

**FORMAT FOR SUBMISSION OF PROPOSAL FOR SUPPORT  
(INITIATIVE TO PROMOTE HABITAT ENERGY EFFICIENCY (I-PHEE))**

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# I. Proposal Summary (To be limited to two A-4 sheets)

## (IPHEE-2016)

### Section A: Project Details

1.	Project Title		
2.	Project cost <i>(Amount in lakhs)</i>	DST:	Collaborator(s) <i>(if any)</i> :
3.	Duration <i>(in months)</i>		
4.	PI Name Date of Birth		
5.	Co-PI (s) Name Date of Birth		
6.	Lead Organisation		
7.	Status of Lead Organisation	<i>Recognized universities and academic institutions/ National Laboratories/R&amp;D institution,/Research organizations recognized by DSIR/Companies registered under The Indian Company's Act, 1956 / MSMEs / Others-Specify the affiliation clearly</i>	
8.	Collaborator/Consortium partner name(s), <i>if any</i>	<i>(Consortium may be formed wherever necessary. Clearly explain the need for forming the consortium and the roles and responsibilities of each partner while explaining novelty and listing deliverables).</i>	
9.	Collaborators'/ Consortium partners' Status	<i>(In case of private sector company, please indicate DSIR registration number of recognition of in-house R&amp;D units ) (Industry partner should have proven standing and R&amp;D capability and should exhibit the potential to commercialize the products / systems developed under the proposal. The extent of participation and contribution of the industry partner should be clearly defined in the proposal).</i>	
10.	Objectives	<b><i>(Precise and quantified)</i></b>	
11.	Methodology	<b><i>(Detailed Methodology to implement the project)</i></b>	
12.	Deliverables <i>(Select the appropriate option(s) and summarise it in single line.</i>	<i>New/Upgraded Product; New/ Upscaled Process; New/ Upgraded System; Services (including software); Performance analysis; (Scientific data generation; analysis and evaluation); Feasibility analysis; Technological Capability; Database development and documentation; Proof of new concepts at a device level; Achieving State of art performance in a chosen device ) (Deliverables should include target performance and projected cost when commercialized, and how these targets compare with existing national and international ones)</i>	

### Section B: Budget details:

A.	Project Manpower <i>( Post &amp; Nos Research group/ institution-wise if more than one institutions are involved)</i>	DST: <i>(JRF/SRF/Research Associate/ Project Assistant / other Professional Manpower)</i>	Collaborator(s):
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B.	List of Equipments required ( <i>Research group/ institution-wise if more than one institutions are involved</i> )	DST:	Collaborator(s):
C.	Fabricated system /prototype, if any	DST:	Collaborator(s):
D	Nature of Contribution from Collaborators	In Cash / Kind ( <i>Please elaborate</i> )	

**Section C: Funds requirements from DST:**

S. No	Item Head	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total (Rs.)
<b>A</b>	<b>Non-recurring (Capital Items)</b>				
1	Permanent Equipments				
2.	Plant cost /Fabricated systems/ Demonstration models				
	<i>Sub total (capital items)</i>				
<b>B</b>	<b>Recurring Items (General)</b>				
1.	Manpower				
2.	Consumables				
3.	Contingencies				
4.	Travel				
5.	Other Costs ( Outsource work etc),if any				
6.	Overhead				
	<i>Sub total (General)</i>				
<b>C</b>	<b>Total cost of the project (A+B)</b>				

**Total requirement of funds from DST =**  
**Contribution of participating institution(s), if any=**  
**Total project cost =**

## II. CORE PROPOSAL

( Kindly ensure to read the Guidelines (in italics fonts) and fill the text accordingly )

### 1. Project Title

### 2. Lead Organization Principal Investigator (PI)\*

**Name:**

**Designation:**

**Complete Address** *(with city pin code):*

**Telephone & Mobile No. :**

**E-mail:**

### Lead Organization Co-Principal Investigator(s) (Co-PI)

**Name:**

**Designation:**

**Complete Address** *(with city pin code):*

**Telephone & Mobile No. :**

**E-mail:**

### 3. Consortium partner organization(s) / collaborator(s):

**Name(s) of Principal Investigator(s)\*:**

**Designation:**

**Complete address** *(with city pin code):*

**Telephone & Mobile No. :**

**E-mail:**

*(\* No project shall be considered in absence of Co- PIs )*

*(\* One Principal Coordinating Investigator has to be identified in case of Consortium Projects)*

### 4. Collaborating Agencies/Industries ( If any)

*(Consortia may be formed wherever necessary. In sections 11 and 12 of the proposal, clearly explain the need for forming the consortia and the roles and responsibilities of each partner.)*

### 5. Target Beneficiaries

### 6. Objectives of the Proposal

*(Precise and quantified: Estimated possible values, Use bullet form )*

## 7. Critical Review of Status Identifying Gaps

( include important references & IPR survey)

7.1 National Status Review

7.2 International Status Review

## 8. Novelty / uniqueness of the Proposal ( not more than 50 words )

## 9. Outline of the Project

(Define the problem and give technical details including schematics wherever necessary)

**10. Deliverables of the project** ( select the relevant option and give its brief details .(Deliverables should include target performance and projected cost when commercialized, and mention how these targets compare with existing national and international ones)

- i) New/Upgraded Product:
- ii) New/Upscaled Process:
- iii) New/ Upgraded System:
- iv) Services (including software):
- v) Performance analysis:  
(Scientific data generation, analysis and evaluation)
- vi) Feasibility analysis:
- vii) Technological Capability:
- viii) Database development and documentation:
- ix) Proof of new concepts at a device level.
- x) Achieving State of art performance in a chosen device/system

## 11. Methodology

(This section should also include preliminary/background work done by all the investigators, which is relevant to the project. The description of methodology should adequately demonstrate the pathways, main work element etc and highlight the capability of the investigators to achieve them)

## 12. Work Plan (mention project activities and Highlight Milestones )

SI no.	Activity/Milestone	1 <sup>st</sup> year		2 <sup>nd</sup> year		3 <sup>rd</sup> year	
		1-6 M	6-12 M	13-18 M	19-24 M	25-30 M	31-36 M
A1							
A2							
-							
**	Draft completion report for review ( 3 month prior to date of completion )						

## 13. Names of 5 Experts/Agencies/ Institutions working in the similar area

(Please give complete Name, Designation, Email, Address with pin code, telephone number)

**14. Any other information relevant to the Project proposal/ execution of the project**

*(Importance of the proposed R & D to India ,Group strength, site details, economic analysis, Institutional Details etc. In case the collaborator is a private sector company, please indicate their plan of commercialization of the product/process/technology development under the project)*

**15. Facilities & Infrastructure already available to the PI(s) at their Institute for Implementing the project.**

<b>S.no</b>	<b>Equipment Name / Funding Source</b>	<b>For which purpose it would be utilised in current project</b>

### III. BUDGET ESTIMATES

**Break-up of Total Budget**

a)		DST Support			(All Amount in Lakh )
S. No	Item Head	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total (Rs.)
<b>A</b>	<b>Non-recurring (Capital Items)</b>				
1	Permanent Equipments				
	<i>Sub total (capital items)</i>				
<b>B</b>	<b>Recurring Items (General)</b>				
1.	Manpower				
2.	Plant cost /Fabricated systems/ demonstration models, if any				
3.	Consumables				
4.	Contingencies				
5.	Travel				
6.	Other Cost ( Outsource work etc), if any				
7.	Overhead				
	<i>Sub total (General)</i>				
<b>C</b>	<b>Total cost of the project (A+B)</b>				

b) Submit fund requirement (if any) for collaborator separately

c) Nature of Contribution from Collaborators, if any : Cash / Kind (Please elaborate)



**Manpower Budget**

**JRF /SRF/ Research Associates/ Project Assistants Details (applicable for the given category)**

Designation	Total Emoluments (in Rupees)				No. of persons	(Inclusive of all Allowances ) Total Amount (Rs.)
	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total (1 <sup>st</sup> +2 <sup>nd</sup> +3 <sup>rd</sup> Years)		
	Gross amount required for manpower budget head =					

*Please mention category/ class of city for admissible HRA along with %.*

**B2. Fabrication system: Tailor made models/ experimental set up (if any)**

**i) Budget for Fabrication system/Tailor made items**

Description of fabricated system	Unit Landed Price (CIF+ Duty+ charges)* (Rs in lakh)	Custom others (Rs in lakh)	Nos. of Equipment	Total Rupees ( Rs. in lakh)	Justification in context of proposed work
	Gross total				

*\*Page/sheet indicating the total landed cost in Indian rupees( Ensure to mention Currency Exchange rate considered in case of imported equipments, freight , taxes, spares, special installation, etc ) Please project the actual cost taking into account reliable cost estimates as no cost revision would be admissible*

**B3. Consumables****Budget for Consumable Materials (To be borne by DST)**

Items	Unit Price	Qty Needed	Amount (Rs. in lakh)	Justification
Gross total =Rs                      lakh				

**B4. Contingencies****Budget for Contingencies (To be borne by DST)**

Items <i>(unforeseen expenses, patents, report preparations etc)</i>	Amount (Rs. in lakh)	Justification
<b>Total</b>		

**B5. Domestic Travel\*****Budget for Domestic Travel (To be borne by DST)**

Items (to attend)	Total Amount	Detailed Justification ( In case of extensive field visits needed in project indicating breakup of cost w.r.t. to journeys, mode and class of transport needed)
Review meetings		
<b>Total</b>		

(\*) Foreign travel is generally not permitted under DST grants. Class and mode of transportation should be as per the entitlement of the concerned staff in the institute.

**B6. Other Costs ,if applicable****Budget for Other Costs (To be borne by DST)**

<b>Item</b>	<b>Total ( Rs. in lakh)</b>	<b>Detailed Justification ( derived cost calculation and relevant Quotation at Annexure- / page no* )</b>
Outsource work		
Other items,if any		
<b>Gross total =</b>	Rs.	

**Collaborator budget / Contribution**

Submit similar above detail breakup for each collaborator, if any

**Organization details:**

- a. Designation of the financial authority in organization:
- b. Whether organization registered with Govt. of India Central Plan Scheme Monitoring System\* (CPSMS): Yes/ No  
\*( refer website: <http://cpsms.nic.in/Users/LoginDetails/Login.aspx?ReturnUrl=/default.aspx>)
- c. If not, please get it registered as soon as possible at CPSMS website which is mandatory. If yes, inform Agency code registered at CPSMS

**IV. Proforma for Bio-Data of Principal Investigator(s) (PI), Co-Principal Investigator(s) (Co PI) and Coordinating Investigator of each partner Institution (Please be brief and follow the format)**

1. Name
2. Gender
3. Date of Birth
4. E-mail ID
5. Qualifications

S. No.	Degree	Institution	Year	Division/Class

6. Employment Experience

S. No.	Position & Organisation	Nature of Job	Period

7. Selected List of Ten Best Publications *(relevant to the proposed project)*
8. Patents filed/Granted with details *(relevant to the proposed project)*
9. Books Published /Chapters contributed *(relevant to the proposed project)*
10. Sponsored Research Projects (last five years)

S. No	Title	Sponsoring Agency and Officer Concerned	Period	Amount	Achievements

**a. Consultancy Projects (last five years)**

<b>S. No</b>	<b>Title</b>	<b>Sponsoring Agency</b>	<b>Period</b>	<b>Amount</b>

**b. Sponsored Research/Consultancy Projects submitted for approval**

<b>S.No.</b>	<b>Title</b>	<b>Funding Agency</b>	<b>Duration</b>	<b>Amount</b>

**11. Awards and Honours:**

- A. National list
- B. International list:

**12 Technologies Developed / Transferred:**

(please provide details of technologies transferred to industry, technologies commercialized)

Date

(Signature of PI)

## V. UNDERTAKING FROM THE INVESTIGATOR(S)

### Project Title:

1. I/We have carefully read the terms and conditions of the IPHEE Programme and I/We agree to abide by them.
2. I/We have not submitted this or a similar Project proposal elsewhere for financial support.
3. I/We have explored and ensured that the equipment and the basic facilities described in the Research Proposal, will actually be available as and when required for the purpose of the Project. I/We shall not request financial support under this project, for procurement of these items.
4. I/We undertake that spare or idle capacity of the permanent equipment procured under the project will be made available to other legitimate users from parent and other organizations.
5. I/We have enclosed the following :
  - A Endorsement from the Heads of the Institution  
*(on letter head)*
  - B Undertaking from the Collaborator(s)  
*(on letter head)*
  - C Complete Project Proposal with all enclosures  
*(1 marked 'original' + 2 hard copies + 1 soft copy as .doc file)*

Name(s) and Signature(s) of the Investigators\*

Date  
Place

(\* To be signed by PI and Co-PI of each Participating Institution)

## VI. ENDORSEMENT FROM THE HEAD OF THE ORGANISATION

(To be typed on the letter-head of the organization)  
(To be provided by each of the participating Institutions)

### Project Title

1. Certified that the organization welcomes the participation of Dr/Mr/Mrs .....as the PI and Dr/Mr/Mrs.....as the Co-PI for the project and that in the unforeseen and legitimate event of discontinuation by the PI, the Co-PI will assume full responsibility for completion of the project. Information to this effect, endorsed by me, will be promptly sent to the DST
2. Certified that the equipment, other basic facilities and other administrative facilities as per the terms and conditions of the award of the Project, will be extended to the investigator(s) throughout the duration of the project
3. The Organization shall ensure that financial and purchase procedures are followed as per the prevailing norms of the organization, within the allocated budget.
4. The Organisation shall provide timely the Statement of Expenditure and the Utilisation Certificate of the grant as required by the DST in the prescribed format.
5. **The grant for the proposal, if approved , the funds shall be transferred to following organization account :**

1	Name of A/c holder (as per Bank record )	
2	Bank Account No.	
3	Bank Branch Name & Address	
4	MICR Code	
5	IFSC Code	
6	E-mail (Agency /PI )	
7	Mobile No. (Agency/PI )	
8	Unique agency code*	

\* **Refer website :** <http://website.informer.com/visit?domain=cpsms.nic.in>

**(Head of the Institute)**  
**Seal/Stamp**

**Date**  
**Place**

**VII. Endorsement from collaborating Industry/ Agency (if any)**  
*(On the official letter head)*

I have gone through the Project proposal entitled..... submitted by .....*(Name of PI)* ...of.....*(Name of the Institute)* for DST funding and noted the obligations and responsibilities indicated in our name which are as below :

1. Contribution in financial terms *(mention amount in Rs.)*
2. Contribution in kind *(list activities)*

I hereby affirm that my organization/ industry is committed to participate in the Project to the full extent as indicated including financial liabilities accruing therefrom as detailed above. A brief profile of my organization is summarised below:

Name of Organisation  
Line of Business/ Major Products  
No. of employees  
Annual Turn over

The Annual Report for the last financial year is enclosed.

**(Head of the Organisation)**  
**Seal/Stamp**

**Date**  
**Place**

**Department of Science & Technology**  
**Initiative To Promote Habitat Energy Efficiency (I-PHEE) Programme**  
**Terms & Conditions of the Grant**

1. Approval of the Research Proposal and the grant released for it is for the specific Project sanctioned and the released grant should be exclusively spent on the Project within the stipulated period. The Institution may use funds obtained from any other Organisation with the concurrence of DST, for the Project. **Any un-spent balance out of the amount sanctioned must be surrendered to the Government of India through a crossed Cheque/ Demand Draft drawn in favour of Drawing & Disbursing Officer, DST, New Delhi.**
2. For permanent, semi-permanent assets acquired solely or mainly out of the Project grant, an audited record in the form of a register shall be maintained by the Grantee Organisation. The term “Assets” include (a) the immovable property acquired out of the grant; and (b) movable property of capital nature where the value exceeds Rs 50,000/-. The Organisation is required to send to the Department of Science & Technology a list of Assets acquired from the grant. The grant shall not be utilized for construction of any building unless a specific provision is made for that purpose. Full infrastructural facilities by way of accommodation, water, electricity, communication, etc. for smooth implementation of the Project shall be provided by the Organisation.
3. All the Assets acquired from the grant will be the property of the Government of India and should not be disposed off or encumbered or utilized for purposes other than those for which the grant had been sanctioned, without the prior sanction of DST.
4. At the conclusion/ termination of the Project, the Government of India will be free to sell or otherwise dispose off the Assets which are the property of the Government. The Organisation shall render to the Government necessary facilities for arranging the sale of these Assets. The Government of India has the discretion to gift the Assets to the Organisation or transfer them to any other Organisation if it is considered appropriate.
5. The Organisation / PI will furnish Six-Monthly Progress Report (*5 copies*) of the work on the Project on half-yearly basis from date of start. The first half-year period shall be rounded off to the last date of the sixth month. The subsequent periods of six months shall begin from the first day of the following calendar month. In addition, DST may designate a Scientist/ Specialist or an Expert Panel to visit the Organisation periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realisation of the objectives of the Project. During the implementation of the Project, the Organisation will provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation, etc. at the time of their visit. On completion of the Project, final consolidated “project completion report “ on the work done on the project will be prepared after incorporating the suggestions ,if any, from the reviewers of the project and ten copies of the same will be submitted to Project Completion Report as per the DST format on the work done on the Project should be sent to DST.

6. At the time of seeking further installment of the grant, the Organisation/ PI has to furnish the following documents:

- a) Utilisation Certificate (UC) and Statement of Expenditure (SE) for the previous financial year (in original or copy if sent earlier);
- b) An authenticated Statement of Expenditure (SE) including committed Expenditure for the Project **till the previous month**.
- c) Progress report ,if not sent earlier.

7. Request for specific approval of DST to **carry forward** the unutilised grant to the next financial year for utilisation for the same Project, should be sent along with UC and SE, after completion of the financial year.

8. **The Comptroller & Auditor General of India, at his discretion, shall have the right of access to the books and accounts of the Organisation maintained in respect of the grant received from the Government of India.**

9. The Organisation will maintain separate audited accounts for the Project and would keep the whole of the grant in a bank account earning interest, the interest thus earned should be reported to DST and should be reflected in the Statement of Expenditure. The interest thus earned will be treated as a credit to the Organisation to be adjusted towards further installment of the grant.

10. The Organisation will neither entrust the implementation of the work (except the outsourced part as approved) for which the grant has been sanctioned to any other Organisation nor will it divert the grant receipts to any other Organisation as assistance. In case the Organisation is not in a position to implement or complete the Project, it should, forthwith, refund to DST the entire grant received by it or the balance grant remaining with it.

11. All the personnel including Research personnel appointed under the Project, for the full/ part duration of the Project, are to be treated as project personnel on contract to organization and will be governed by the administrative rules/ service conditions (for leave, TA/DA, etc.) of the implementing institute.. They are not to be treated as employees of the Government of India and DST will have no liability, whatsoever, for the project personnel after the completion of the Project duration.

12. For expeditious implementation of the research Project, PI will take the assistance of the Organisation in the process of selection and appointment of staff and payment to them. Pay Scale and emoluments for the posts not covered under DST's OM are governed by the norms prevalent in the implementing Organisation or as decided in consultation with DST.

13. **DST reserves the right to terminate the Project at any stage if it is convinced that the grant has not been properly utilised or sufficient progress has not been reported under the project or sufficient effort have not been devoted.**

14. **The Project becomes operative with immediate or within a maximum of 1month from the date on which the funds is received by the implementing Organisation. This date should be immediately intimated by the Grantee authorities/ Principal Investigator to DST.**

15. The grantee organization shall associate a Co-PI with the project ,if not already a part of the project team. The Co-PI shall function as PI in the absence of PI and should be totally in knowledge of the activities of the project to avoid loss to the project , in case PI leaves the organization. If PI to whom a grant for a Project has been sanctioned wishes to leave the Grantee Organisation where the Project is sanctioned , Grantee Organisation/PI will inform DST of the same and in consultation with DST, evolve steps to ensure successful completion of the Project through co-PI before relieving the PI or appoint another equivalent position officer as PI.

16. Investigator(s) wishing to publish technical/ scientific papers based on the research work done under the Project, should acknowledge the assistance received from DST, indicating the Project sanction number under which Grant has been given to the Grantee organization So PI will submit a copy of the paper to the ministry as soon as it is published.

17. If the results of research are to be legally protected under the IPR , the results should not be published without action being taken to secure legal protection for the research results. For further information/ clarification on this subject The Director, Technology Information, Forecasting and Assessment Centre (TIFAC), Patent Facilitating Cell, Vishwakarma Bhawan, Shaheed Jeet Singh Marg, New Mehrauli Road, New Delhi- 110016, [tifac@nda.vsnl.net.in](mailto:tifac@nda.vsnl.net.in), may be contacted.

18. If the results of the work carried out under the grant require preparation of a technical booklet/guides/software/CD etc. in such cases the grantee organization will publish/prepare sufficient copies (number of copies to be decided in consultation with DST) and keep a portion for their use/ dissemination and submit the remaining copies to the Ministry for their use and distribution.

19. If the result is in the form of a survey report/ product performance evaluation or other such activities which have commercial implications, the grantee organization will not publish the results without specific written approval of this Ministry.

20. The grantee institution/PI should provide a copy of the 'FullText Document' of the patent within one month of its publication.

21. The grantee organization(s)/ Inventor(s) are required to seek protection of Intellectual Property Rights for the results/ output of the sanctioned projects. The terms and conditions regarding IPR issues shall be in accordance with the guidelines contained in the DST issued with the concurrence of Ministry of Finance, Department of Expenditure vide their O.M. No.33 (5) PF-1199, dated 22<sup>nd</sup> February, 2000 or subsequent circulars which may be issued by DST/MOF on the subject.

22. In case of any dispute the decision of Secretary, Ministry of Science and Technology shall be final.