

Call for shortlisted 5 pre-proposals received against the ACT Call 3 to submit full proposal

Dead line: 17.30 IST (13:00 -CET) on 15 March 2021

Department of Science & Technology (DST) has participated in a multilateral ACT (Accelerating CCS Technologies) programme that is focused on accelerating CCUS technologies. Presently 13 countries are partnering and Research Council of Norway (RCN) is coordinating the overall platform. This is the third call of the programme (ACT-3. Accelerating CCUS Technologies (ACT) is an initiative to facilitate the emergence of CO₂ Capture, Utilisation and Storage (CCUS) via transnational funding of projects aimed at accelerating and maturing CCUS technology through targeted innovation and research activities.

DST jointly launched the ACT-3 Call along with other partnering countries, the Canadian province of Alberta, Denmark, Italy and Europe's Nordic Countries via Nordic Energy Research joining forces with France, Germany, Greece, Norway, Romania, Switzerland, The Netherlands, Turkey, the United Kingdom, and the United States. The last date for submission of pre-proposals under the ACT Call 3 was 11th November 2020.

Overall the call generated a good and uniform response from the partnering countries mobilising 91 multilateral preproposals against the ACT Call 3 in total. India overall received **23** preproposals out of which India is the lead in **13** preproposals and is in partnership role in 10 preproposals involving overall **50** Indian academicians, scientists and other stakeholders in the area of CCUS.

After first level of joint evaluation **5 pre-proposals** received against the ACT Call 3 with Indian lead/participation has been shortlisted for next level of evaluation and are requested to submit the full proposal by **17.30 IST (13:00 -CET) on 15 March 2021**. Shortlisted pre-proposals are requested to upload full proposal on the DST ePMS & ACT website by the due date on DST e-PMS (<https://www.onlinedst.gov.in/>) website and ACT website. The format for full proposal (**Annexure-I**) along with other requisite **Annexures-II** (Attached in Funding Guidelines for Indian Participants) are enclosed.

Country/Region	India
Funding organisation	Department of Science and Technology (DST), Ministry of Science and Technology, Government of India http://dst.gov.in/technology-mission-clean-energy-and-water
National contact person	Primary Contact 1: Dr Neelima Alam, Email: neelima.alam@nic.in, Phone No.: +91-11- 26590467 Primary Contact 2: Dr Sanjai Kumar Email: sanjai.k@gov.in, Phone No.: +91-11-26590270 Secondary Contact : 1.Dr. Sanjay Bajpai, Email: sbajpai@nic.in , Phone No. : +91-11-26565337/ 26590283 2.Dr. Rajiv K. Tayal, Email: Tayal@nic.in , Phone No. : +91-11-26523011
Funding commitment	1 Million Euro (Equivalent Indian Rupees: Approx. Rs 8 Crore)
Anticipated number of projects with Indian partners	4 Numbers (The numbers can be modified for the suitable project within the funding limit) Funding will be divided in approximate two equal parts to support Carbon Capture and Utilization (CCU) and Carbon Capture and Storage (CCS) project proposals.
Maximum funding per awarded project	Maximum funding for Indian partners for awarded project will be restricted to 0.25 Million Euro.
Eligibility of a partner as a beneficiary institution	<ul style="list-style-type: none"> • The proposals are to be led by faculties / scientists working in regular position in recognized Academic Organizations / Public funded R&D Institutions / Laboratories, Central and State Government autonomous organizations in partnership with other academic / R&D organisation, DSIR recognized SIRO organizations, Central and state autonomous organisations, industry association, industries etc. • The proposals submitted with well defined and synergistic institute - user - industry partnership are encouraged. • All Indian partners in a single project must be separate legal entities. However, there can be more than one investigator from the same entity. • Participating Indian companies must: <ol style="list-style-type: none"> 1. Be incorporated in India under the Companies Act 1956/2013. 2. Have at least 51% stake of the Company be owned by Indian citizens. 3. Have been in operation for at least 3 financial years before the closing date for application. 4. Be registered under relevant provisions of Good & Services Taxation (GST) Act. 5. Have required expertise and capacity to technically contribute to the proposed project. 6. The maximum funding for Industry will not be more than their MSME definition based on Investment in plant and machinery for manufacturing Sector and Investment in equipment for Service Sector (MSMED Act 2006 or their consecutive amendments).

<p>Eligibility of a partner as a beneficiary institution (cont)</p>	<p>Companies need to provide the following with the First Stage application:</p> <ul style="list-style-type: none"> ✓ Evidence they have the resources and finances to undertake the project. ✓ An audited copy of their submitted annual accounts for the last three financial years. <p>Please note:</p> <ul style="list-style-type: none"> • Sole proprietors and partnership firms are not eligible for support under this programme. • Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding directly or indirectly.
<p>Eligibility of cost</p>	<p>Indian applicant must comply the Department of Science & Technology (DST), India Rules and Regulations, which will appear at DST website on 1st August 2020.</p> <p>Unless agreed otherwise:</p> <ul style="list-style-type: none"> • Subcontracting is to be capped at a maximum of 20% of the India budget. • All India grant costs, including sub-contracts, should be incurred within the India. • Project management costs cannot be sub-contracted.
<p>Submission of the proposal at the national level</p>	<p>The applicant is required to submit a full copy of the proposal to Department of Science and Technology at onlinedst.gov.in. This proposal has to be identical to what has been submitted to ACT and needs to be submitted immediately after submission to ACT secretariat. The dates for such submission and requirement for additional documentation will appear on DST website on 17.30 IST (13:00 -CET) on 15 March 2021.</p>
<p>Submission of financial and progress reports at the national level</p>	<p>Technical and financial reporting by Indian participants will be required according to rule and regulations and formats of DST at periodical intervals as to be specified on DST website.</p>
<p>Information available at</p>	<p>http://dst.gov.in/technology-mission-clean-energy-and-water (w.e.f 7th January 2021)</p>
<p>Other</p>	<p>All the funded projects would be bound by guidelines stipulated by Department of Science and Technology from time to time.</p>

Annex -I: Template for full proposal

- 1. Publishable summary of the project (max. 1 page)**
- 2. Scientific, technological and commercial objectives and challenge (max. 2 pages)**

Give evidence relating to the scientific, technological and commercial objectives and challenges of the project, outlining:

- Overall aims and objectives of the projects,
- Key targets to be achieved in the project
- Technology Readiness Levels including a short justification
- Scientific, technical and commercial challenges

- 3. Technical and scientific description of the project**

Describe:

- State-of-the-art
- Innovation of your approach
- Technical milestones and expected results
- Methodologies and technologies utilised to obtain goals
- Recent research relevant to the project undertaken by the consortium partners
- Clear definition of the national subprojects (detailed description of activities performed in each country)

- 4. Outline of Work Plan (page limits for 3. And 4. together: max. 30 pages, large projects may use up to 65 pages)**

Please outline the following clearly:

- Project structure
- Individual work package description with person-months per work package and partner
- Milestones, deliverables and time schedule, including Gantt chart
- Role of each partner; relevant expertise, resources, manpower, costs
- Monitoring and management of the project

- 5. Relevance to ACT objective of accelerating and maturing CCS technology and transnational added value (max. 2 pages)**

Please outline:

- Relevance of the project to the ACT objective of accelerating and maturing CCS technology
- Scientific/technical/industrial/commercial expertise of the consortium partners which is relevant for the success of the project
- Value of national subprojects
- Added value of transnational cooperation

6. Risks and mitigation measures (max. 2 pages)

Please outline for your project the most relevant risks (technical, economical, commercial, organizational and political), their severity, and preventive and mitigation measures.

7. Status of Consortium Agreement (max. ½ page)

Give a brief outline of the consortium agreement. Include whether the Consortium Agreement is at the initial or final draft stage or is in the process of being signed. Give an indication as to the expected date of agreement signature.

8. Further information

a) Experience of participants (max. 1 pages per partner. In addition, max. 4 CV's per partner. Max. 2 pages per CV)

Brief additional profile information (CVs, relevant professional experience etc.) of all partners (Principal investigators) together with lists of up to 5 recent publications, description of companies or institutions.

b) Main facilities, equipment (max. ½ page)

If applicable, a description of significant facilities and large-scale equipment available to the consortium that is necessary to fulfil the aims of the project.

c) Tables regarding project cost and requested funding

The tables should give total costs and requested funding for each partner and the consortium as a whole. Any non-personnel line item of more than €50.000 requires an explanation. Also, additional (expected) sources of funding should be specified.

Note # Indian Participants have to provide the additional budgeting table for Indian Participants as mentioned in Annexure-II along with the total consortium budget proposed in the combined full proposal.

d) Letters of Intent (LoI) from each partner (max. 2 pages per partner)

Should express the partner's role and contribution in-cash and in-kind in the project.

e) Plan for hosting a knowledge sharing workshop (for large projects only, 2 pages)

A plan and site for hosting one of the annual knowledge-sharing workshops should be included in the full proposal. This plan is subject to modification after consultation with the funding agencies of ACT.

Accelerating CCS Technologies (ACT) Third Call-2020

Funding Guidelines for Indian Applicants



Funding Guidelines for Indian Applicants

RULES OF PARTICIPATION AND FUNDING

These guidelines are to be read along with eligibility specified in **ACT-Third Call-2020**. The eligibility, funding details and requirements given here overrides Specific Funding Agencies' Rules of **ACT Third Call-2020** as far as guidelines for Indian applicants are concerned.

1. ELIGIBILITY FOR INDIAN APPLICANTS:

I. Lead Institution-

- 1.1** The proposals are to be led by faculties/ scientists working in regular position in recognized Academic Organizations /Public funded R&D Institutions & Laboratories, autonomous organizations under Central (Federal) and State (Provincial) Governments.

II. Participating Entities-

- 1.2** The participating entities in consortium can be all the entities mentioned in 1.1, DSIR recognized Scientific and Industrial Research Organization (SIRO) organizations, industry association, industries etc.
- 1.3** The proposals should have well-defined and synergistic partnership of all participating entities. Involvement of need owners and industries is preferred
- 1.4** All Indian partners in a single project must be separate legal entities. However, there can be more than one investigator from the same entity.
- 1.5** Participating Indian companies must:
 - i. Be incorporated in India under the Companies Act 1956/2013.
 - ii. Have at least 51% stake of the company be owned by Indian citizens.
 - iii. Have been in operation for at least 3 financial years before the closing date for application.
 - iv. Be registered under relevant provisions of Good & Services Taxation (GST) Act.
 - v. Have required expertise and capacity to technically contribute to the proposed project.
 - vi. The maximum funding for Industry will not be more than their MSME definition based on Investment in plant and machinery for manufacturing Sector and Investment in equipment for Service Sector (MSMED Act 2006 or their consecutive amendments).

III. Companies need to provide the following with the First Stage application:

- ✓ Evidence they have the resources (both technical and financial) to undertake the project.
- ✓ An audited copy of their submitted annual accounts for the last three financial years.

Please note:

- x Sole proprietors and partnership firms are not eligible for support under this programme.
- x Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding directly or indirectly. These entities are also not eligible for participating in the call as part of Indian Consortium.

2. Funding by DST:

- 21 DST will fund the Indian consortium members through the lead institution as per requirement of the project, and as per the regulations of the DST, as outlined hereunder for the project duration up to 36 months.
- 22 Budgeted costs of the project to following entities subject to obligatory fulfilment of eligibility criteria.
 - 2.2.1 Indian Academic Organization, Public funded R & D Institutions/Laboratories, Central or State Government controlled Autonomous Organizations and industry associations may receive up to 100% of their approved costs (within applicable funding range and as per DST approved budget) as **grant-in-aid**.
 - 2.2.2 Industry may receive up to 50% of the DST approved budget cost and the remaining 50% contribution in cash shall mandatorily come from them. The manhours of existing workforce, utilization of facilities etc will not be counted as industry contribution.
 - 2.2.3 The Indian Industry partner may receive their share of **grant-in-aid** funds through lead partner in a phased manner depending on the progress of the project and subject to submission of audited accounts for specific targets as per requirement of the project (as per the regulations of the lead partners institute). In this case, the lead partner will be responsible for achieving the specific target for which the funds will be released.
 - 2.2.4 The maximum funding support for Industry will not exceed investment in plant and machinery for manufacturing sector and investment in equipment for Service Sector (MSMED Act 2006 or any amendment from time to time).

3. Funding available:

3.1. Total Funding Available:

1 Million Euro (Equivalent Indian Rupees: Approx. Rs. 8 Crore)

3.2. Maximum Funding per Awarded project:

Maximum funding for Indian partners for awarded project will be restricted to 0.25 Million Euro (Rs. 2 Crore). Funding will be divided in approximate two equal parts to support Carbon Capture and Utilization (CCU) and Carbon Capture and Storage (CCS) project proposals

4. Type of Research Funded:

The objectives of DST funding broadly conform to ACT-3 call objectives. DST is seeking research projects, to facilitate R & D and innovation that are technically feasible, robust, scalable, and can lead to development and pilot deployment of safe and cost-effective CO₂ Capture, Utilization and Storage (CCUS) technologies. The development and pilot deployment facilities should have potential for upscaling either in a demo phase or early commercial phase. The scope also envisages to address the challenges related to CCUS in technological, environmental, social and economic context across the country. The combination of activities ranging from applied research to pilot scale demonstrations within one project is eligible and encouraged

(differentiation between research stages should be described in the relevant work packages). The call does not include specific targets for Technology Readiness Level (TRL), but projects should include higher TRL levels and all projects must aim to advance the TRL as a result of the project.

5. Anticipated number of projects with Indian partners:

Four (4) Numbers (The numbers can be increased for the suitable project within the funding limit).

6. Eligible Costs:

Personnel (Research Manpower) and indirect cost (Overheads / management costs), Operating cost, (Consumables, workshops, other costs, National & International Travel), Minor Research Equipment not exceeding 10 % of the budget sought from DST, Fabricated systems for lab and pilot scale demonstrations.

7. Preparation of Financial Requirement Schedule by Indian Applicant:

- 7.1.** Indian participants **MUST** submit financial requirements in **Indian Rupees** for duration of the project.
- 7.2.** The detailed financial requirement for each Indian participant in the project must be specified according to format provided by DST in **ANNEX-II**: Indian applicants must also upload their budget in DST format.
- 7.3.** The budgeting by Indian Participants have to be done in conformity with DST terms and conditions (see hereunder), and filled in according to DST Budget Format and Templates (**see ANNEX-II**).

8. DST Terms and Conditions for Indian Applicant:

- 8.1** Indian applicants should follow the DST's Terms and Conditions. [**as per ANNEX-II/A & B**]
- 8.2** The final technology developed under the project will have to meet the relevant India / international standards, if already available. Otherwise, all partners will pursue respective organizations at their respective countries for bringing such standards.
- 8.3** Indian applicants will have to follow the provisions of General Financial Rules (GFR)¹2017 and / or any other rules as decided by DST from time-to-time.

9. DST Proposal Format and Submission:

Indian 'Project Coordinator' is also required to submit complete full proposal as that submitted by consortium as one single consolidated PDF file at e-PMS (<https://www.onlinedst.gov.in/>) along with other requisite documents by **15th March 2021 (full proposal)**.

Online e-PMS submission of proposal should also be completed by **15th March 2021 (full proposal)** at **17.30 IST (13:00-CET) latest**.

10. Instructions for uploading proposal to DST on e-PMS:

- 101** Log on [onlinedst.gov.in](https://www.onlinedst.gov.in) to access the home page of the "DST e-PMS Portal" and register. After

registration, log in and submit the joint project proposal in prescribed Format.

- 102 Before filling up the form Indian applicants are advised to carefully go through the Relevant Advertisement published at the DST Website (<https://dst.gov.in/>) and also available under Proposal Formats in the e-PMS Portal after logging in the portalsite.
- 103 To save time and avoid data loss, please download the appropriate proposal format and fill all the information required as per the format as a Word and PDF file and then keep it ready for upload during submission of mandatory documents.
- 104 Click on “**Submit proposals**” link which would take to a page seeking multiple information starting with – General information, Principal investigator etc.:
- 105 After filling all above particulars, there is provision for preview your details before final submission of application form on clicking on “Preview” button. Preview page will display all facts/particulars that have mentioned on entry time. If the applicant are sure with filled details then click on “Submit” button to finally push data into server.

Applicants are advised to carefully fill in and verify the details required for the online application themselves, as no change will be possible/ entertained after clicking the **FINAL SUBMIT BUTTON**.

11. List of documents required for online submission DST e-PMS:

The followings documents shall be prepared by Indian PI and uploaded on the DST Portal- www.onlinedst.gov.in . The requisite format is listed below.

- a) Biodata (max size 512KB) **[as per Proforma-I]**
- b) Certificate from Investigator(s) (max size 512KB) **[as per Proforma-II]**
- c) Endorsement from Head of Organisation (on letter head) (max size 512KB) **[as per Proforma-III]**
- d) Endorsement from collaborating Industry/ Agency (on letter head) (max size 512KB) **[as per Proforma-IV]**
- e) Conflict of Interest (max Size 512KB) **[as per Proforma-V]**
- f) Complete Proposal (1 pdf file) as indicated in online portal (max size 2 MB).

ANNEXURE- II

DST BUDGET, BIO-DATA, INVESTIGATOR'S CERTIFICATE, ENDORSEMENT CERTIFICATE (INSTITUTE & INDUSTRY) FORMATS AND CONFLICT OF INTEREST

|| to be Noted ||

Instructions to project coordinator

- Project Investigator needs to submit consolidated budget table for all the collaborating partners.
- They also need to submit detailed budget table for each of the collaborating partners.
- Details and Justification should be provided for each head.
- All figures must be in Indian Rupees. Please indicate exchange rates used for other currencies.
- Save the complete application form as a single pdf file and upload it in ePMS (onlinedst.gov.in).
- PI is requested to **kindly Note the TPN Number**, which is autogenerated after uploading the proposal on ePMS portal.
- In addition, save the budget form (Excel file) and fill up the endorsement and contribution letters (scanned copy) and email to **Dr. Neelima Alam**, Scientist 'E', Technology Mission Division (E&W), DST at ccus.dst@gmail.com.
- Please also mention the **TPN as reference in the subject of all Email to DST.**

National Contact Person:

Primary Contact 1: **Dr. Neelima Alam**,
Email: neelima.alam@nic.in,
Phone No.: +91-11- 26590467

Primary Contact 2: **Dr. Sanjai Kumar**
Email: sanjai.k@gov.in,
Phone No.: +91-11-26590270

Secondary Contact 1: **Dr. Sanjay Bajpai**,
Email: sbajpai@nic.in
Phone No.: +91-11-26565337/ 26590283

Secondary Contact 2: **Dr. Rajiv K. Tayal**,
Email: Tayal@nic.in,
Phone No. : +91-11-26523011

Tables for Partner's Information and Budgeting

Table A - Key project information	
Please provide the information's	
Project title	
Project acronym	
Project coordinator	
Organisation	
Address	
Country	
Enterprise Registration number	
Web site	
Project coordinator	
Email	
Phone	
Project period	
Start date	
End date	
Budget	
Total budget (<i>Indian Rupees in Lakhs</i>)	
Applied funding from ACT (<i>Indian Rupees in Lakhs</i>)	

Table B - Project partners	
Please list required information for all project partners separately. Add extra lines if necessary	
Partner 1/Partner 2/Partner 3....	
Organisation	
Address	
Country	
Enterprise Registration number	
Web site	
Main contact person	
E-mail address	
Phone	

Table 1 - Cost

Total budget for the project						
Cost Category	2021	2022	2023	2024	Total	
Personnel (Research Manpower) and indirect cost (Overhead/Project Management)						
Operating cost						
Equipment (Minor Research)						
ACT workshops						
Other cost (must be specified)						
Total						
<i>All figures in Rupees in Lakhs</i>						
Please add data for each partner in the project below						
Partner 1/Partner 2/Partner3/..						
Name of partner						
Country						
Cost Category	2021	2022	2023	2024	Total	Comments / Specifications
Personnel (Research Manpower) and indirect cost (Overhead/Project Management)						
<i>Personnel (Research Manpower)</i>						
<i>Overhead/Project Management</i>						
Operating cost						
<i>Consumables</i>						
<i>Contingencies</i>						
<i>Travel (Domestic)</i>						
<i>Travel (International)</i>						
Equipment (Minor Research)						
Workshops						
Other cost (must be specified)						
Total						
<i>All figures in Rupees in Lakhs</i>						

Note # 1:

- The budget required towards other category (may be added in appropriate budget heads.
- Justification for costs projected in each budget head is required.
- The budget could be re-assessed based on suggestions/recommendations from the expert committee.

Note # 2:

- ✓ Minor Equipment is to be capped at a maximum of 10% of the Indian Budget.
- ✓ Subcontracting is to be capped at a maximum of 20% of the India budget.
- ✓ All India grant costs, including sub-contracts, should be incurred within the India.
- ✓ Project Management costs cannot be sub-contracted.

Table 1.1 – Itemized Cost Details

Please add data for each partner in the project below

Partner 1/Partner 2/Partner3/..

Name of partner

Country

City:

1. Personnel (Research Manpower) and indirect cost (Overhead/Project Management)

1.1 Personnel (Research Manpower)

Designation (IRF /SRF/ RA/ Project Assistants etc)	Educational Qualification	Experience in years, if applicable	Justification

Note # Refer DST guidelines for Educational Qualification, Experience etc as mentioned in the respective OM in **Annexure-A (OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and OM. No. SR/S9/Z-05/2019 dated 31.08.2019)**, it is also requested to visit DST website time-to-time for any new updates: <https://dst.gov.in/whatsnew>

Designation (IRF /SRF/ RA/ Project Assistants etc)	2021	2022	2023	2024	Total	HRA (%)	No. of Persons	Total Amount (inclusive of all allowances)
Total								

All figures in Rupees in Lakhs

Note # Emoluments shall be provided as per DST Guidelines for Research fellow and other Manpower Budget mentioned in **Annexure -A (OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and OM. No. SR/S9/Z-05/2019 dated 31.08.2019)**

Note # Please mention category/ class of city (X/Y/Z) for admissible HRA along with..... %. (as per notification of 7th CPC)

1.2 Overhead / Project Management As per DST norms and conditions mentioned in the **Annexure-A (O.M. SB/S9/Z-33/2015 dated 1 January 2016)**

2. Operating Cost

2.1 Consumables: Itemise Budget for Consumable Materials

Items	Unit Price	Quantity Needed	Amount	Justification
Total				

All figures in Rupees in Lakhs

Note # As per DST norms and conditions mentioned in the **Annexure -A (OM: SB/S9/Z-33/2013 dated 24th February 2015)**

2.2 Contingency

Items	Amount	Justification
Total		

All figures in Rupees in Lakhs

Note # As per DST norms and conditions mentioned in the **Annexure -A (OM: SB/S9/Z-33/2015 dated 1 January 2016)**

2.3 Travel (Domestic)

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		
Total		

All figures in Rupees in Lakhs

2.4 Travel (International)

Items (to attend)	Total Amount	Detailed Justification
Total		

All figures in Rupees in Lakhs

Note # As per DST norms and conditions for travel mentioned in the **Annexure -A (OM: SB/S9/Z-33/2015 dated 1 January 2016)**

3. Equipment (Minor Research) Cost

Description of Equipment	Unit Landed Price (CIF+ Custom Duty/ Taxes + others charges etc.)*	Nos. of Equipment	Total Cost	Justification in context of proposed work
Total				

All figures in Rupees in Lakhs

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

4. Workshops		
Items	Amount	Justification
Total		
<i>All figures in Rupees in Lakhs</i>		
5. Other Cost (must be specified)		
Item	Amount	Detailed Justification (derived cost calculation and relevant quotation/Page No.)
Subcontract work		
<i>Fabrication</i>		
<i>Testing /Standardization</i>		
<i>Small Civil Work</i>		
Filing of Patents		
Other items, if any		
Total		
<i>All figures in Rupees in Lakhs</i>		
<p>Note # As per DST norms and conditions mentioned in the Annexure -A under head Other costs</p> <ul style="list-style-type: none"> ✓ Subcontracting is to be capped at a maximum of 20% of the India budget. ✓ All India grant costs, including sub-contracts, should be incurred within the India. 		

Table 2 - Work Package							
Please fill in cost figures split on Work Packages (WP) for each partner in the project							
Partner	WP 1	WP 2	WP 3	WP 4	WP xx	Total	Comments / Specifications
Partner 1							
Partner 2							
Partner 3							
Extra rows may be inserted if needed							
Total							
<i>All figures in Rupees in Lakhs</i>							

Table 3 - Financing

Total budget for the project						
Financial Source	2021	2022	2023	2024	Total	
In-kind from project partners						
Cash from project partners						
Other public financing						
Other private financing						
Applied financing from ACT						
Total						
<i>All figures in Rupees in Lakhs</i>						
Please add data for each partner in the project below						
Partner 1/Partner 2/Partner3/..						
Name of partner						
Country						
Financial Source	2021	2022	2023	2024	Total	Comments / Specifications
In-kind						
Cash						
Other public financing						
Other private financing						
Applied financing from ACT						
Total						
<i>All figures in Rupees in Lakhs</i>						

Table 4 - Cost Code

Please fill in cost figures according to the specified categories. Only data for the whole project without specifications for each partner						
Partner	2021	2022	2023	2024	Total	Comments / Specifications
Private sector						
Institute						
Universities						
Other sector						
Total						
<i>All figures in Rupees in Lakhs</i>						

Other Required Information's

Organization details:

- Designation of the financial authority in organization:
- Whether organization registered with Govt. of India, Public Financial Management System* (PFMS): Yes/ No
*(see website: <https://pfms.nic.in/Users/LoginDetails/NewLayoutLogin.aspx>)
- If not, please get it registered as soon as possible at PFMS website which is mandatory. If yes, inform Agency code registered at PFMS

DST Funding Specifications

ANNEXURE - A

Information about DST funding: maximum budget and what costs can be reimbursed

- (a) **Maximum budget from DST:** The projected budget by the Indian PI will be reviewed by Indian members of the advisory committee and will undergo financial due-diligence as per DST processes, which will take into account cost needed for the projected activities, matching efforts and conformity to DST guidelines.
- (b) **Heads wise break up of cost (Break- up of cost)**

A. Non-recurring cost: Permanent Equipment as per quotations and GeM module will be permitted to procure.			
B. Recurring costs			
1	MANPOWER:		
S.No.	Manpower Position	Monthly Emoluments	Essential qualifications & age limit, Selection Process & Service Conditions for Scientific/ Technical Manpower
1	Research Associate – I	Rs. 47,000/- + HRA	As per DST OM. No. SR/S9/Z-08/2018 dated 30 th January 2019 or as per the norms of the Institute undertaking such projects if they have a different structure than that defined in the above mentioned OM
	Research Associate – II	Rs. 49,000/- + HRA	
	Research Associate – III	Rs. 54,000/- + HRA	
	Junior Research Fellow (JRF)	Rs. 31,000/- + HRA	
	Senior Research Fellow (SRF)	Rs. 35,000/- + HRA	
2	Scientific Administrative Assistant/Field worker, Project Associate-I, Project Associate-II, Senior Project Associate, Principal Project Associate, Project Scientist-I, Project Scientist-II, Project Scientist-III, Project Scientist B, Project Scientist C, Project Scientist D, Project Coordinator-II, Project Coordinator-III, Project Manager	As per DST OM. No. SR/S9/Z-05/2019 dated 31.08.2019	As per DST OM. No. SR/S9/Z-05/2019 dated 31 st August 2019
2	OVERHEADS CHARGES (OM: SB/S9/Z-33/2015 dated 1 st January 2016)	As per DST norms and conditions: Towards meeting the cost of academic expenses including infrastructural facilities, an amount of: a) For project costing upto Rs.1 crore, 10% of the total cost for educational institutions and NGOs and 8% for laboratories and institutions under Central Government Departments/Agencies;	

		<p>b) for projects costing more than Rs.1.0 crore and upto Rs.5.0 crore, overheads of Rs.15.0 lakh or 10% of total cost whichever is less;</p> <p>c) for projects costing more than 5.0 crore and upto Rs.20.0 crore, Rs.20.0 lakh will be provided as overheads; and</p> <p>(d) for projects costing more than Rs. 20 crore, the quantum will be decided on a case to case basis.</p>
3	CONSUMABLES (OM: SB/S9/Z-33/2013 dated 24 th February 2015)	Amount as per project requirement (justification through DST processes)
4	CONTINGENCIES (OM: SB/S9/Z-33/2015 dated 1 st January 2016)	Contingency can be utilised for stationary, accessories, software, printer cartridges, printing of reports and publicity materials etc. The contingency amount may also be used for paying Registration Fees for attending international conferences.
5	TRAVEL (OM: SB/S9/Z-33/2015 dated 1 st January 2016)	<p>Budget allocated for traveling can be used for attending review meetings, conferences, workshops and training programme. Traveling expanses for collection of data, survey and visit to other centers in multi- partners study can be budgeted.</p> <p>Amount as per project requirement (justification through DST processes), to be provided where the research work involves field work or/and project has many investigators/institutions and large manpower.</p> <p>Travel will include both national and international travel between the two collaborating countries. International travel of PI/Co-PIs and coordinators will be admissible only on the basis of reciprocity. One way travel is not encouraged. The maximum period of stay of faculty will be 3 months and for students it will not exceed 12 months. Travel cost should not exceed 20% of total budget (excluding overheads)</p>
6	OTHER COST	May include knowledge sharing and research uptake activities such as costs towards Subcontract work like fabrication, testing/standardization, renovation and small civil work and other works like publishing of joint (only) research outputs, filing of patents, technology transfer, stakeholders meet or awareness camps etc.
GRAND TOTAL		<p>Approx. Rs. per project (The amount will be the maximum cost admissible under the call. Actual amount may vary depending on level of activities proposed in the programme.)</p>

ANNEXURE - B

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 by depositing in bharatkosh account by using link(www.bharatkosh.gov.in)**
- 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 Institute. 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 1000/-. The Institute is required to send to the Department of Science & Technology a list of Assets acquired from the grant. The grant shall not be utilised for construction of any building unless 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 Institute.
- 3 It is the policy of DST that the equipment procured under the Project be optimally utilized. The Principal Investigator shall permit the use of any spare or idle capacity of the equipment to legitimate users from the parent and other Organizations.
- 4 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 utilised for purposes other than those for which the grant had been sanctioned, without the prior sanction of the DST.
- 5 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 Institute 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 Institutions or transfer them to any other Institution if it is considered appropriate.
- 6 The Institution/ PI will furnish Half Yearly Progress Report of the work on the Project on half-yearly basis (i.e. if the date of start of a project is 12.09.20 the first Six Monthly Technical Progress report shall be for the period 12.09.20 to 31.03.21, the next will be from 01.04.20 to 30.09.20 and so on). In addition, the DST may designate a Scientist/ Specialist or an Expert Panel to visit the Institution 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 Institution will provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation, etc. at the time of their visit. In case of exceptional circumstances, request for extension for time period must be submitted to DST six months prior to the approved date of completion of the project. On completion of the Project, submit the final statement of Expenditure along with utilization certificate and three hard copies and soft copy of a self-contained Project Completion Report as per DST format.

7. At the time of seeking further instalment of the grant, The Institution/ PI has to furnish the following documents:
 - a) Duly signed **Utilisation Certificate (UC)** for financial year up to 31st March (in original or copy if sent earlier) separately for recurring (Grants-in-Aid General) and Non-recurring (Grants for creation of capital assets) for the project as per form GFR (12-A) format.
 - b) An authenticated up-to-date Statement of Expenditure (SE) including Committed Expenditure for the Project for financial year of seeking further instalment as per the DST format.
 - c) Duly signed list of equipment with cost.
8. The grant-in-aid being released is subject to the conditions that
 - (a) a transparent procurement procedure in line with the Provisions of GFR 2017 will be followed by the GI (Grantee Institution) under the appropriate rules of the GI while procuring capital assets sanctioned for the project and a certificate to this effect will be submitted by the GI immediately on receipt of the grant.
 - (b) while submitting Utilization Certificate/Statement of Expenditure, the GI has to ensure submission of supporting documentary evidences with regard to purchase of equipment/capital assets as per the provisions of GFR 2017. Subsequent release of grants under the project shall be considered only on receipt of the said documents.
9. Request for specific approval of the Department to **carry forward** the unutilised grant to the next financial year for utilisation for the same Project, should be sent along with SE & UC, after completion of the financial year.
10. The Grantee Institute will have to enter and upload the Utilization Certificate in the PFMS portal besides sending it in physical form to this Division. The subsequent/final instalment will be released only after confirmation of the acceptance of the UC by the Division and entry of previous Utilization Certificate in the PFMS. The GI should employ EAT module in PFMS.
11. **The Comptroller & Auditor General of India, at his discretion, shall have the right of access to the books and accounts of the Institution maintained in respect of the grant received from the Government of India.**
12. The organization will maintain separate audited account for the project individually for recurring and non-recurring and the entire amount of grant will be kept in an interest bearing bank account. All interests and other earnings, against released Grant shall be remitted to Consolidated Fund of India (through Non-Tax Receipt Portal (NTRP), i.e., www.Bharatkosh.gov.in), immediately after finalization of accounts, as it shall not be adjusted towards future release of grant. A certificate to this effect shall have to be submitted along with Statement of Expenditure/Utilization Certificate for considering subsequent release of grant/closure of project accounts.
13. The Institution will not entrust the implementation of the work (except the out-sourced part as approved) for which the grant is being sanctioned to any other institution nor will it divert the grant receipts to other institutions as assistance. In case the Institution is not in a position to implement or complete the Project, it should refund back to the DST the entire grant received by it or the balance grant thru **Bharatkosh Portal**.
14. PIs/grantee organizations will ensure that procurement process in such cases are completed within the same financial year as specified in the sanction, provided that grant is released at least 8 Months prior to the close of financial year. Carry forward of such capital grant will be permitted only for Immediate succeeding financial year with the approval of DST only.

15. PIs / Institute must ensure that all interest gained on unspent balance in both heads will be deposited to Government of India account in bharatkosh by using link(www.bharatkosh.gov.in) before issuing UC/SE for releasing of next Installment.
16. In no case inter head expenditure will permitted and PIs/Institute must ensure be adhere to make expenditure accordingly as per sanction issued.
17. All the personnel including Research personnel appointed under the project, for the full/ part duration of the project, are to be treated as temporary employees 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 the DST will have no liability, whatsoever, for the project staff after the completion of the Project duration. For the expeditious implementation of the research Project, the PI will take the assistance of the Institution in the process of selection and appointment of staff and payment to them. Scale and emoluments for the posts not covered under DST's OM are governed by the norms prevalent in the implementing Institution or as agreed upon in consultation with the DST.
18. **The DST reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilised or satisfactory progress is not being made.**
19. **The Project becomes operative with effect from the date on which the ECS/Draft/ Cheque is received by the implementing Institution. This date should be intimated by the Institution authorities/ Principal Investigator to the DST. It will, in no case be later than one month after the receipt of the draft/ cheque by the Institution.**
20. If the Principal Investigator (PI) to whom a grant for a project has been sanctioned wishes to leave the Institution where the project is based, the PI/Institution will inform the DST of the same at least 6 months before in advance with suitable justification and reasons and in consultation with the DST, evolve steps to ensure successful completion of the Project, before the PI is relieved.
21. The data pertaining to the project should be systematically collected, scientifically documented and submitted to DST which later would be placed in public domain. This clause would not be applicable for the projects where legal protection of the know-how generated is felt necessary.
22. Due acknowledgement of technical support/financial assistance resulting from this project grant should mandatorily be highlighted by the GI in bold letters in all technical / scientific publications, media releases as well as in the opening paragraphs of their Annual Reports during and after the completion of the project. Investigators are expected to publish some of the research papers emerging out of the Project work in leading Indian Journals.
23. If the results of research are to be legally protected, the results should not be published without securing legal protection for the research results. For Projects identified to have a distinct potential for generating know-how, in the form of product/ process, that could be protected through patenting, copyrights etc.
24. Grantee institution / organization shall abide by the provisions of the GFR 2017 or any other financial rules prevailed from time to time.

PROFORMA-I

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*)

S.No	Title	Sponsoring Agency	Period	Amount

- b. Sponsored Research/Consultancy Projects submitted for approval

S.No.	Title	Funding Agency	Duration	Amount

11. Awards and Honours:
 - A. National list
 - B. International list:
12. Technologies Developed / Transferred: (*Please provide details of technologies transferred to industry, technology commercialized*)

Date

(Signature of PI)

CERTIFICATE FROM THE INVESTIGATOR(S)

Project Title:

1. I/We have carefully read the terms and conditions and guidelines of the **ACT-Third Call-2020** 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

Date

Place

**Name(s) and Signature(s) of the
Investigators* (* To be signed by PI and Co-PI of each
Participating Institution)**

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*	

* As per the extant guidelines of Govt. of India, institutes are requested to register f on PFMS website and inform unique agency code to facilitate the electronic fund transfer.
{website link-<https://pfms.nic.in/Users/LoginDetails/Login.aspx>}.

(Head of the Institute)

Seal/Stamp

Date

Place

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:

- a) Name of Organization
- b) Line of Business/ Major Products
- c) No. of employees
- d) Evidence of required expertise and capacity to technically, contribute to the proposed project
- e) Year of Incorporation (kindly attached Certificate of Incorporation)
- f) GST Number

The **Annual Report for the last three financial year** is enclosed.

Date

Place

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

DEPARTMENT OF SCIENCE AND TECHNOLOGY POLICY ON CONFLICT OF INTEREST FOR APPLICANT

Issues of Conflicts of Interest and ethics in scientific research and research management have assumed greater prominence, given the larger share of Government funding in the country's R & D scenario. The following policy pertaining to general aspects of Conflicts of Interest and code of ethics, are objective measures that is intended to protect the integrity of the decision making processes and minimize biasness. The policy aims to sustain transparency, increase accountability in funding mechanisms and provide assurance to the general public that processes followed in award of grants are fair and non-discriminatory. The Policy aims to avoid all forms of bias by following a system that is fair, transparent and free from all influence/ unprejudiced dealings, prior to, during and subsequent to the currency of the programme to be entered into with a view to enable public to abstain from bribing or any corrupt practice in order to secure the award by providing assurance to them that their competitors will also refrain from bribing and other corrupt practice and the decision makers will commit to prevent corruption, in any form, by their officials by following transparent procedures. This will also ensure a global acceptance of the decision making process adopted by DST.

Definition of Conflict of Interest:

Conflict of Interest means "any interest which could significantly prejudice an individual's objectivity in the decision making process, thereby creating an unfair competitive advantage for the individual or to the organization which he/she represents". The Conflict of Interest also encompasses situations where an individual, in contravention to the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

1. Coverage of the Policy:

- a) The provisions of the policy shall be followed by persons applying for and receiving funding from DST, Reviewers of the proposal and Members of Expert Committees and Programme Advisory Committees. The provisions of the policy will also be applicable on all individuals including Officers of DST connected directly or indirectly or through intermediaries and Committees involved in evaluation of proposals and subsequent decision making process.
- b) This policy aims to minimize aspects that may constitute actual Conflict of Interests, apparent Conflict of Interests and potential Conflict of Interests in the funding mechanisms that are presently being operated by DST. The policy also aims to cover, although not limited to, Conflict of interests that are Financial (gains from the outcomes of the proposal or award), Personal (association of relative / Family members) and Institutional (Colleagues, Collaborators, Employer, persons associated in a professional career of an individual such as Ph.D. supervisor etc.)

2. **Specifications as to what constitutes Conflict of Interest.**

Any of the following specifications (non-exhaustive list) imply Conflict of Interest if,

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a directly relative# or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision making process or alternatively, if any relative of an Officer directly involved in any decision making process / has influenced interest/ stake in the applicant's form etc.
- (iii) The applicant for the grant/award is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer-employee relationship in the past three years with that individual.
- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.
- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant (such as Ph.D. supervisor, Mentor, present Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

The Term "Relative" for this purpose would be referred in section 6 of Companies Act,1956.

3. **Regulation:**

The DST shall strive to avoid conflict of interest in its funding mechanisms to the maximum extent possible. Self-regulatory mode is however recommended for stake holders involved in scientific research and research management, on issues pertaining to Conflict of Interest and scientific ethics. Any disclosure pertaining to the same must be made voluntarily by the applicant/Reviewer/Committee Member.

4. **Confidentiality:**

The Reviewers and the Members of the Committee shall safeguard the confidentiality of all discussions and decisions taken during the process and shall refrain from discussing the same with any applicant or a third party, unless the Committee recommends otherwise and records for doing so.

5. Code of Conduct

- (a) The applicant must refrain from suggesting referees with potential Conflict of Interest that may arise due to the factors mentioned in the specifications described above in Point No.2.
- (b) The applicant may mention the names of individuals to whom the submitted proposal should not be sent for refereeing, clearly indicating the reasons for the same.

6. Final Appellate authority:

Secretary, DST shall be the appellate authority in issues pertaining to conflict of interest and issues concerning the decision making process. The decision of Secretary, DST in these issues shall be final and binding.

7. Declaration

I have read the above “Policy on Conflict of Interest” of the DST applicable to Applicant and agree to abide by provisions thereof.

I hereby declare that I have no conflict of interest of any form pertaining to the proposed grant * I hereby declare that I have conflict of interest of any form pertaining to the proposed grant *

* & # (Tick whichever is applicable)

(Name /Signature with date)