

Research & Innovation Cooperation between DST and the EU under HORIZON 2020

In the framework of the India - European Union Science and Technology Cooperation Agreement, the *Department of Science and Technology* (DST) and the *European Commission* (EC) have agreed to jointly fund certain India–EU collaborative research, technology development & deployment project proposals.

Indian researchers, research institutions, universities working in the area of science, technology and innovation will be able to team up with their European partners to participate in projects under H2020 and make best use of Europe's excellent opportunities in research and innovation. Through participation in H2020, beneficiaries can gain great benefits from access to excellent knowledge, access to research data and connection to world-leading scientific networks and research teams.

1. FUNDING SUPPORT

EU-INDIA CO-FUNDING MECHANISM FOR RESEARCH AND INNOVATION COOPERATION

While Indian participants (institutions/teams¹) are no longer automatically funded by the EC under H2020, the DST and the EC have agreed to set up a co-funding mechanism to support joint projects between European and Indian universities, research institutions.

Under this co-funding mechanism (CFM), a maximum of rupees 1.0 Crore (₹ 1,00,00,000/-) per project will be made available by DST to successful Indian participants in joint collaborative projects with European partners under Horizon 2020.

The CFM will be used for certain pre-identified Horizon 2020 calls for proposals (see list below).

2. 2016-17 THEMATIC AREAS FOR CALLS FOR PROPOSALS

DST has agreed – subject to positive evaluation – to fund Indian participants in a number of calls for proposals of mutual interest, identified in the table below.

CALL NAME / TOPIC <i>(click topic name to follow link)</i>	OPENING DATE	CLOSING DATE
NMBP-04-2017 - Architected /Advanced material concepts for intelligent bulk material structures	11 May 2016 ²	27 October 2016
NMBP-06-2017 - Improved material durability in buildings and infrastructures, including offshore	11 May 2016 ²	27 October 2016
NMBP-13-2017 - Cross-cutting KETs for diagnostics at the point-of-care	20 September 2016 ³	19 January 2017

¹ This does not apply to individual Indian researchers receiving a *Marie Curie* fellowship (MSCA) or a grant of the *European Research Council* (ERC).

² This was the date of the opening/publication of the call for proposals by the European Commission (EC); however, an agreement between DST and the EC was only reached in August 2016.

³ The submission of applications to both DST and the EC will be open from 20.9.2016 only.

PROCESS OF APPLICATION

For a given call for proposals identified above, the co-funding mechanism/procedure would work as follows:

- **The EU publishes its call** for proposals under Horizon 2020 (on the "Participant Portal" – to which clickable links are included in the table above).
- Proposals are submitted within the applicable deadline; **each proposal is submitted simultaneously both (1) to DST** by the Indian participant(s) only, **and (2) to the EC** on behalf of all participants.
 - **The proposal submitted to the EC** is a classical, complete Horizon 2020 proposal, fulfilling all H2020 requirements⁴ (it is thus extremely important that Indian participants as well are fully aware of all related administrative, legal and other aspects⁵). The H2020 proposal has to be submitted on-line by the *project coordinator* – usually this role is played by one of the EU participants, what considerably reduces the administrative burden for Indian participants – on behalf of all participants, including Indian ones.
 - **The proposal submitted to DST** must include (1) 'Part B' of the H2020 proposal⁶ and (2) a 'financial plan' as given in the DST guidelines (see below) identifying the planned expenditures (in Rupees) for all Indian partners involved. This proposal is submitted to DST, by email, by one Indian participant ("*Indian project coordinator*") on behalf of all Indian participants (if there are more than one).
- The proposals are **evaluated** by DST and by the EC. For proposals positively evaluated by both sides, DST provides research grants to the Indian researchers, while the EU funds participants according to its rules (under a "grant agreement" signed by all participants, including the Indian ones), enabling the project to start. In some cases, project participants can be required to sign an additional Consortium Agreement before the start of the project.

3. DST'S FINANCIAL MODALITIES

DST funding is granted for a **maximum of three years, up to ₹ 1,00,00,000 (Rupees one crore) per project**. Indian **applicants must refer and adhere to national/regional regulations and scientific merits as defined by DST** (see DST guidelines). They may contact DST (see contact details below) to check their compliance with the national rules. Eligible costs depend on national regulations. In general, the following items can be applied for:

- **Mobility:** exchange research visits between Europe and India. Travel costs, living expenses and visa costs are eligible for funding. Eligibility is subject to national regulations. Accommodation and living costs of Indian participants travelling to

⁴ For instance, each proposal for a collaborative project ("*Research and Innovation Action*") under HORIZON 2020 must be submitted by a consortium including at least 3 legal entities (from the public or private sector) from 3 different EU member states (or countries associated to HORIZON 2020, such as Norway), as well as any number of additional participants from the EU or outside the EU, including India. On the DST side, a key requirement is that funding is only available to public-sector institutions. However, Indian industries (SMEs, MSMEs, start-ups) may participate with co-investment of their own resources including fundings.

⁵ See the *H2020 Online Manual* (http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding_en.htm) and/or the comprehensive brochure developed by the *EU Delegation to India* (http://eeas.europa.eu/delegations/india/documents/h2020_brochure-india-aug_2014.pdf)

⁶ 'Part B' is the research proposal as such, also called "technical annex", describing the scientific work to be conducted – as opposed to 'Part A' which relates to administrative data

Europe need to be borne by their European counterpart⁷ and vice-versa. The costs need to be foreseen and planned in part B of the project proposal. This needs to be taken into account in the budgets of both the H2020 proposal and the DST proposal.

- **Workshops/Review Meetings:** organisation costs, including rents for the event location, catering, communication materials and the invitation of external experts. Eligibility is subject to national regulations.
- **Research costs:** the extent to which small equipment and consumables costs as well as project-related miscellaneous expenses are eligible for funding depends on national regulations.
- **Personnel costs:** extent of eligibility is according to respective national regulations.

It is not possible to apply for individual exchanges or single workshops.

4. FURTHER INFORMATION

INDIA

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EUROPE

European Commission's "Research Enquiry Service":
<http://ec.europa.eu/research/index.cfm?pg=enquiries>

EU Delegation to India:
DELEGATION-INDIA-RI@eeas.europa.eu

Horizon 2020 Participant Portal:
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/index.html>

⁷ This will have to be agreed at consortium level and reimbursement of costs will have to be in line with the Horizon 2020 rules.

DST National Guidelines for India-EU Calls for Proposals

1. Themes of the Calls

The table below identifies the 3 calls for proposals concerned and their respective topics, and closing dates.

CALL NAME / TOPIC <i>(click topic name to follow link)</i>	CLOSING DATE
NMBP-04-2017 - Architected / Advanced material concepts for intelligent bulk material structures	27 October 2016
NMBP-06-2017 - Improved material durability in buildings and infrastructures, including offshore	27 October 2016
NMBP-13-2017 - Cross-cutting KETs for diagnostics at the point-of-care	19 January 2017

2. Eligible Indian Partners

Eligible partners can be legal research entities from academic institutions, national R&D laboratories. The R&D performing Indian industry may participate voluntarily in this call by investing its own resources including funds.

The Calls for Proposals published on DST website (<http://www.dst.gov.in/call-for-proposals>) and European Commission's website (see links in table above) are open to public and private Research and Technology Development entities in the participating countries as per National regulations/guidelines.

Each consortium submitting a proposal must include at least 2 Indian R&D institutes/universities/laboratories preferably from two different Indian States/Union Territories, and 3 legal entities (R&D institutes, universities, private companies, etc.) from 3 different European Union member states or countries associated to Horizon 2020.

3. Budget

3.1 Maximum Indian funding support for each Project:

Rs. 100,00,000 (Rupees one Crore) for 3 years duration.

3.2 Eligible costs for Indian participants

	For Indian Participants (in Rupees)
<u>Direct Costs</u> 3.2.1. Manpower (as per DST guidelines) Emoluments JRF: 25000/month + HRA, SRF: 28000/+HRA RA-36000+HRA (for details refer DST O.M. SR/S9/Z-09/2012 dated	

<p>21 October 2014).</p> <p>3.2.2. Equipment Cost: (Only incremental R&D equipment and technology systems up to 5 lakh as would be necessary for pursuing collaborative work will be allowed. DST will fund such requirement of Indian project partners and EU will fund that of European project partners).</p> <p>3.2.3. Consumables Cost: (As essential for collaborative work. DST will fund such requirement of Indian project partners and EU will fund that of European project partners).</p> <p>3.2.4. Mobility of scientists [For Indian project staff visiting EU/MS collaborating institute: Number of Indian scientists to undertake project work related visit and & man-days of stay in Europe will have to be stated for each year. Sending Indian institution takes care of its project staff's return international travel cost (cheapest economy class by shortest route) between place of work in India and place of institution being visited in European country as well as medical insurance (silver class); and Receiving European institution takes care of accommodation cost (board and lodging) of the incoming visiting Indian project staff for the actual period of stay in Europe (as per EC norms).] <i>For EU/MS project staff visiting Indian collaborating institute: (Number of European scientists to undertake project work related visit and & man-days of stay in India will have to be stated for each year. Sending European institution takes care of its project staff's return international travel cost between place of work in European country and place of institution being visited in India as well as medical insurance and Receiving Indian institution takes care of accommodation (in Guest House or up to 3-star hotel) and subsistence cost of the incoming visiting European project staff for the actual period of stay in India (Per diem of Rs.1000/day for senior Researcher for maximum up to three weeks duration and Rs.20,000 per month for student Researcher for maximum up to three months duration).</i></p>	
<p><u>Indirect Costs</u> (as per DST norms) (e.g. Overhead expenses payable to institute) For Indian partners: for project costing up to Rs. 1 Crore, 10% of the total project cost for educational institutions and 8 % for laboratories and institutions under central Government Departments/Agencies.</p>	
<p>Total Cost</p>	

Admissible Cost from DST would be eligible as per DST constituted Expert Committee recommendations.

4. General guidelines for Joint Research Projects

- i) The applicants may clearly define project goals that could be achieved within 3 years.
- ii) The applicants need to provide short account of on-going bilateral projects with EU Member States and EU at large, if any. This is required to determine the essentiality/redundancy of India-EU cooperation and the genuine need for applying for grants under the present India-EU Call.

- iii) The proposals should clearly bring out novelty and innovation component vis-à-vis global scientific and technological benchmarks.
- iv) The proposal should elaborate linkages proposed to be developed amongst various project consortium partners for optimization of time and achievement of deliverables.
- v) The project managements, milestones, quantitative parameters for monitoring and internal monitoring systems/ procedures need to be spelt out
- vi) The proposal should bring out industrial partner's commitment for taking forward successful solution for wider applications.
- vii) The proposal should clearly demonstrate a balanced participation of partners from Europe and India with properly integrated research activities and complementary roles.
- viii) The Indian PI whose proposal is shortlisted for funding consideration will submit IPR arrangements documents and Coordination Agreement. The IPR sharing will be governed by national domestic laws and under the framework of India-EU S&T Agreement and/or India bilateral S&T Agreement with European Countries as applicable, in addition to the IPR provisions for Horizon 2020.
- ix) **A copy of the final version of the joint proposal's Part B** submitted to the European Commission **along with the financial plan** in Indian rupees in the format given above **must be sent to Dr. Arvind Kumar**, Scientist E, *Department of Science and Technology* (at the same time).

5. Check list

The following documents need to be submitted to DST:

- (1) A soft copy in PDF format of 'Part B' of the H2020 proposal submitted to the European Commission (on the "Participant Portal");
- (2) A soft copy in PDF format of the 'financial plan' as given above in the DST guidelines (3.2) identifying the planned expenditures (in Rupees) for all Indian partners involved;
- (3) For each of the Indian partners, a cover letter to DST signed by the Head of the Institute / University.

The above documents must be submitted to DST, by email (arvind.kumar71@nic.in), by one Indian participant ("Indian project coordinator") on behalf of all Indian participants.

6. Contact Points

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