. Deputy Director, P&C Deptt - Member Convener

- TORs of the Selection Committee.

The Selection Committee will examine the proposals and will look into the following:

i. Whether the proposal submitted by the applicant is in the required format
ii. Experience and Expertise of the Organization
iii. Previous work experience for implementation of innovative R&D / other projects
iv. Resources and technology available with the organization for implementation of present project.
v. Financial status of the organization (In case of Non Govt. organization) audit report for last three years is required to be examined to facilitate selection
vi. Whether the R&D innovative project for implementation is considered for sanction? (Yes or No)

vii. If yes, what are the marks to be awarded?

<table>
<thead>
<tr>
<th>Sl No</th>
<th>Criteria</th>
<th>Maximum Marks</th>
<th>Marks Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Experience and Expertise of the Organization</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Novelty of the innovative project</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Availability of resources and technology with the organization and previous work experience</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Feasibility of mass benefit and benefit of delivered output</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total marks</strong></td>
<td><strong>100</strong></td>
<td></td>
</tr>
</tbody>
</table>

viii. The Committee will recommend the name of the selected organization to Govt.

ix. The Selection Committee reserves the right to select or reject any or all applications without assigning any reason thereof.

- Honorarium and Sitting fees
  No honorarium and sitting fees for State Govt. Members

- TA & DA
  (No TA & DA for State Government).
7. **Steering Committee of the project at the level of Organization**

   - There should be minimum of 5 members, with experts in relevant fields.
   - One nominee from Government Department /Agency
   - One expert from educational institution.

- **TOR of the Steering Committee**

   The Steering Committee will manage the Project and will also look into the following:
   
   i. Periodic progress review of the project.
   ii. Proper utilization of the allocated fund from Government.
   iii. Whether the project is being executed within the time frame.
   iv. Verification of fund utilization report
   v. Phase-wise release of fund after progress review.

8. **Tenure and Implementation**

   The tenure of the implementation project will be normally for a period of two years. The tenure, if required, may be increased or decreased as per the decision of the selection committee & as per the recommendation of Steering Committee.

   The effective date of implementation will be from the date of release of funds.

9. **Nature of Assistance**

   Normally, the quantum of assistance for implementation project will be under Rs.40 Lakhs but subject to change with recommendation of Selection Committee. If required, the amount may be increased or decreased as per the decision of the selection committee.

   The Planning & Convergence Department, Government of Odisha will not provide any grant under Institutional overhead.

10. **Procedure for Release of Grants**

   (i) The grant will be released to the Head of the Organization in three installments.
   (ii) The first installment of the grant shall comprise of 100% of the Non-recurring item and 50% of the total Recurring item as approved by the P&C Department.
   (iii) The second installment will be released after one year and submission of progress report, expenditure statement and utilization certificate. The second installment of the grant shall comprise of 40% of the total Recurring grant approved by the P&C Department.
   (iv) The remaining 10% of the total Recurring grant approved by the P&C Department will be released after final presentation of the project before the
Selection Committee and on receipt of following documents for final reimbursement.
(a) Five copies of the final report of the project along with soft copy to be submitted to P&C Department.
(b) A consolidated Audited Utilization Certificate for the amount actually utilized towards the project in the prescribed proforma.
(c) The unutilized grant if any may be refunded immediately through demand draft drawn in favour of the Drawing Disbursing Officer of P&C Department, Government of Odisha, payable at Bhubaneswar.

11. Evaluation and Monitoring

(i) After one year / (three months / six months) from the date of release of fund, the Planning & Convergence Department, Government of Odisha will go for mid-term evaluation wherein the organization will present the progress of the project before the Steering Committee / Selection Committee of P&C Department.

(ii) On completion of the project the organization is required to present the final report before the Selection Committee.

(iii) The progress of the Project will be also evaluated and mentioned on a regular basis every year on site / in the P&C Department / through Video Conferencing or at site

12. Submission of Utilization Certificate and Expenditure Statement

The organization would furnish the audited statement of expenditure and Utilization Certificate in OGFR-7A duly signed by the competent authority at the end of the each financial year as well as consolidated statement of expenditure at the end of the project to the P & C Department.

13. General

i. After the finalization of the selection procedure, the selected organization will be informed.

ii. The head of the organization must send their acceptance letter.

iii. Project is not transferable in any case.

iv. In any research publication, the funding agency (P&C Department) must be acknowledged.

v. If the organization fails to complete the Project, it has to refund the entire amount sanctioned with interest.

vi. The P&C Department reserves rights to reject any or all the proposals without assigning any reasons thereof.

vii. Concerned Agency to give Report half yearly
1. Application Form

Prescribed format

APPLICATION FOR IMPLEMENTATION OF INNOVATIVE PROJECT UNDER P&C DEPARTMENT, GOVERNMENT OF ODISHA.

******

A. Information about Organization:

1. Name of the organization:
2. Address:
3. Contact details: (Phone No./ e-mail id)
4. Registration No (if registered under society act)

B. Information about implementation of research & development projects in the identified areas of innovation:

1. Name of the project
2. Sector

   i. Agriculture and Allied Sectors
   ii. Engineering and design
   iii. Rural Development
   iv. Health
   v. Sanitation
   vi. Urban Development / Management [Municipal Solid Waste (MSW), Sewerage Management]
   vii. New materials and Nanotechnology
   viii. ICT (Hardware & Software)
   ix. Renewable Energy
   x. Environmental Management
   xi. Handloom and Handicraft
   xii. Judiciary
   xiii. e-Governance
   xiv. Community Policing
   xv. Government
   xvi. Management tool or model, etc.
   xvii. Water Resources Management
   xviii. Any other (specify clearly)

• Successful innovative project implemented in the past

3. Any financial assistance received for implementation of similar other project? (Yes / No).
   If yes, give details of organization/s including its phone number and e-mail id etc.

4. Concept of Innovative Project (How the idea of the project has been generated?) - 2 pages

5. Novelty of the Innovative Idea (How the idea has been earlier tried? - Clearly delineating how the project is having Novelty). Novelty means, how the idea
is significantly different or significantly better than earlier method / product / technology etc. and new idea has not been tried earlier)

**Summary of the Project**

6. Salient features of the project to be implemented (1-2 pages).
7. Methodology / Process for implementation.
8. Budget for implementation of research & development projects in the identified areas of innovation

<table>
<thead>
<tr>
<th>Sl. No</th>
<th>Head</th>
<th>Amount (Rs.)</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Manpower requirement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Other Input</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>i. Devices</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>ii. Appliances / Equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>iii. Consumables</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>iv. Any other item</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Travel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Documentation</td>
<td>(Maximum 5%)</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Contingencies</td>
<td>(Maximum 5%)</td>
<td></td>
</tr>
</tbody>
</table>

- The risk and current structure which may cause failure in the project implementation

9. Recommendation of Principal / HM of School / Heads of the Department / Dean / Heads of the Institutes

**DECLARATION**

I do hereby solemnly affirm and state that the statements made above are true and correct to the best of my knowledge and belief and based on record.

Date: 

Signature of the Authority

Place:

**Note:** Application is to be submitted by Registered Post / Speed Post. The applicant will be responsible for timely submission. In case the application is received late it will be rejected.
# Annexure-I

## Statement of Expenditure of the Utilization Certificate

Showing grants received from the P&C Department and the expenditure incurred during the period from 1<sup>st</sup> April ______ to 31<sup>st</sup> March.

<table>
<thead>
<tr>
<th>Item</th>
<th>Unspent balance carried forward from previous year</th>
<th>Grants Received from P&amp;C Deptt. during the year</th>
<th>Other receipts/interest earned if any, on the P&amp;C Deptt. grants</th>
<th>Total Col. (2+3+4)</th>
<th>Expenditure (excluding) Commitment Incurred during the year</th>
<th>Balance (5-6)</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
</tbody>
</table>

### Non-Recurring
1. Equipments

### Recurring
1. Human Resource
   1. Consumables / Item of expenditure
   2. Travel
   3. Contingency

Total:

( Project Investigator) ( Finance Officer)

(Head of the Institute)
TERMS AND CONDITIONS OF THE GRANT FOR IMPLEMENTATION
OF INNOVATIVE PROJECT
(To be signed and enclosed with the proforma)

1. Approval of the implementation of innovative proposal and grant released would be for the specific Project and be exclusively spent on the Project for which it had been sanctioned within the stipulated time. The Institute / Organization are not permitted to seek or utilize funds from any other organization (Government, Semi Government, Autonomous or Private) for his research project. Any unspent part of amount would be surrendered to the Govt. of Odisha through an account payee demand draft drawn in favour of the “Drawing and Disbursing Officer, P&C Department, Govt. of Odisha”, 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 P&C Department.

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 Annexure-II) shall be maintained by the Institute / Organization. The term “assets” means equipments. The grant will not be utilized for construction of any immoveable Property, full facilities by way of accommodation, etc. by the Institute / Organization.

3. All the assets acquired from the grant will be the property of Government of Odisha and should not, without the prior sanction of the P&C Department”, be disposed off or encumbered or utilized for purpose other than those for which has been sanctioned.

4. At the conclusion of the project, the Government of Odisha 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 Government may however, consider the request of host institution to retain the assets created under project for carrying out similar work for the promotion of innovation.

5. The Project implementing institute will furnish progress report of work on the project every year. The progress of the project will also be reviewed / monitored at least once a year by the Selection / Steering Committee etc. In addition the P&C Department shall designate Scientists / Specialists to visit the Institute periodically for reviewing the progress of work and for suggesting such measures so as to ensure early realization of the objectives of the project. On completion of the project, five copies of consolidated report of the work done on the subject would be submitted to the P&C Department.

6. The Institute is required to send to P&C Department 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 installments of the grant.

7. The Principal Investigator / Institute / organization would furnish the audited Expenditure Statement in the prescribed format (Annexure- V) and Utilization Certificate in the prescribed format (Annexure-IV) to the P&C Department 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 the
each financial year as well as consolidated statement of expenditure at the end of the project.

8. A stamped money receipt be sent to the P&C Department on receipt of the Cheque / Demand draft towards each release.

9. The Accountant General, Odisha 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 account 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 P&C Department before release of final installments.

11. Sale proceeds, if any, as a result of the development of the project arising directly from funds granted by the P&C Department shall be reported to the Government of Odisha. The Government of Odisha may at its discretion allow a portion of such receipt to be retained by the Institute for its utilization for the project activities.

12. Investigators / Institutes /Organization may file patents with the help of PIC Cell of Science &Technology Department, Govt. of Odisha on priority basis.

13. The Government of Odisha in P&C Department will have the right to call for drawings, specifications and other data necessary to enable the transfer of know how to other parties and the Institute shall supply all the needed information at the request of the P&C Department which will ensure confidentiality.

14. The information required for commercializing the Project may be furnished to P&C Department.

15. The human resources that may be engaged for the project by the Institute are not to be treated as employees of the Government of Odisha and deployment of such human resource at the time of completion or termination of project will not be the concern / responsibility of the Government of Odisha. The organization may make reservations for Scheduled Castes, Scheduled Tribes etc. in the human resources to be engaged for the project in accordance with the instruction issued by Govt. of Odisha from time to time.

16. The P&C Department 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 for the work on the project.

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

18. The organization should maintain subsidiary accounts of the Government of Odisha grant and furnish it to the Audit Officer as and when the recurring and non-recurring expenditure exceeds the limits of Rs. 5.00 lakhs.

Signature of Project Coordinator
(only for multi- Institutional project)
Date:

Signature of Executive Authority (applicable of Institute University with seal
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
7. Particulars of assets actually credited or acquired.______________
8. Value of the assets as on ________________________________
9. Purpose for which utilized at present ________________________________
10. Encumbered or not ________________________________
11. Reasons if encumbered ________________________________
12. Disposed off or not ________________________________
13. Reasons and authority, if any, for disposal ________________________________
14. Amount realized on disposal ________________________________
15. Remarks ________________________________

(Project Investigator) (Finance Officer)

(Head of the Institute)
Annexure-IV

UTILISATION CERTIFICATE
(for the financial ending 31st March ………….)

1. Title of the project /scheme :
2. Name of the Organization :
3. Principal Investigator :
4. P&C Department sanction order No & date of sanctioning the project.
5. Amount brought forward from the previous financial quoting P&C Department letter No. & date in which the authority to carry forward the said amount was given :
6. Amount received from P&C Department during the financial year (please give No and dates of sanction orders showing the Amount paid )
7. Other receipt / interest earned if any, on the grant received from P&C Department :
8. Total amount that was available for expenditure during the financial year (Sl. Nos. 5, 6 and 7)
9. Actual expenditure (excluding commitment) 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. ________ (Rupees__________) mentioned against col. 9 has been utilized on the project /scheme for the purpose for which it was sanctioned that the balance of Rs ----------- (Rupees______________) 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 utilized 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 P&C Department Officer- in – charge)
### Annexure-V

**Statement of Expenditure referred to in para 9 of the Utilization Certificate**

Showing grants received from the P&C Department and the expenditure incurred during the period from 1st April _______ to 31st March _______.

<table>
<thead>
<tr>
<th>Item</th>
<th>Unspent balance carried forward from previous year</th>
<th>Grants Received from P&amp;C Deptt. during the year</th>
<th>Other receipts/interest earned if any, on the P&amp;C Deptt. grants</th>
<th>Total Col. (2+3+4)</th>
<th>Expenditure (excluding) Commitment) Incurred during the year</th>
<th>Balance (5-6)</th>
<th>Remark</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
</tbody>
</table>

**Non - Recurring**

(i) Equipments

**Recurring**

1. Human Resource

   ii. Consumables / Item of expenditure

   iii. Travel

   iv. Contingency

   **Total:**

---

(Project Investigator)  

(Finance Officer)

(Head of the Institute)

The applications are to be submitted to the following address.

**Joint Director (Innovation),**  
**Planning and Convergence Department,**  
**Government of Odisha,**  
**Odisha State Secretariat,**  
**Bhubaneswar – 751001**  
**Odisha**  
**Contact No – +91 674 2322626**  
**Email ID – jd3-pc.od@nic.in**