



**National Mission on Himalayan Studies (NMHS)**



**2<sup>nd</sup> Call for Demand-Driven Research & Pilot Demonstration  
Project Grant under NMHS 2024-25**

Realizing the significance of the Himalaya in the sustainable development of the nation, the "National Mission on Himalayan Studies (NMHS)" is being implemented since 2015-16 across the Indian Himalayan Region (IHR) with a Vision "to support the sustenance and enhancement of the ecological, natural, cultural and socio-economic capital assets and values of the Indian Himalayan Region (IHR)".


For the current year 2024-25, project proposals are invited under NMHS from individuals working in reputed Institutions/Universities/Organizations equipped with adequate resources and prior proven demand-driven action Research and Development (R&D) experience, addressing one or more of the following Identified Thrust Areas under specific Broad Thematic Areas (BTAs). The proposals submitted under NMHS should complement national priorities such as "Lifestyle for Environment (LiFE)", "Self-Reliant Bharat", "Swachh Bharat Abhiyaan" as well as supplement the international commitments like Sustainable Development Goals (SDGs), India's Nationally Determined Contributions (NDCs) in the IHR. The project proposals should also take cognizance of the NMHS cross-cutting themes, i.e. gender equality and climate change.

The identified Thrust Areas (ITAs) for submission of proposals under different BTAs of NMHS are as follows:

S#	Identified Thrust Areas	BTAs
1.	<ul style="list-style-type: none"> <li>Development of Hybrid Purification Systems and Prototypes.</li> <li>Adaptive High-Altitude Monitoring &amp; Analytical Recommendations in Water Resource Sustainability.</li> <li>Hydrological Modeling for Integrated Management.</li> <li>Surface and Groundwater Modeling, Monitoring, and Scenario Planning and Preparedness for Sustainable Future.</li> <li>Efficient Natural Water Resource Management and Policy Recommendations.</li> </ul>	Water Resource Management
2.	<ul style="list-style-type: none"> <li>Ecological ecosystem sustainability and its integrated components.</li> <li>Smart Agroforestry Models, integrated with Conservation Frameworks.</li> <li>Mainstreaming Biodiversity across Development Sectors.</li> </ul>	Biodiversity Conservation and Management
3.	<ul style="list-style-type: none"> <li>Climate-Resilient Infrastructure with renewable &amp; Green Energy Integration.</li> <li>Low-cost, resilient Infrastructure and Technology/ Technique Prototypes.</li> <li>Climate-resilience and Emergency Preparedness.</li> <li>Green energy-based Innovative Rural Enterprise Prototypes.</li> </ul>	Infrastructure Development
4.	<ul style="list-style-type: none"> <li>Development of Predictive Pavements.</li> <li>Incorporation of Waste-recycled materials into road construction.</li> </ul>	Physical Connectivity
5.	<ul style="list-style-type: none"> <li>Development of Automatic Bio- and/or Non-biodegradable Waste Processing Bin Prototypes at the household level.</li> <li>Community-led Waste Management Models at the household/ municipality level.</li> <li>Micro-plastics source tracking and mitigation strategies &amp; models.</li> </ul>	Handling of Waste

The interested individuals working in reputed Institutions/ agencies may submit the research proposal in the prescribed format in their area(s) of expertise along with the Endorsement Certificate from the Head of the Institution and detailed bio-data of the PI and Co-PIs. The detailed project submission guidelines and prescribed formats for preparing Project Proposal are available on the website of the NMHS-PMU: <http://nmhs.org.in>

**Proposal Submission Procedure:** The complete proposal prepared in the prescribed NMHS format in any of the aforementioned Identified Thrust Areas should be **submitted through Online Portal of NMHS:** <https://newprojectsubmission.nmhs-himal.res.in/> **before 05:00 PM on 30<sup>th</sup> October 2024.**

  
31/10/2024  
Administrative Officer  
NIHE HQS

# National Mission on Himalayan Studies (NMHS)

## **Guidelines for submitting Project Proposals under NMHS 2024-25 Project Grant**

**(2<sup>nd</sup> Call for Demand-Driven Action Research & Pilot Demonstration Project Proposals)**

# National Mission on Himalayan Studies (NMHS)

## Guidelines for submitting Project Proposals under NMHS 2024-25

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## 1 Section A - Introduction

The National Mission on Himalayan (NMHS) has introduced Grants as the main vehicle to deliver on-the-ground results for the well-being of the Indian Himalayan Region (IHR) and mountain communities in the region.

Projects that are supported by the NMHS Grants are expected to address one or more of the Broad Thematic Areas (BTAs) and Thrust Areas with respective indicative intervention areas (Table 1) within the context of the NMHS and its Vision, Mission, Goal, and Objectives.

### 1.1 Broad Thematic Areas (BTAs) along with Indicative and Overarching Thrust Areas

The **Identified Thrust Areas for submission of projects under each Broad Thematic Areas** are given in Table 1. The focus should be on improving/ strengthening the financial variability of such projects in the Himalayan Region.

Also, this is mandatory to involve the State Government Departments and its line agencies not only during implementation but also while post-completion of the project for ensuring self-sustainability of the project.

**Table 1: Identified Thrust Areas under each Broad Thematic Areas**

S#	Identified Thrust Areas	BTAs
1.	<ul style="list-style-type: none"><li>• Development of Hybrid Purification Systems and Prototypes.</li><li>• Adaptive High-Altitude Monitoring &amp; Analytical Recommendations in Water Resource Sustainability.</li><li>• Hydrological Modeling for Integrated Management.</li><li>• Surface and Groundwater Modeling, Monitoring, and Scenario Planning and Preparedness for Sustainable Future.</li><li>• Efficient Natural Water Resource Management and Policy Recommendations.</li></ul>	Water Resource Management
2.	<ul style="list-style-type: none"><li>• Ecological ecosystem sustainability and its integrated components.</li><li>• Smart Agroforestry Models, integrated with Conservation Frameworks.</li><li>• Mainstreaming Biodiversity across Development Sectors.</li></ul>	Biodiversity Conservation and Management
3.	<ul style="list-style-type: none"><li>• Climate-Resilient Infrastructure with renewable &amp; Green Energy Integration.</li><li>• Low-cost, resilient Infrastructure and Technology/ Technique Prototypes.</li><li>• Climate-resilience and Emergency Preparedness.</li><li>• Green energy-based Innovative Rural Enterprise Prototypes.</li></ul>	Infrastructure Development
4.	<ul style="list-style-type: none"><li>• Development of Predictive Pavements.</li><li>• Incorporation of Waste-recycled materials into road construction.</li></ul>	Physical Connectivity
5.	<ul style="list-style-type: none"><li>• Development of Automatic Bio- and/or Non-biodegradable Waste Processing Bin Prototypes at the household level.</li><li>• Community-led Waste Management Models at the household/ municipality level.</li><li>• Micro-plastics source tracking and mitigation strategies &amp; models.</li></ul>	Handling of Waste

### 1.2 Cross-Cutting Issues

All projects supported by the NMHS Grants are expected to address the NMHS crosscutting issues including 'gender equality' and 'climate change'.

### 1.2.3 Gender Equality

The projects should take into account gender equality aspects. Special attention should be paid to differences between men and women with respect to: access to and use of resources (including but not limited to, generation and use of income); observed practices and patterns of participation in decision making; social beliefs and perceptions; laws, policies, and institutions that may affect men and women's participation in the project.

### 1.2.4 Climate Change

The projects must take into cognizance the likely impacts of climate change and climate variability including climate-related problems already encountered or likely to be encountered at the local level (defined by the project system boundary) and the likely climate-driven impacts on the system. The Projects must include a strategy to identify and address these impacts to ensure that interventions are climate proofed.

#### *Communication*

The projects should include its communication strategy, including the audiences' present awareness level, current practices, media preferences and demographic/psychographic profiles, identifying the target audiences and interrelationships between each communications stakeholder/ target Audience group, defining communication objectives, formulating key messages which are important to communicate to audiences, and selecting media which will best assist you to achieve objectives and desired relationships.

## 1.3 Type of Projects

The projects are expected to address the problems identified by comprehensive situation analysis and they should be founded on well-constructed monitoring frameworks with clear objectives and outcomes/impacts to enable potential changes brought about by the projects to be reported on clearly. There are three (3) types of NMHS Grants- (i) Small Grant (ii) Medium Grant (MG) and (iii) Large Grant (LG).

### 1.3.1 Small Grant (SG)

The maximum value of Small Grant projects shall be up to INR 50 lakhs. However, the STAG may decide to have a reduced upper limit depending on the situational context. Ideally, SG projects should be of 3 years duration. Based on NMHS's Guiding Principle all Small Grants projects would be partnership-based, all projects should have two or more partners and preferably the partnership should involve partners from different sectors of society: e.g. an NGO or CBO with a government department, university, research institute or private company, etc. Development of the project proposal should be done in partnership with the local community in consonance with the Sustainable Development Goals (SDGs).

### 1.3.2 Medium Grant (MG)

The main aim of MGs is to support medium projects can be used to build on and/or to expand successful projects with a total budgetary outlay of not more than 500 lakhs and are expected to reflect the multi-sectoral and partnership-based characteristics of NMHS and to address two or more TAWs in an effort to examine more complex and often multi-disciplinary issues affecting mountain ecosystems as prioritized by the NMHS.

MG projects should contribute significantly to building the resilience of ecosystem dependent mountain communities by addressing specific resilience parameters from either the ecosystem, or societal system, or both. Preferably there should be spatial mapping/planning data available and the location should be large enough to be important at the ecosystem level, containing significant mountain habitats and resources and/or biodiversity.

### 1.3.3 Large Grant (LG)

The LG will be used as a mechanism to address long-term multi-site, ecological monitoring trans-boundary issues in IHR issues spanning over two or more states/countries to consolidate existing knowledge, especially relevant to mountain resources management and to conduct research one merging issues to acquire new knowledge. LGs are projects that with total budgetary outlay of over 500 lakhs.

## 1.4 Information Dissemination

Key consideration in all NMHS Projects is that information generated from the projects should be freely available for dissemination. Thus, it is required that the Project Proponent/Grantees will provide NMHS-PMU unhindered access to all information (written material, sound and video recordings, including films, maps, photography, and any other materials in any other medium) generated under the project. NMHS also encourages the Grantees to freely disseminate all processed information amongst the project stakeholders and the general public.

## 2 Section-B: Guidelines for Small Grant (SG) Projects

### 2.1 Eligibility Criteria for SG Projects

#### 2.1.1 Project Size

The maximum value of Small Grant projects shall be up to INR 50 lakhs. However, the STAG may decide to have a reduced upper limit depending on the situational context.

#### 2.1.2 Project Duration

The duration of Small Grant Project would be of maximum 3 years (w.e.f. Project start date).

#### 2.1.3 Partnership with the local community

The Project proposal should be developed in partnership with the local community and adhere the following in consonance with the Sustainable Development Goals (SDGs) and LiFE Mission of GoI:

- (a) would not adversely affect the positions of various stakeholders;
- (b) seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management; and
- (c) would follow a participatory approach involving principles of LiFE at individual and Community level.

#### 2.1.4 Co-Financing

The proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 5% of the total value of the project.

#### 2.1.5 Cross Cutting Themes

The proposals would explicitly integrate the three NMHS crosscutting themes **Climate Change**, Gender Equality and Communications.

#### 2.1.6 Capital Assets

Purchase of capital assets is not allowed under NMHS.

### 2.2 Organisational and Institutional Criteria

#### 2.2.1 Project Eligibility

Proposals can be submitted by reputed National/Regional academic and research institutes and Non-profit organizations, which meet the following criteria<sup>1</sup>:

- Have been registered with an appropriate national authority for a minimum of three years;
- Have demonstrated a proven, or otherwise strong potential capacity to implement

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<sup>1</sup> Although Ministries and Government Departments are ineligible for direct financial support, the following Eligible Applicants (*viz.* academic and research institutes, Non-profit organizations) are required, to partner with Ministries and Government Departments, wherever appropriate.

participatory and community-based projects in one or more relevant fields including: community development, mountain ecosystem rehabilitation, and conservation/sustainable use/management of natural resources;

- Have scientific or professional credibility, as recognised by the peer review process;
- Can demonstrate capacity and experience in project management and financial administration;
- A proponent who has been a recipient of a previous grant can be awarded another grant only after successful completion of the previous project, evidenced by approved final technical and financial reports;
- Proposals from academic and research institutes must demonstrate the applied nature of the research proposed and clearly indicate how the local communities are involved.
- The proponents must successfully complete a Due Diligence check undertaken by the NMHS.

### 2.2.2 Limitations on Eligibility

The SG will NOT grant financial support to:

Pure scientific research falling in the mandate of Department of Science & Technology, Ministry of Earth Sciences, Ministry of Agriculture & Cooperation and Department of Biotechnology;

Travel and subsistence assistance for participation of non-official members in conferences and courses, unless they are organized within the NMHS region and it can be justified as a vital and integral contribution to the activities of the project and/ or to prioritized regional knowledge sharing;

Proponents who have defaulted previously in grant management, or who did not fulfil their contractual obligations, or who had their contracts cancelled.

In case of individuals, we have mentioned in the memo that they may route their proposals through recognized /registered organizations.

### 2.2.3 Project Implementation

Two or more partners are expected to be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.

### 2.2.4 Roles and responsibilities of Stakeholders

The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the State Government departments).

## 2.3 Operation of the Small Grant

### 2.3.1 Call for Proposal

Maximum publicity is given to the call for proposals through advertising in national/ local

newspapers / in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

### 2.3.2 Submission of Proposal

Proponents should **online submit** a brief of project proposal as a Concept Note in the prescribed format given in NMHS portal <https://newprojectsubmission.nmhs-himal.res.in/> (ref. Annexure 1) along with uploading a full proposal based on a format provided (ref. Annexure-2).

### 2.3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with the PMU-NMHS. The projects will be managed by the PMU-NMHS for CS-I Division and while implementation will be overseen by the NMHS-PMU under the guidance of the STAG.

### 2.3.4 Design and Planning of Proposals

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

### 2.3.5 Project Approval

A peer review/external evaluation of the proposals will be done by thematic experts or thematic Working Group of STAG. The Working Groups may also have co-opted experts as necessary. The recommendations of these appraisals will be used for further improvement of the proposals, as required.

The proposals received for funding through open advertisement may also be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/ thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision.

Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. The PMU-NMHS will enter into a contract with the proponent.

### 2.3.6 Funding Pattern

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

S#	Instalments	Grant %	Procedural Terms & Conditions
1.	First instalment	Only 25% of the Total Project Grant Sanctioned.	After submission of Acceptance Letter, Bond, etc., as advance with adequate safeguards as per NMHS norms.
2.	Second instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 1 <sup>st</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
3.	Third instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 2 <sup>nd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Only 15% of the Total Project Grant Sanctioned with holding 10% release on approval (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 3 <sup>rd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Release of remaining 10% of the grant withheld earlier.	Finally, on receipt of the satisfactory FTR, followed by the duly approval by the Competent Authority-NMHS along with the Consolidated UC, and other procedural documentation.

- As per the directive of the Govt. of India, the implementing agency must be registered in Public Financial Management System (PFMS). All transactions should be done through PFMS Portal only for transparency and accountability of the Govt. grant.
- A separate Saving Bank Account should be opened in a Nationalized bank. The same will be mapped into the PFMS under the scheme “National Mission on Himalayan Studies (NMHS), Scheme Code-3493 and Unique Code-0125. The funds will be transferred into the newly opened bank account so that the interest accrued on the same may be tracked and refunded to the NMHS.

### 2.3.7 Monitoring, Learning and Evaluation (MLE)

NMHS PMU shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one STAG Member, and one CS-I Division/ PMU representative. Additionally, CS-I Division may co-opt other national or international experts. In addition, STAG shall undertake MLE missions and MLE Workshops periodically. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

### 2.3.8 Reporting

The Project Proponent would make periodic progress (Quarterly and Annual) and financial reports and Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

### 2.3.9 Audit

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

### 3 Section C- Guidelines for Medium Grant (MG) Projects

The following sections provide guidelines for the application, design and planning, and award of projects under the NMHS Grant Mechanisms.

#### 3.1 Eligibility Criteria for MG Projects

##### 3.1.1 Project Size

The Medium Grant Project under NMHS would be above INR 50 lakhs and up to INR 500 lakhs.

##### 3.1.2 Project Duration

The duration of Medium Grant Project would be of maximum 3 years (w.e.f. Project start date).

##### 3.1.3 Partnership with the local community

The Project proposal should be developed in partnership with the local state line agency and Community, and adhere the following in consonance with the Sustainable Development Goals (SDGs) and Mission LiFE:

- (a) would not adversely affect the positions of various stakeholders;
- (b) seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management; and would follow a participatory approach.
- (c) Involving principles of LiFE at individual and Community level.

##### 3.1.4 Co-Financing

The Grantee/Project proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 10% of the total value of the project.

##### 3.1.5 Cross-Cutting Themes

The proposals would explicitly integrate the three NMHS crosscutting themes Climate Change, Gender Equality and Communications.

##### 3.1.6 Capital Assets

Purchase of capital assets is not allowed under NMHS.

#### 3.2 Organisational and Institutional Criteria

##### 3.2.1 Project Participants

The Medium Grant Project is open to all sectors (including Ministries, Government Departments and Govt./Private Institutions, Non-profit Organizations). The partnership with **State line agencies** will be mandatory with defined role in post project exit strategy.

##### 3.2.2 Project Implementation

Two or more partners are expected to be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.

### 3.2.3 Roles and responsibilities of Stakeholders

The proposal should clearly indicate the involvement and roles and responsibilities of all partners and the key stakeholders (including the State Government agencies).

## 3.3 Operation of the Medium Grant

### 3.3.1 Call for Proposal

Maximum publicity is given to the call for proposals through advertising in national/ local newspapers / in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

### 3.3.2 Submission of Proposal

Proponents should **online submit** a brief of project proposal as a Concept Note in the prescribed format given in NMHS portal <https://newprojectsubmission.nmhs-himal.res.in/> (ref. Annexure-1) along with uploading a full proposal based on a format provided (Annexure-2).

### 3.3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with the PMU-NMHS. The projects will be managed by the PMU-NMHS for CS-I Division and while implementation will be overseen by the NMHS-PMU under the guidance of the STAG.

### 3.3.4 Design and Planning of Proposals

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

### 3.3.5 Project Approval

A peer review/external evaluation of the proposals will be done by thematic experts and thematic Working Group of STAG. The recommendations of these appraisals may also be used for further improvement of the proposals, as required. The proposals received for funding through open advertisement may also be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision.

Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. PMU-NMHS will enter into a contract with the proponent.

### 3.3.6 Funding Pattern

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

S#	Instalments	Grant %	Procedural Terms & Conditions
1.	First instalment	Only 25% of the Total Project Grant Sanctioned.	After submission of Acceptance Letter, Bond, etc., as advance with adequate safeguards as per NMHS norms.
2.	Second instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 1 <sup>st</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
3.	Third instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 2 <sup>nd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Only 15% of the Total Project Grant Sanctioned with holding 10% release on approval (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 3 <sup>rd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Release of remaining 10% of the grant withheld earlier.	Finally on receipt of the satisfactory FTR, followed by the duly approval by the Competent Authority-NMHS along with the Consolidated UC, and other procedural documentation.

- As per the directive of the Govt. of India, the implementing agency must be registered in Public Financial Management System (PFMS). All transactions should be done through PFMS Portal only for transparency and accountability of the Govt. grant.
- A separate Saving Bank Account should be opened in a Nationalized bank. The same will be mapped into the PFMS under the scheme "National Mission on Himalayan Studies (NMHS), Scheme Code-3493 and Unique Code-0125. The funds will be transferred into the newly opened bank account so that the interest accrued on the same may be tracked and refunded to the NMHS.

### 3.3.7 Monitoring, Learning and Evaluation (MLE)

NMHS PMU shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one STAG Member, and one CS-I Division/ PMU representative. Additionally, CS-I Division may co-opt other national or international experts. In addition, STAG shall undertake MLE missions and MLE Workshops periodically. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

### 3.3.8 Reporting

The Project Proponent would make periodic progress (Quarterly and Annual) and financial reports and Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

### 3.3.9 Audit

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

## 4 Section D - Guidelines for Large Grant (LG) Projects

### 4.1 Eligibility Criteria for LG Projects

#### 4.1.1 Project Size

The Large Grant Project under NMHS would be more than INR 500 lakhs. A higher upper cap may be defined and approved by the STAG and Steering Committee based on the requirements of specific project proposals.

#### 4.1.2 Project Duration

The duration of Large Grant Project would be of maximum 3 years (w.e.f. Project start date).

#### 4.1.3 Thematic Areas

Projects have to be in line with and complementary to the overall Vision, Mission, Goals, and Objectives of the NMHS and have clear relevance to the TAW and the strategic action plans of the participating states/countries.

#### 4.1.4 Interstate/ transboundary initiative

Large Grant Projects must involve interstate/ transboundary initiative at least between two IHR states.

#### 4.1.5 Co-financing

The proponents should have sound financial and operational structures and be able to provide and enlist significant co-financing and other tangible commitments from its partners. The co-financing in the form of either cash or in-kind contributions shall be equivalent to at least 20% of the total value of the project.

#### 4.1.6 Crosscutting themes

The proposals must explicitly integrate the three NMHS crosscutting themes **Gender Equality and Climate Change**. In particular, proposals for regional projects should have a clear knowledge dissemination strategy including mechanisms to take up the results and disseminate those in the multi-state context.

### 4.2 Organisational and Institutional Criteria

#### 4.2.1 Project Participants

The Large Grant Project is open to all sectors (including Ministries, Government Departments and Private Institutions). The partnership with **State line agencies** will be mandatory with defined role in post project exit strategy.

#### 4.2.2 Project Implementation

Two or more partners are expected to be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.

#### 4.2.3 Roles and responsibilities of Stakeholders

The proposal should clearly indicate the involvement and roles and responsibilities of all the partners and key stakeholders (including the State Government agencies).

### 4.3 Operation of the Large Grant

#### 4.3.1 Call for Proposals

Maximum publicity is given to the call for proposals through advertising in national/ local newspapers / in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

#### 4.3.2 Submission of Proposals

Proponents should **online submit** a brief of project proposal as a Concept Note in the prescribed format given in NMHS portal <https://newprojectsubmission.nmhs-himal.res.in/> (ref. Annexure-1) along with uploading a full proposal based on a format provided (Annexure-2).

#### 4.3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with the PMU-NMHS. The projects will be managed by the PMU-NMHS for CS-I Division and while implementation will be overseen by the NMHS-PMU under the guidance of the STAG.

#### 4.3.4 Design and Planning of Proposals

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

#### 4.3.5 Project Approval

A peer review/ external evaluation of the proposals will be done by thematic experts or thematic Working Group of STAG. The Working Groups may also have co-opted experts as necessary. The recommendations of these appraisals may be used for further improvement of the proposals, as required.

The proposals received for funding through open advertisement may also be sent to the independent experts and state agencies for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/ thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision. Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. PMU-NMHS will enter into a contract with the

proponent.

#### 4.3.6 Funding Pattern

It is proposed to release the total sanctioned amount for an approved project /study/ intervention in two instalments.

S#	Instalments	Grant %	Procedural Terms & Conditions
1.	First instalment	Only 25% of the Total Project Grant Sanctioned.	After submission of Acceptance Letter, Bond, etc., as advance with adequate safeguards as per NMHS norms.
2.	Second instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 1 <sup>st</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
3.	Third instalment	Only 25% of the Total Project Grant Sanctioned (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 2 <sup>nd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Only 15% of the Total Project Grant Sanctioned with holding 10% release on approval (upon 75% Utilization of the previous instalment).	On receipt of satisfactory 3 <sup>rd</sup> periodic Progress Reports & Annual Utilisation Certificate (UC), Expenditure of Statement along with Original Bills.
4.	Fourth instalment - On acceptance of FTR	Release of remaining 10% of the grant withheld earlier.	Finally, on receipt of the satisfactory FTR, followed by the duly approval by the Competent Authority-NMHS along with the Consolidated UC, and other procedural documentation.

- As per the directive of the Govt. of India, the implementing agency must be registered in Public Financial Management System (PFMS). All transactions should be done through PFMS Portal only for transparency and accountability of the Govt. grant.
- A **separate Saving Bank Account** should be opened in a Nationalized bank. The same will be mapped into the PFMS under the scheme "National Mission on Himalayan Studies (NMHS), Scheme Code-3493 and Unique Code-0125. The funds will be transferred into the newly opened bank account so that the interest accrued on the same may be tracked and refunded to the NMHS.

#### 4.3.7 Monitoring, Learning and Evaluation (MLE)

NMHS PMU shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one STAG Member, and one CS-I Division/ PMU representative. Additionally, CS-I Division may co-opt other national or international experts. In addition, STAG shall undertake MLE missions and MLE Workshops periodically. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

#### 4.3.8 Reporting

The Project Proponent would make periodic progress (Quarterly and Annual) and financial reports and Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

#### 4.3.9 Audit

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

### Latest Fund Flow Procedure under NMHS Grants

The funds under NMHS Grants will be regulated in accordance with the provisions contained in the guidelines of the Department of Expenditure and MoEF&CC as per General Financial Rules (GFRs), 2017, as amended from time-to-time, read with Government of India's decisions incorporated thereunder and any other guidelines which may be issued in this regard.

The latest Terms & Conditions to be followed for release of funds under NMHS grants are as follows:

- (i) The funds release will be on adjustment basis, as per the actual expenditure. The FY 2023-24 onwards, the 'Original Bills' will be raised and submitted under the ONLY following specific seven (07) 'Budget Heads' with respective 'Sub-Heads' by the NMHS-Project PI/ Proponent to NMHS-PMU at GBP NIHE HQs, Almora, Uttarakhand.
- (ii) Subsequent instalments to the project under different heads will be released ONLY after utilization of 75% of the fund released under respective budget head. Such requisition of the fund or the next instalment demand should be submitted by the Project Proponent/ PI in consolidated manner with Original Copies of Complete Bills and Vouchers along with the latest progress report to the NMHS-PMU in softcopies *via* e-mail as well as hardcopies *via* speed post. Please take note of the following updated provisions to maintain the NMHS grant in compliance:

S#	Budget Head	1 <sup>st</sup> instalment (25% of Project Cost)	2 <sup>nd</sup> Instalment (Upon 75% utilization of 1 <sup>st</sup> instalment)	Subsequent Instalment*	Total
1.	Professional Services <sup>1</sup>				
2.	Training Expenses <sup>2</sup>				
3.	Domestic Travel Expenses <sup>3</sup>				
4.	Office Expenses <sup>4</sup>				
5.	Printing and Publication <sup>5</sup>				
6.	Digital Equipment <sup>6</sup>				
7.	Materials and Supplies <sup>7</sup>				
	<b>Total</b>				

\*Only 10% of the final instalment will be withheld and released after closure of the project on final approval of the Competent Authority, NMHS.

- (iii) These Original Bills under the NMHS-funded project need to be submitted very attentively and in timely manner on 75% utilization of the released NMHS Grant under the specified 07 main 'Budget Heads' with respective 'Sub-heads' immediately. The appropriately and timely processed original bills will facilitate the bills checking process ahead, without causing any delay and thus expediting the subsequent NMHS Grant release towards ensuring continuity of project activities and its target deliverables within the stipulated time. The following Checklist need to be followed for adjustment of bills for different budget heads.

## Checklist for the Original Adjustment Bills under different NMHS Budget Heads

S#	NMHS Budget Heads	NMHS Budget Sub-Heads	Checklist
1.	Professional Services:	Hiring charges to various services/ expertise of Govt. and Non-Govt. Institutions, Organizations for conducting Mission activities, and salary of consultants and others NMHS professional staff and payment to other departments for service rendered, <u>Overheads</u> . Number of manpower along with the designation and per month salary should be enlisted and submitted separately.	1. Contract Agreement of Services availed/ required.
2.	Training Expenses:	Capacity Building and Training Programmes, workshops, extension programs through State Govt. agencies.	1. Order of training with details of each participant. 2. Attendance Sheet of Training.
3.	Domestic Travel Expenses:	Traveling expenses during the professional services, field visit for various projects sites, and meetings.	1. Duly filled GAR-14A Bill. 2. Vouchers/ Bills of Tickets. 3. Order of Tours/ Trainings.
4.	Office Expenses:	Recurring and non-recurring contingent expenses, Stationary charges, other Office expenses and <u>Contingency</u> expenses during implementation of various activities, Minor office equipment, wages for contractual staff ( <i>eg. Office assistant and Data Entry Operators</i> ).	1. Vouchers/ Bills. 2. Copies of Contracts (in case of salary of contractual staff).
5.	Printing and Publication:	Printing and publication of the books, manuals, papers, etc.	1. Vouchers/ Bills. 2. Copies of Award of Contracts.
6.	Digital Equipment:	Hardware & software, Minor equipment, etc.	1. Vouchers/ Bills. 2. Copies of Award of Contracts.
7.	Materials and Supplies:	Lab supplies and materials store, such a light and sound systems, demonstrations models, pilot plant, educations supplies, agricultural supplies, chemical and glassware, spare parts and supplies and goods. A separate list along with per item cost with justification should be mentioned separately.	1. Vouchers/ Bills. 2. Copies of Award of Contracts.

(iv) Only 10% of the total project cost will be withheld from the final instalment of the project, and the same will be released only after acceptance of the Final Technical Report (FTR) of the project and on approval of the Competent Authority, NMHS.

(v) The final settlement of the project accounts would be done on receipt and acceptance of the consolidated and Expenditure Statement, Utilization Certificate (UC), and FTR by the Competent Authority, subject to fulfilment of GoI rules/ norms and conditions specified in the NMHS-Sanction Letter at the time of project approval.

These instructions are issued with the approval of the Competent Authority, NMHS.

\* \* \* \* \*

**Requisite Annexes to be filled and submitted under NMHS:**

Annexure No.	Particulars
Annexure-1.	<i>Template for <b>Concept Note</b></i>
Annexure-2.	<i>Template for <b>Full Proposal</b></i>
Annexure-3.	<i>Template for <b>Information about the Proponent Organization</b></i>
Annexure-4.	<i>Template for <b>Updating CVs of PI and Co-PIs</b></i>
Template	<i>Pro forma – <b>Endorsement Letter</b> from the Head of the Institution</i>

## Annexure-1

### Template for Concept Note: Small, Medium Grant and Large Grant Project

The Concept Note should be a maximum of four (4) pages [excluding the “Information on the Proponent Organization” and CV of PIs and Co PIs) (**Annexure 3 & 4**)].

Date of Proposal Submission

d	d	m	m	y	y	y	y

1.	Type of Proposal	Small Grant		Medium Grant		Large Grant	
2.	Project Title	[Should reflect the work of the project]					
3.	Project Site (attach a location map)						
4.	Scale of Project operation	National		Regional		Local	
5.	Lead Implementation Agency	Name and Address of the Organization, website					
	Principal Investigator (PI)	[With contact details, Phone Fax, email and Mobile]					
	Co- Principal Investigator (co-PI)	[With contact details, Phone Fax, email and Mobile]					
6.	Implementing partners	Implementing Agency/ies with Name and Address, website					
	Key Persons of Implementing Partners with contact details						
7.	Synopsis/ Rationale of the Project (500 words)						

8.	<p data-bbox="323 546 1430 618">Novelty of the Project with significance to NMHS/ IHR (200 words) why the project is necessary</p>
9.	<p data-bbox="323 1039 1214 1072">Proposed Outputs or Quantifiable Outputs of the projects (in bullets)</p>
10.	<p data-bbox="323 1532 679 1565">Envisaged Project Impacts</p>

11.	Proposed Project Budget (requested from NMHS)		
	<b>S#</b>	<b>Budget Head</b>	<b>Proposed Grant (in INR)</b>
	1.	Professional Services <sup>1</sup>	
	2.	Training Expenses <sup>2</sup>	
	3.	Domestic Travel Expenses <sup>3</sup>	
	4.	Office Expenses <sup>4</sup>	
	5.	Printing and Publication <sup>5</sup>	
	6.	Digital Equipment <sup>6</sup>	
	7.	Materials and Supplies <sup>7</sup>	
		<b>Total</b>	
12.	Contribution from Others Sources (Co-financing – in Cash or Kind):		

	Total Budget Requirements (%)	Financing Plan		
		Request from NMHS	Grantee Contribution	Other Contributions
		100%	XX%	YY%

**Year- wise Budget Breakup**

S#	Budget Head	1st year	2nd year	3rd year	Total
1.	Professional Services <sup>1</sup>				
2.	Training Expenses <sup>2</sup>				
3.	Domestic Travel Expenses <sup>3</sup>				
4.	Office Expenses <sup>4</sup>				
5.	Printing and Publication <sup>5</sup>				
6.	Digital Equipment <sup>6</sup>				
7.	Materials and Supplies <sup>7</sup>				
	<b>Total</b>				

*Note:* Please take note of following suggestions at the time of preparation of budget:

- <sup>1</sup> **Professional Services:** Hiring charges to various services/ expertise of Govt. and Non-Govt. Institutions, Organizations for conducting Mission activities, and salary of consultants and others NMHS professional staff and payment to other departments for service rendered, overheads. Number of manpower along with the designation and per month salary should be enlisted and submitted separately.
- <sup>2</sup> **Training Expenses:** Capacity Building and Training Programmes, workshops, extension programs through State Govt. agencies.
- <sup>3</sup> **Domestic Travel Expenses:** Traveling expenses during the professional services, field visit for various projects sites, and meetings.
- <sup>4</sup> **Office Expenses:** Recurring and non-recurring contingent expenses, Stationary charges, other Office expenses and contingency expenses during implementation of various activities, Minor office equipment, wages for contractual staff (*eg. Office assistant and Data Entry Operators*).
- <sup>5</sup> **Printing and Publication:** Printing and publication of the book's manuals, papers, etc.
- <sup>6</sup> **Digital Equipment:** Hardware & software, Minor equipment, etc.
- <sup>7</sup> **Materials and Supplies:** Lab supplies and materials store, such a light and sound systems, demonstrations models, pilot plant, educations supplies, agricultural supplies, chemical and glassware, spare parts and supplies and goods. A separate list along with per item cost with justification should be mentioned separately.

**Template for Full Proposals: Small Grant, Medium Grant and Large Grant**

<p><b>1</b></p>	<p><b>INTRODUCTION</b></p> <ul style="list-style-type: none"> <li>a) Background</li> <li>b) Project Area [It should capture the baseline of the project area including demography, socio-economy, biodiversity, forest &amp; wildlife, natural resources and environment]</li> <li>c) Situation Analysis of the Area</li> <li>d) Identification Issues/ problems and justification for the Project</li> <li>e) How the Project is relevant to NMHS and National priorities</li> <li>f) Identify the Project Beneficiaries</li> <li>g) Ongoing activities /other project or activities in support of this project</li> <li>h) Envisaged Impacts of the Proposed Project [It may be livelihood, socio-economy, biodiversity, forest &amp; wildlife, natural resources and environment etc.]</li> </ul>
<p><b>2</b></p>	<p><b>PROJECT DESCRIPTION</b></p> <ul style="list-style-type: none"> <li>a) Aim, Objective(s) and Goals</li> <li>b) Proposed Activities to Achieve Project Goals</li> <li>c) Describe the details of Activities (each activity separately) <ul style="list-style-type: none"> <li>I. Methodology</li> <li>II. Focus Area of Action</li> <li>III. Performance Parameters/ Monitoring Indicators</li> <li>IV. Key Beneficiaries/ Stakeholders</li> <li>V. Envisaged Impacts</li> <li>VI. Innovation/ New/ Value-added</li> </ul> </li> <li>[Activity table including activities, Methodology, Focused action, Performance parameters/ Monitoring indicators, Key Beneficiaries and expected results need to be provided]</li> <li>d) Expected Outputs or Quantifiable Deliverables of the project [PERT Chart may be given]</li> <li>e) Time Frame [with WBS and Gantt Chart showing each Activity and sub components]</li> </ul>
<p><b>3</b></p>	<p><b>PROJECT IMPLEMENTATION PLAN</b></p> <ul style="list-style-type: none"> <li>a) How project would be Implemented</li> <li>b) Identification of Project Partners and how they would be co-ordinated</li> <li>c) Details of Project Workers to be included</li> <li>d) A Block Diagram on Project Implementation Plan should be provided approach to be elaborated</li> <li>e) Exit strategy- how Outcomes be sustained after funding ceases</li> </ul>
<p><b>4</b></p>	<p><b>PROJECT MANAGEMENT AND CO-ORDINATION</b></p> <ul style="list-style-type: none"> <li>a) Financial Management and Procurement</li> <li>b) Identify Risks associated with Projects how these risks be addressed</li> <li>c) How Cross-Cutting Issues would be addressed in the Project</li> </ul>

	<ul style="list-style-type: none"> <li>d) How the project would be Sustainable and Replicable for wider benefits</li> <li>e) How project Information would be disseminated for better visibility</li> </ul>
<b>5</b>	<p><b>MONITORING, REPORTING &amp; EVALUATION</b></p> <ul style="list-style-type: none"> <li>a) How Project progress would be reporting (Technical and Financial)</li> <li>b) Describe the Internal Progress Assessment arrangement</li> <li>c) How project would be Monitored</li> <li>d) Project Evaluation Strategy</li> <li>e) Attending Committee Meetings, Workshop</li> </ul>
<b>6</b>	<p><b>ANNEXURES</b></p> <ul style="list-style-type: none"> <li>a) Site description (with maps, photos where relevant)</li> <li>b) Detailed Budget and Disbursement Plan (Only on the heads of Accounts given in Concept Note Format)</li> <li>c) Project organization Chart</li> <li>d) TOR/Job Descriptions for all project implementing personnel</li> <li>e) Endorsement letters from Heads of Organizations and State Agencies</li> </ul>

**Information about the Proponent Organization**

Note: Please fill in this form online with the Concept Note and Full Proposal.

Project Title			
Name of the Organization*			
Mailing Address			
Visiting Address (if different from above)			
Telephone		Fax	
E-mail		website	
Mission and Goal of the Organization			
About the organization	Registration date:		
	Category:		
	Contact Person:		
	Number of staff:		
	No. of technical staff:		
Bank Account details	Account Name:		
	Bank Name:		
	Bank Address:		
	Account No.:		
	Other routing code:		
	Signatories' names		
References	Name, address and Tel No (Referee1):		
	Name, address and Tel No. Referee 2):		
Projects implemented during the last 5 years relevant to the theme of the current			

proposal			
<b>S#</b>	<b>Title of the project</b>	<b>Donor / Amount</b>	<b>Reference (Name/Tel/email)</b>
1.			
2.			
3.			
4.			
5.			

(\* In case of Private/Non-Government Organisation Annual Reports of the Organisation and registration in Darpan Portal for the last three years need to be provided along with technical reports/Publications

**Template for Updating CV of  
Principal Investigator (PI) and Co-Principal Investigator (CO-PI)**

1.	Submitted CV of PI/ CO-PI	PI		Co-PI							
2.	Name in full (in block letters)										
3.	Designation of PI/CO-PI										
4.	Date of Birth and Age as on Project submission date										
		d	d	m	m	y	y	y	y	Years	Months
5.	Nationality										
6.	Sex	Male		Female							
7.	Address for correspondence (in block letters with pin code)										
8.	Contact mobile number/	mobile:									
	e-mail id	e-mail									

9. Educational Qualification

(a) Details of Examination Passed from Graduation onward to Ph.D.)

S#	Exam Passed/ Degree Awarded	University/ Institution/ Board	Year of Passing	Subjects Taken	Result with Division/ Class

(b) Details of Ph.D.

Title of Ph D Thesis	Subject /Branch	University/ Organization

(C) Professional Trainings, if any

Organisations	Period		Details of Trainings
	From	To	

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10. Research Experience (200 words)

--

11. Experience related to sustainable mountain development, If any (200 words)

--

12. Major Awards/ Recognition (if Any) at National / International Level

30 words (in bullets)

--

13. Members of Learned Societies (International and National) if any

30 words (in bullets)

--

14. Major Scientific/ Technological Achievements<sup>2</sup> (if any)

30 words (in bullets)

--

<sup>2</sup>(New Methods/ Theory/ Process established, Technology Developed, Socio-economic issues Addressed, Unique data base/centres established etc

15. Publications/Patents (numbers only)							
Scientific Papers		Policy Papers	Books		Technical Reports	Project Proposals for Fund Generation	Patents (if Any)
International	National		Edited	Written			

16. Experience in Managing Research Projects				
No of similar Projects Managed (with details)				
S#	Project Details	Donor Agency	Duration	Project Budget (INR)

(Signature of PI/Co-PI)

Date:

Name:

Place:

## **Endorsement Letter *pro forma***

Institution/ Organization/ University

(to be given on Official Letter Head signed by the Head of the Institution)

This is to certify that:

1. The ..... (*name of the institution/ organization/ university*) hereby commits to execute the NMHS-funded project entitled “.....”, funded under the National Mission on Himalayan Studies (NMHS), Ministry of Environment, Forest and Climate Change (MoEF&CC), Govt of India, New Delhi.
2. The Institute/ Organization/ University welcomes the participation of ..... as the “Principal Investigator (PI)” and ..... as the Co-PI for the Project supported under NMHS.
3. In case of discontinuance by the Principal Investigator in any unforeseen circumstances, the Co-PI or any other suitable professional staff entrusted with from the organization will resume the responsibility of the fruitful completion of the project with due information to the NMHS, MoEF&CC, Govt. of India.
4. The start date of the project will be considered as specified in the NMHS-Sanction Letter/ Order, issued to the Institution/ Organization/ University from the NMHS, MoEF&CC, Gol.
5. The investigators will be governed by the rules and regulations of Institution/ Organization/ University and will be under Administrative Control of the Institution/ Organization/ University for the duration of the project.
6. The grant by the NMHS, MoEF&CC, Gol will be used to meet the expenditure on the project and for the period, for which the project has been sanctioned as mentioned in the NMHS-Sanction Letter/ Order.
7. The Institution/ Organization/ University will provide basic infrastructure and other requisite facilities to the investigator for undertaking the research project.
8. The Institution/ Organization/ University will take into books all assets, if applicable, created in the aforementioned project, and its disposal would be at the discretion of NMHS, MoEF&CC, Gol.
9. The Institution/ Organization/ University endorses to undertake the financial and other management responsibilities of the project, and there will be no administrative or other liability attached to NMHS, MoEF&CC, Gol at the end of the project.

**Stamp/ Seal**

(*Head of the Institution*)

**Date:**

**Authorised Signatory**

**Head**

**Institution/ Organization/ University**