

No. W.11017/43/2011-WQ
Government of India
Ministry of Drinking Water & Sanitation

9th Floor, Paryavaran Bhawan
CGO Complex, Lodhi Road
New Delhi – 110 003.

Dated the 19th September, 2012

To

All Institutions presently executing R & D Projects funded by Ministry of Drinking Water & Sanitation

Sir/ Madam,

Subject:- Amendment to Policy Guidelines on Research and Development for Rural Water Supply and Sanitation Sector -Regarding.

Ministry of Drinking Water and Sanitation, Government of India, provides grants to various Organizations for executing different R & D Projects in rural water supply and sanitation sector. These R & D projects are executed by the organizations based on prescribed guidelines which are hosted on the web-site of the Ministry.

2. Point No. 1 under these Guidelines to be followed by the Organizations receiving R & D Grant from Rajiv Gandhi National Drinking Water Mission (RGNDWM) provides as follows:

R & D grant from Rajiv Gandhi National Drinking Water Mission received by any institution/organization should be kept in a separate bank account (specially opened for concerned sanctioned project) and under no circumstances, this be mixed with general account of the concerned institute/organization.

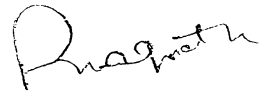
3. Many R & D Organizations have been expressing their difficulties in maintaining separate bank account for each R & D project. This has been considered by Government of India and it has been decided to replace the above clause with the following:

"The Institution will 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 Ministry of Drinking Water & Sanitation and should be reflected in the Statement of Expenditure. The interest thus earned will be treated as a credit to the institution to be adjusted towards further installment of the grant."

4. The above amendment is subject to the condition that the R & D institutions/organizations will maintain separate sub-set of accounts for each project with regular bank reconciliation for calculation of interest earned and crediting it to the project account. The interest earned could be calculated based on the funds

available, duration of funds availability and rate of interest being paid by the bank. The institutions should undertake to maintain the project specific sub-set of accounts and for credit of interest to the project account towards close of the financial year or towards settlement of final accounts.

Yours faithfully,



(P.P. Nagrath)
Deputy Secretary

Copy to:-

1. PPS to Secretary (MDW&S)
2. PS to Joint Secretary (Water)
3. PS to Joint Secretary (Sanitation)
4. Director (Water)
5. CCA, Ministry of DW&S
6. All Advisers
7. Deputy Secretary (Admn.)
8. Deputy Secretary (Finance)
9. IFD, (MDW&S)
10. Pay & Accounts Office, Ministry of RD & DWS

Copy to Technical Director (NIC) – For hosting on the Web-site of the Department.

POLICY GUIDELINES ON RESEARCH AND DEVELOPMENT FOR RURAL WATER SUPPLY AND SANITATION SECTOR

PRIORITY AREAS OF RESEARCH AND DEVELOPMENT

Priority Area-1

WATER RESOURCES EXPLORATION, ASSESSMENT & EXPLOITATION RELATED TECHNOLOGY DEVELOPMENT

Identification Techniques
Remote Sensing/Geophysical
Exploitation of NEWER Resources
Springs/Tanks/Ponds/Surangams
Evaporation interception
Roof top/Courtyard/rainyard

Priority Area-2

TECHNOLOGY DEVELOPMENT FOR IMPROVEMENT IN WATER EXTRACTION TECHNIQUES

Better hand pump
Energy saving pumps/windmill/solar pumps/hydraulic rams
Improvement in tubewell efficiency (strainer, gravel pack)
Improvement on rejuvenation techniques (caving of wells/clogged strainers/clogged infiltration gallery)

Priority Area-3

WATER SCARCITY REDUCTION AND RELATED TECHNOLOGY DEVELOPMENT

Artificial Recharge/Control of salinity ingress/Evaporation Reduction Techniques /Desalination
Water saving irrigation/industry/reuse and recycling/tap leakage detection and prevention
Improved Storage and distribution inexpensive storage tanks (Ferrocement)/Distribution pipes (PVC, bamboo).

Priority Area-4

TECHNOLOGY FOR WATER QUALITY ENHANCEMENT FOR RURAL AREAS

Development of Water Quality Kit
Salinity/Sulphate/Nitrate/Arsenic/Fluoride/Iron, etc.
Bacteria/Virus
Development of Water Quality Enhancement
Tablets/Powders/Portable Heaters/Traditional herbs and processes

Priority Area-5

WATERSHED MANAGEMENT TO OPTIMISE DRINKING WATER SUPPLY

Delineation and resource inventoring of the micro or mini watersheds
Maximisation of water conservation and minimisation of environmental degradation like erosion, sedimentation, etc.
Conjunctive use of water resources

Priority Area-6

WATER-HEALTH INTERACTION IN THE SOCIO ECONOMIC CULTURAL SET UP

Interface problems between
Engineers/Geologists/medical scientists on water and sanitation issues.
Correlation between water constraints and quality of life
Communication and social mobilization strategies.

Priority Area - 7

DEVELOPMENT OF APPROPRIATE RURAL SANITATION TECHNOLOGY

Design of improved leach pit
Hygienic Rural Toilets
Utilisation of Kitchen Waste
Protection of open wells/ponds

Note:- Thrust will be given on Technology development and demonstration, proving them in the field through long term trials and transfer of technology for large scale application.

PROFORMA FOR APPLICATION

FORMAT FOR SUBMITTING RESEARCH PROPOSALS

TO THE Rajiv Gandhi National Drinking Water Mission, DEPARTMENT OF DRINKING WATER SUPPLY, Ministry of Rural DEVELOPMENT, GOVERNMENT OF INDIA

1 Details about the Organisation

i) Name of the Organisation

ii) Status

a) Government (Central/State)

b) Semi – Government

c) Autonomous

d) International

e) Voluntary

iii) Affiliation

a) Ministry/Department (Central/State Govt.)

b) Universities/Institutions

c) International Organisation

d) Any other

2. Details about the Principal Investigator

i) Name of the Principal Investigator

ii) Position

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- iii) Field of Specialisation
- iv) Total no. of years of working
- v) No. of years at present position
- vi) Date of Superannuation (if in the Govt. job)
- 3. Title of Proposed Research Project
- 4. Total Budget of the Research Project
- 5. Total Duration for Completion of the Research Project
- 6. Outline of the Proposed Study (attached)

(A detailed outline of the proposed study is to be prepared according to the Proforma enclosed)

- 7. (a) Research component/content
- (b) Deliverables/output in specific terms
- (c) Utility of (a) & (b) above
- (d) Falls under which priority area of the Mission

PROFORMA FOR DRAFTING PROPOSAL FOR RESEARCH PROJECT

- 1. Title of the Study
- 2. Objectives of the Study
 - a) Primary objective
 - b) Secondary objective

The objectives should be clear and precise.

3. Proposals should be listed according to their nature like

Research/Survey proposal	Technology development proposal	Technology demonstration and Proving Plants	Standardization of technology	Transfer of technology	Repair and maintenance proposal	R&D Train - ing etc.	Others
1	2	3	4	5	6	7	8

- 4. State of knowledge
- 5. Scope and coverage of the Present Proposal

A clear justification for the need of the study

- Its relevance to the programmes sponsored by the Ministry of Rural Development
- Usefulness in improving policies and strategies for planning and management of Rural Development Programmes
- A clear indication whether the study is general or specific in nature
- Specific monitorable output in terms of measurable parameters

3

6. Methodology

6A This part will provide detailed description on the following items

i) Selection of the study area

- Criterion of the selection of the study area
- In case the area has already been indicated by the MRD should be clearly mentioned

ii) Data Needs

- Whether study will be based on only secondary data
- Whether the study will be based on both secondary and primary data
- If the study is based on both secondary and primary data indicate

a) Variables pertaining to the study and

b) tools/Techniques/formats to be used for both primary and secondary data collection

iii) Sample Collection

- whether the study will be based on sample basis
- if the study is based on sample, indicate

a) size of sample

b) justification for selecting a particular size of sample and

c) procedure for sample selection

iv) Analytical design

- If the study is to be conducted on prescribed/pre-determined methodology, a brief description of the same may be provided
- If the study is not based on any specific methodology, provide a brief description of the operational design likely to be followed for the study

v) Organisation of the study

In the section, a brief outline of the study in terms of chapters and the items of analysis to be discussed in each may be indicated.

6B. In case of Technology Development, the detailed description may indicate:

- (i) Plan of work for design
- (ii) Prototype development
- (iii) Lab trials
- (iv) Field trial and final designs
- (v) Standardisation
- (vi) Technology transfer and
- (vii) Commercialisation of technology

7. A brief description of the similar studies conducted by the Organisation/Faculty/Scholar

8. Utilisation of Research Results

- a) Name and address of the User Department/Agencies in the State or region who are likely to use the results or findings of this R&D project.
- b) Have you identified any officer/officers of the User department who is/are likely to co-operate with you in the execution of this research project?
- c) What exactly are the benefit which User Departments/End Users are likely to get from the utilisation of findings of this proposed project?
- d) Identify the linkages you will have to establish with user departments.

(4)

9. Scope for further research/technical development/utilization

10A. Time schedule

A detailed time schedule for the completion of different elements of the study can be indicated

i) Preparatory works (in months/weeks)

- Review of literature
- Preliminary visit to the fields
- Preparation of the questionnaires
- Field testing and finalisation of the questionnaires schedules
- Selection and training of the field investigators

ii) Data Collection (in months/weeks)

iii) Tabulation and Data processing (months/weeks)

iv) Data analysis/computer programme (in months/weeks)

v) Drafting report (in months/weeks)

vi) Finalisation of the draft report (in months/weeks)

10B. A detailed time schedule for the completion of different elements of the technology development can be indicated

(i) Plan of work for design (in months/weeks)

(ii) Prototype development (in months/weeks)

(iii) Lab trials (in months/weeks)

(iv) Field trial and final designs (in months/weeks)

(v) Standardisation (in months/weeks)

(vi) Technology transfer (in months/weeks) and

(vi) Commercialisation of technology (in months/weeks)

11. Financial Budget for the research project (to be given year-wise)

i) Equipment to be purchased

ii) Salary of the research team (to be recruited for the project). salaries of the existing staff of the Institution/Department are not to be charged to the project

iii) Travel expenses

iv) Cost of stationery/ printing/typing/computer processing etc.

v) Contingency expenditure

vi) Total cost

vii) 10% over head charges

viii) Grand total

12. Four (4) copies of the proposal in the above format are to be sent to:

Dr. Ramesh Chandra Panda, I.A.S.,
Joint Secretary & Mission Director,
Rajiv Gandhi National Drinking Water Mission,
Department of Drinking Water Supply,
Ministry of Rural Development,
Paryavaran Bhavan,
9th Floor, C.G.O. Complex, Lodhi Road,
New Delhi-110003.

One copy also need to be marked to:

Smt. Gayatri Sharma,
Deputy Secretary (R&D),
Rajiv Gandhi National Drinking Water Mission,
Department of Drinking Water Supply,
Ministry of Rural Development,
Paryavaran Bhavan.

(5)

8th Floor, C.G.O. Complex, Lodhi Road,
New Delhi-110003

GUIDELINES FOR BUDGETING, ACCOUNTING AND PROGRESS MONITORING FOR R&D PROJECT

GUIDELINES FOR BUDGETING OF R&D PROJECTS

(Based on G.O. No 12(1)/76-GRS of Ministry of Science & Technology dated June 2, 1994)

1. The financial budget for an R&D Proposal has to be prepared year-wise and not in a consolidated fashion for the entire duration of the project
2. Contingency expenditure should not exceed 10% of the total budget
3. Overhead charges also cannot be more than 10% of the budget
4. Administrative charges for the execution of the Project (like providing peons and typists, purchasing office equipment and furnitures etc.) will have to be met from contingency and overhead charges.
5. Purchase of equipment should not exceed more than 25% of the total budget.
6. Special provision for Library development cannot be kept in the R&D proposal. Purchase of any specific book/reading materials etc. can be done from contingency or overheads.
7. Salary of the project staff specifically recruited for the project during the duration of the project can only be charged to the R&D Project.

Salary (full or partial) for the regular staff of the institutions/ organisations/ departments who will get involved in the project either as PI or as Project Director or in any other capacity cannot be charged to the project. Neither they will be allowed to have any honorarium from the project budget.

In case the PI is a retired persons and not drawing any pension/ remuneration from any source, then the RAC may consider giving him token honorarium from the project budget.

8. Project staff salary designation and other service conditions shall have to be governed by a similar to that of DST as detailed in the Annexure.
9. The above salary norms and other service conditions mentioned will be applicable for all R&D Project sanctioned on or after January 1, 1995. Once a project is sanctioned, no request for change of salary/allowances of any project staff will be entertained.

SALARY, DESIGNATION & OTHER SERVICE CONDITIONS FOR STAFF RECRUITED UNDER R&D PROJECTS FUNDED BY RGNDWN

(On similar lines of DST GO No. SP/S9/Z-23/97, dated 24.02.1998) with certain simplifications.

A. SALARY & DESIGNATION

Designation	Qualification	Salary per month
Research Fellow	Bachelors degree in Engineering or Master Degree in Science/Humanities	Rs.5000 for first two years and Rs.5600 on subse-Degree in Science/Humanities quent year.
	Masters degree in Engg. or Bachelors degree in Engineering/Masters Degree in Science with 2 years experience	Rs.6 000 for first two years and Rs.6400/- on subsequent years
Research Associate	Bachelors degree in Engineering or Master degree In Science/Humanities with 3 Years experience	Rs.8000 /- (Fixed)
	- do - with 5 years experience	Rs.8800/- (Fixed)

	- do - with 7 years experience	Rs 10,500/- (Fixed)
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B. SERVICE BENEFITS

Research Fellows and Research Associates will be eligible for HRA and Medical Benefits as per rules of the organisation where he or she is posted. However, they will not be eligible for DA and CCA. So far as TA is concerned, they will be entitled to First class or 2 tier A.C. train fare with all other associated TA rules applicable to the concerned institute.

Research Fellows and Research Associates will be eligible for leaves as per rules of the concerned institutions.

No other benefits like bonus, LTC pensions etc. will be admissible for the Research Fellows and Research Associates.

GUIDELINES TO BE FOLLOWED BY THE ORGANISATIONS RECEIVING R&D GRANT FROM Rajiv Gandhi National Drinking Water MISSION (rgndwm)

(Approved by SSRC in its meeting held on 17th and 18th August 1994 and in the 8th Research Advisory Committee(RAC) meeting held on 07.01.1999)

1. R&D grant from Rajiv Gandhi National Drinking Water Mission received by any institution/organisation should be kept in a separate bank account (specifically opened for concerned sanctioned project) and under no circumstances, this be mixed with general account of the concerned institute/organisation.

2. The project will be deemed to have started from the day in which the first installment grant is received by the institute/organisation and will be deemed to be completed, the day completion Report is received by the Rajiv Gandhi National Drinking Water Mission Head quarters.

3. Half yearly progress report in the format enclosed will have to be submitted to the Rajiv Gandhi National Drinking Water Mission and this will be followed by personal visit and discussion between the Mission staff and the concerned investigator/Head of the Institute/organisation. Grant for the second year will be provided only after audited expenditure statement and satisfactory completion report of the past years work are received by the Mission.

4. Mid term evaluation of the ongoing research project by Mission Officers or other suitable experts will be organised by the Mission.

5. Once a Research Project is completed, the Principal Investigator/Head of the Institute/organisations has to send the following items to Rajiv Gandhi National Drinking Water Mission.

5.1 Statement of closure (in the format enclosed) along with the audited statement of expenditure incurred.

5.2 Twenty copies of completion report along with the copies of publications/patents made out of the projects.

5.3 Twenty copies of Executive Summary of the project, high-lighting the salient findings (not more than 4 type written A4 size pages – double spacing, typed on one side).

5.4 Two thousand (2000) copies of printed brochures highlighting objective, methodology, findings etc. in a common man's language as an extension material, meant for distribution to the user departments, other scientific organisation and to the interested persons in various walks of life.

5.5 The report and the executive summary of the findings have to be submitted separately in the floppies.

6. All the materials mentioned above need to be sent to the Mission Director with a copy to the Deputy Secretary (TM) in the addresses mentioned earlier.

7. Presentation of the findings based on the final Report has to be made by the Principal Investigator before the Research Advisory Committee (RAC).

FORMAT FOR INTERIM PROGRESS REPORT TO BE SUBMITTED HALF YEARLY

1. PROJECT TITLE :

2. DATE OF START :

3. NAME OF PRINCIPAL INVESTIGATOR :

(7)

4. BUDGET & DURATION

5. OBJECTIVES

6. PROGRESS SO FAR MADE IN :
(as on _____ (Date))

A. ADMINISTRATIVE AND FINANCIAL SIDE
(Recruitment, Purchase, Expenditure etc.)

B. TECHNICAL SIDE
(Actual field, laboratory and other related works)

7. REASONS FOR NOT ACHIEVING TARGETED PROGRESS
(if applicable)

8. DATED SIGNATURES AND NAME OF :
Principal Investigator (PI)

Controlling Officer

Head of the Institution

CLOSURE STATEMENT OF THE RESEARCH PROJECT BY THE P.I. STANDARD FORMAT

1. Name of the Research Project :

2. Sanction order no. & date :

Extension order (if applicable no. and date):

3. Project Duration

Date of Start .

Date of completion :

Dates of interim progress report(IPR) submission :

First IPR

Second IPR

Third IPR

Etc.

4. Project Budget

Amount Sanctioned :

Amount Spent :

Please enclose the Audited Expenditure Statement :

Balance amount returned to Mission on :

5. Dates of interim evaluation (if any) and the names of the experts constituting those evaluating teams.

6. Completion Report

Exact Name

Principal Authors

8

No. of bound copies submitted to the Mission

No. of copies of Executive Summary submitted to the Mission

No. of copies of extension brochures submitted to the Mission

7. Publication made out of this particular Research Project in the format below

Author

Year and month of publication

Name of paper

Name of journal

Please enclose reprints/preprints of all the publications (one copy each)

8. Exact scientific contribution made by the P.I. and his team in his project (not more than 10 lines) – Please be specific and no general statements please

9. Name and dated signatures of

Principal Investigator

Co-Investigators

Head of Controlling Department

Head of the Institution

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