



# The ACT4 Call

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## Introduction – ACT joining forces for implementation of CCUS

Accelerating CCUS Technologies (ACT) is an initiative to facilitate the emergence of CO<sub>2</sub> Capture, Utilisation and Storage (CCUS) via transnational funding of projects aimed at accelerating and maturing CCUS technology through targeted innovation and research activities.

This document establishes the terms of the ACT4 call for proposals. Further information can be found on the ACT website: [www.act-ccs.eu](http://www.act-ccs.eu).

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## 1. Introduction

This document describes the objectives, scope, and topics of the call, rules for participation, and procedures from proposal to implementation of the projects.

The following timelines are anticipated for the full funding process. Note that ACT reserves the right to alter these timelines:

Action	By Whom	Timing
Proposal Submission Deadline	Applicants	2022 September 12, at 13:00 CET
Funding Decision Notification	ACT	Late December 2022
Project Commencement	Applicants	February/ March 2023

The ACT4 call is a one-stage process with only full proposals submitted by the above specified deadline. There is no pre-proposal stage, as there was in previous ACT calls.

A matchmaking section is available on the ACT website to support consortium building. Applicants looking for project partners will find a list of potential partners in this section. They should contact their national/regional contact person if they would like to be listed.

## 2. Call budget

The former ACT consortium was a collaboration between funding agencies from 16 countries and regions. As shown in Table 1, some of these funding agencies have formed a new consortium to make funds available for the ACT4 call. Each national/regional funding agency will only provide funding for national/regional entities.

**Table 1. National/regional funding bodies and budget**

Participating country/region	Funding organisation	Indicative budget
Canada, Province of Alberta	Emissions Reduction Alberta (ERA)	CAD\$ 2.85 million
Germany	Forschungszentrum Jülich GmbH, Projektträger Jülich (FZJ/PtJ)	€ 3 million
India	Department of Science and Technology (DST), Ministry of Science and Technology, Government of India	€ 1 million
Norway	The Research Council of Norway (RCN)	Up to NOK 30 million
United States	Department of Energy (DOE)	US\$ 5.4 million (Equivalent to approx. 5 million €)

A project consortium may include partners from countries other than those listed in Table 1 if such partners are fully funded by sources other than ACT.

### 3. Objective of the ACT4 Call

The goal of ACT is to accelerate and mature CCUS technologies through targeted funding of innovation and research activities.

ACT will address the technological, environmental, social, and economic challenges that will be required to accelerate CCUS. Priority will be given to projects that incorporate or address the European Strategic Energy Technology (SET) Plan Implementation research priorities ([link](#)) and/or focus on the Priority Research Directions (PRDs, [link](#)) Identified at the Mission Innovation CCUS Challenge Workshop (Houston 2017).

Successful projects shall facilitate the deployment of CCUS in the energy and industrial sectors. The ACT goal of accelerating the time to market for CCUS technology will require industrial involvement in research and innovation activities. Therefore, applications submitted to the ACT4 call must be industrial oriented.

Projects must include higher Technology Readiness Levels (TRLs) of 5 and above, with the goal of advancing the TRL as a result of the project.

The ACT4 Call is open to all CCUS topics as long as the national requirements listed in Annex 1 are met.

Applications within the following subjects are of special interest:

- **Carbon capture:** production of a pure CO<sub>2</sub> stream from combustion and/or processes at the point of emissions.
  - CO<sub>2</sub> captured from hydrogen production facilities, power stations that use biomass or fossil fuels, hard to decarbonise heavy industry facilities (e.g., cement, iron & steel, chemicals), and natural gas processing plants.
  - Examples of carbon capture technologies that could be considered for this Call include without limitation: chemical or physical absorption, cryogenic, membrane separation, chemical or physical adsorption, oxy-fuel combustion, and chemical looping.
- **Carbon capture and transportation networks:** integrated approaches combining multiple capture points and transportation infrastructure to link multiple specific capture sites to a common network.
- **Point-to-point transportation** via pipelines, ships, trains, or trucks with a single input CO<sub>2</sub> stream.
- **Direct carbon conversion:** implementation of a process that directly absorbs carbon into a product at the point of emissions such as the creation of CO<sub>2</sub>-based products (e.g., fuels, chemicals, building materials).
- **Permanent Storage:** captured CO<sub>2</sub> is transported to a geological storage site and then injected deep underground where it is permanently stored.
- **Utilization to Storage via Enhanced Oil Recovery (EOR)/Enhanced Gas Recovery (EGR):** the captured CO<sub>2</sub> is transported to an oil-field and is used to stimulate more oil production, with the CO<sub>2</sub> then being stored in the oil-depleted reservoir.
- **Offshore CO<sub>2</sub> storage:** injection of CO<sub>2</sub> into deep geological formations beneath the seabed (e.g., depleted oil and gas reservoirs and saline aquifers) for permanent storage.
- **Clean Hydrogen Production:** low-carbon hydrogen production from fossil sources combined with CCUS.
- **Carbon dioxide removal (CDR):**
  - **Biomass Carbon Removal and Storage (BiCRS)/ Bioenergy with Carbon Capture and Storage (BECCS):** utilisation of biomass as an energy source and the capture and permanent storage of CO<sub>2</sub> produced during the conversion of biomass to energy.
    - Example: Power station fuelled with biomass and equipped with CCS
  - **Direct Air Capture (DAC):** production of pure CO<sub>2</sub> stream from ambient air.

- **In-situ carbon mineralization:** CO<sub>2</sub> captured, compressed, and stored in reactive geologic formations where CO<sub>2</sub> in the fluid form mineralizes to produce water-insoluble calcium or magnesium carbonates, such as in basalts offshore.

## 4. Eligibility criteria

The requirements detailed in this section must be met by all applicants. In addition to these general requirements there are specific national/regional funding body rules that must also be followed (see Annex 1). ACT is seeking innovative projects that range from smaller research projects to new or major expansion/upgrades of existing pilot and demonstration facility sites. The projects should include the potential for upscaling to industrial size either in a demonstration or early commercial phase.

Each project proposal must be submitted by a project consortium comprised of at least two eligible applicants seeking funding from at least two participating countries / regions (listed in Table 1) in the ACT4 call.

Each project consortium must have the required expertise to undertake research and development within the specified themes. Each consortium must have a Lead Applicant who serves as the project's main contact point. In addition, Lead Partners from each participating country must serve as primary point of contact at the national level. No project partner can have a share of more than 70% of the project's work plan activities.

As part of the full proposal, all partners must provide a Letter of Intent, it must include an explicit declaration of any financial or in-kind contributions agreed upon, and the partner's role.

Projects funded under this Call must be completed within 3 years. Projects with a shorter timeline that can provide results for accelerating CCUS development are highly encouraged. Projects must commence within three (3) months of receiving ACT funding approval.

A justification of the requested budget will be required as part of the proposal. All costs must be eligible according to the funding bodies' rules (see Annex 1). If in doubt, applicants should consult their respective funding bodies which can advise on funding rules.

In addition to the general rules and procedures outlined in this section, each of the participating funding bodies has specific eligibility criteria that applicants must meet. This includes, but is not limited to, restrictions on the types of organisations that can be funded, requirements on the types of activities that can be funded, national/regional evaluation rules, maximum funding per partner or per project, etc.

We strongly recommend that applicants reach out to the national/regional contact person at the relevant funding bodies (see Annex 1) to confirm their eligibility before submitting a proposal. Projects that are deemed in-eligible will not be considered for funding.

## 5. Submission

Within the framework of ACT, a **one-stage submission and evaluation procedure** will be adopted.

Applicants must submit their **applications to the ACT's Secretariat** and all ACT funding agencies require **supplementary information at the national level**. Applications must be submitted in English only.

### Submission at ACT level

Proposals shall be submitted to the ACT Secretariat via email at [act-ccs@rcn.no](mailto:act-ccs@rcn.no) as a single PDF file. The proposals must be based on the *template* in **Annex 2**.

***Submission of a proposal is required before the deadline of 12 September 2022, 13:00 CEST. Late applications will not be accepted under any circumstances.***

The applicant will receive a confirmation when submitting your application to the email address above. If you do not receive a confirmation your application has not been corrected submitted.

Curriculum Vitae (CVs) must be no more than two pages long, with a maximum of three CVs per partner. Letters of Intent (LOI) can be from partnering organizations, funding sources, site hosts, etc. Please combine all CVs and LOIs into a single PDF attachment and email it to the ACT's Secretariat as an annex with the full proposal document. Any documents submitted at the ACT level that are not specifically requested in Annex 2 will not be considered during the evaluation process.

### Submission at national level

Submission at national level is required to all funding agencies where funding is requested by the applicants. Details regarding submission at national level is specified in Annex 1: *Specific Funding Agencies' Rules*.

### General Conditions

By transferring your full proposal to ACT, you give permission for it to be forwarded to your relevant funding agencies as well as all participating funding agencies involved in ACT4.

If after reading the instructions in this Call text, and information at the ACT-website, you still have technical questions about the submission, please contact the ACT Secretariat at the Research Council of Norway (contact details available in Section 9).

## 6. Evaluation procedure

The proposals will be evaluated at the national level by all funding agencies participating in this call. National evaluation procedures are described in Annex 1.

The relevant funding agencies will make a joint funding decision. The ACT Secretariat at the Research Council of Norway will notify the lead applicants of the decision. **The international funding decision is not appealable.**

All proposals will be evaluated according to the following **three main criteria** and the **sub-criteria** (Table 2), which are applicable in addition to national criteria. Each of the three main evaluation criteria below have an equal weighting. The prompts and instructions found in the template in Annex 2 provides additional detail on the specific considerations within each criterion.

**Table 2. Evaluation criteria for ACT**

<b><i>Excellence</i></b>
<ul style="list-style-type: none"> <li>▪ In accordance with the objectives of the call text</li> <li>▪ Clarity and relevance of the project's objectives</li> <li>▪ Credibility of the proposed technology/concept – including trans-disciplinary considerations, where relevant</li> <li>▪ Credibility of the proposed project approach</li> <li>▪ Ambition and innovation potential - e.g., beyond the current state of the art.</li> <li>▪ Added value of transnational co-operation within CCUS</li> <li>▪ Scientific merit</li> </ul>
<b><i>Impact (potential impact of the results of the Research and Innovation, R&amp;I, project)</i></b>
<ul style="list-style-type: none"> <li>• Expected contribution to the facilitation of the emergence of CCUS (e.g., through cost and risk reduction, involvement of relevant industrial partners, opening niche markets, surmounting major barriers)</li> <li>• Strength of the proposed research data management, exploitation, and dissemination plans (including Intellectual Property Rights management, where relevant)</li> <li>• Impact on any other environmental or socially important impacts (e.g., public acceptance).</li> <li>• Industrial relevance</li> </ul>
<b><i>Quality and efficiency of the implementation of the R&amp;I project</i></b>
<ul style="list-style-type: none"> <li>▪ Coherence and expected effectiveness of the project plan, including the appropriateness of task, use of methods, resource allocation and timing</li> <li>▪ Budget allocation</li> <li>▪ Strength of management structures and governance procedures, including risk management</li> <li>▪ Capability of the Lead Applicant (and partners) to deliver the project and to commercialize the technology further - including e.g., suitability of expertise, complementarity, balance of contributions</li> </ul>

## 7. Consortium Agreement (CA)

Successful applicants will enter into a consortium agreement (CA) with their project partners, which will address the following areas:

- Internal organisation and management of the consortium
- Intellectual Property arrangements
- Settlement of internal disputes

The projects can decide for themselves if they prefer one Consortium Agreement signed by all partners or if there should be several separate Consortium Agreements, one in each country represented in the project.

Please note that the CA is for the benefit of the consortium members to regulate the collaboration process and safeguard critical issues, such as Intellectual Property Rights (IPR). Suggestions on how to establish CA are found in Annex 3. However, any type of CA that the project consortium agrees to will be accepted.

## 8. Project Reporting and Knowledge Sharing

The purpose of this call is to provide valuable information to support investment decisions, policy, and program design for European and non-European countries. Project monitoring and reporting will be in accordance with the rules of the respective funding body. In addition to the requirements of the respective funding body, the consortia (via the Lead Applicant) are required to deliver basic progress reports (in English) to the ACT Secretariat, on a quarterly basis. A mid-term review may be conducted for larger projects.

ACT is committed to encouraging widespread knowledge dissemination from funded projects to maximize the benefit of our participation. Successful applicants will be expected to commit to sharing of knowledge, data, lessons learned and best practices with other recipients at the annual ACT knowledge sharing workshops in either presentation or poster format. Recipients should budget time and costs to attend the annual ACT knowledge sharing workshops.

All partners involved in funded projects must ensure that all study learnings and key outcomes (publications, etc.) include proper acknowledgement of the ACT initiative and the respective funding bodies.

## 9. Contacts and Further Information

If you have any questions about the general call process or proposal submission, please contact the **ACT Call Secretariat**: Aage Stangeland at [ast@rcn.no](mailto:ast@rcn.no) or +47 958 22 903.

If you have any questions about the rules of specific funding agencies or additional forms, please refer to *Annex 1: Specific Funding Agencies' rules* first.

Additional information, and national requirements, can be obtained by contacting the indicated national/regional contact persons at the participating funding bodies.

**Table 3. National/regional contact persons**

Contact persons	Organisation	Name	Email Address	Phone
<b>Canada - Alberta</b>	ERA	Sanah Dar	<a href="mailto:sdar@eralberta.ca">sdar@eralberta.ca</a>	+1 780-429-9327
		Justin Wheler	<a href="mailto:jwheler@eralberta.ca">jwheler@eralberta.ca</a>	+1 587-590-3761
<b>Germany</b>	PTJ	Heiko Gerhauser	<a href="mailto:h.gerhauser@fz-juelich.de">h.gerhauser@fz-juelich.de</a>	+49 2461 61 96830
		Annette Weiß	<a href="mailto:a.weiss@fz-juelich.de">a.weiss@fz-juelich.de</a>	+49 2461 61 9025
		Tarik Schwarzer	<a href="mailto:t.schwarzer@fz-juelich.de">t.schwarzer@fz-juelich.de</a>	+49 2461 61 9157
<b>India</b>	DST	Neelima Alam	<a href="mailto:neelima.alam@nic.in">neelima.alam@nic.in</a>	+91-11-26590467
		Sanjai Kumar	<a href="mailto:sanjai.k@gov.in">sanjai.k@gov.in</a>	+91-11-26590270
		Anita Gupta	<a href="mailto:anigupta@nic.in">anigupta@nic.in</a>	
<b>Norway</b>	RCN	Aage Stangeland	<a href="mailto:ast@rcn.no">ast@rcn.no</a>	+47 95 82 29 03
	(ACT coordinator)	Ragnhild Rønneberg	<a href="mailto:rr@rcn.no">rr@rcn.no</a>	+47 91 55 86 62
	Gassnova	Ingrid Sørum Melaen	<a href="mailto:ism@gassnova.no">ism@gassnova.no</a>	+47 95 19 81 80
<b>United States</b>	DOE – Office of Fossil Energy and Carbon Management (DOE-FECM)	Mark Ackiewicz	<a href="mailto:mark.ackiewicz@hq.doe.gov">mark.ackiewicz@hq.doe.gov</a>	+1 301 903 3913
		Darin Damiani	<a href="mailto:darin.damiani@hq.doe.gov">darin.damiani@hq.doe.gov</a>	+1 202 287 5282
		Lynn Brickett	<a href="mailto:lynn.brickett@hq.doe.gov">lynn.brickett@hq.doe.gov</a>	+1 412 260 7345
		Amishi Claros	<a href="mailto:amishi.claros@hq.doe.gov">amishi.claros@hq.doe.gov</a>	+1 301 903 7637
		Aaron Fuller	<a href="mailto:aaron.fuller@hq.doe.gov">aaron.fuller@hq.doe.gov</a>	+1 240 205 5123
		Andrew Hlasko	<a href="mailto:andrew.hlasko@hq.doe.gov">andrew.hlasko@hq.doe.gov</a>	+1 240 449 7863



## Annex 1: Specific Funding Agencies' Rules

The funding agencies are listed in alphabetic order.

### Canada/Alberta Region

<b>Country/Region</b>	Canada /Alberta Region
<b>Funding organisation</b>	Emissions Reduction Alberta (ERA)
<b>National contact person</b>	<p>Sanah Dar (Project Specialist – Main Contact) TEL: +1 780-429-9327 Email: <a href="mailto:sdar@eralberta.ca">sdar@eralberta.ca</a></p> <p>Justin Wheler (Executive Director, Technology and Innovation) TEL: +1 587-590-3761 Email: <a href="mailto:jwheler@eralberta.ca">jwheler@eralberta.ca</a></p>
<b>Funding commitment</b>	\$2.85 million CAD, ~€2 million at current exchange rate. ERA in its sole discretion reserves the right to modify the total funding available under this Call.
<b>Anticipated number of projects with Canadian partners</b>	Approximately 1-3 anticipated. No minimum or maximum specified.
<b>Maximum funding per awarded project</b>	\$2.85 million CAD (approximately €2 million)
<b>Eligibility of a partner as a beneficiary institution</b>	ERA funding is open to all categories of applicant, including technology developers, industry, industrial associations, small and medium-sized enterprises (SMEs), research and development (R&D) organizations, universities, municipalities, not-for-profit organizations, government research labs, and individuals.
<b>Eligibility of costs</b>	<p>The maximum funding contribution from ERA for any one project is <b>\$2.85 million CAD</b>.</p> <p>ERA will match applicant contributions toward eligible expenses on a one-to-one (1:1) basis. The maximum ERA contribution to a single project will be no more than <b>50%</b> of the project's eligible expenses.</p> <p>ERA will not match other government funds provided directly for the proposed project (federal, provincial, or international), or future revenue associated with the outcomes of the project such as offset credits or emissions performance credits associated with the project, tax incentives associated with the project (e.g., Canadian SR&amp;ED credits), revenue from sales of the project's end-products (e.g., from offtake agreement), or non-eligible contributions. Applicants must justify the amount of funding requested.</p> <p>For information about eligible expenses and costs, please refer to the ERA <i>Eligible Expenses and Cost Instructions</i> document available at <a href="https://erims.outcome-plus.com/Content/Files/ERIMS/Files/ERA%20Eligible%20Expenses%20and%20Cost%20Instructions_November%202021.pdf">https://erims.outcome-plus.com/Content/Files/ERIMS/Files/ERA%20Eligible%20Expenses%20and%20Cost%20Instructions_November%202021.pdf</a>.</p>
<b>Submission of the proposal at the national level</b>	In addition to the ACT proposal, ERA may require applicants to provide supplemental information to support due diligence and portfolio reporting. This information may include detailed budget information, financial report(s), an extended Greenhouse Gas benefits analysis, and/or additional information on the specific alignment with the Alberta market. Supplemental information relates to both the overall project and the component of the project based in Alberta. The final document for the Supplemental Information must be no more than 20 pages in length excluding appendices. Financial reporting will be required for the Alberta-based partner(s) on the project and is mandatory for the project partner that will

	<p>receive funding from ERA. The Supplemental Information document and appendices must be submitted via email to ERA Applications at <a href="mailto:applications@eralberta.ca">applications@eralberta.ca</a>.</p> <p>The following areas for CCUS that are NOT eligible for Alberta/Canada are:</p> <ul style="list-style-type: none"> <li>-Acid gas injection</li> <li>-Offshore CO<sub>2</sub> storage</li> <li>-Projects whose primary focus is point-to-point transportation or sequestration elements.</li> <li>-Commercially proven technologies/processes, business as usual, or to address only financial barriers.</li> </ul>
<b>Evaluation process at national level</b>	<p>Proposals will be evaluated by a team of experts with a breadth of knowledge in the areas of science, engineering, business development &amp; growth, financing, and greenhouse gas quantification. The review team uses a standard and transparent set of criteria to evaluate each project’s potential to make an important contribution to the achievement of ERA’s goals. Projects that are well-aligned with ERA’s mandate and demonstrate high potential to achieve the objectives identified in the funding guidelines are selected. See <a href="https://eralberta.ca/funding-process/">https://eralberta.ca/funding-process/</a> for more information.</p>
<b>Submission of financial and progress reports at the national level</b>	<p>All ERA funding recipients will be required to provide technical and financial progress reports at key milestones over the course of the project. The schedule of milestones will be determined in collaboration between ERA and funding recipients.</p>
<b>Information available at</b>	<p><a href="https://eralberta.ca">https://eralberta.ca</a></p>
<b>Other</b>	<p>ERA funding is targeted for projects at the technology scale-up, field pilot, commercial demonstration, or commercial implementation stages (TRL 5-9). Applicants are not required to be located in Alberta, but all applicants must demonstrate a clear value proposition for the province. Applicants must demonstrate how the proposed technology or application thereof is an innovative solution for emissions reduction in Alberta.</p> <p>Alberta is home to the Alberta Carbon Conversion Technology Centre (ACCTC), a real-world test bed for carbon capture and conversion technologies. Applicants are strongly encouraged to consider piloting or testing their technology at the ACCTC. See <a href="https://innotechalberta.ca/research-facilities/alberta-carbon-conversion-technology-centre-acctc/">https://innotechalberta.ca/research-facilities/alberta-carbon-conversion-technology-centre-acctc/</a> for more information.</p> <p>The International CCS Knowledge Centre (Knowledge Centre) offers insight into practical CCS deployment considerations. It is dedicated to advancing the understanding and use of a large-scale CCS/CCU as a means of managing GHG (greenhouse gas) emissions. Applicants may also engage with the Knowledge Centre for assistance with proposal development or project delivery at their own expense. See <a href="https://ccsknowledge.com">https://ccsknowledge.com</a> for more information.</p> <p>Shell Quest and Alberta Carbon Trunk Line projects are notable large-scale CCS actions in Canada. Applicants are encouraged to consider leveraging or partnering with commercial-scale projects or infrastructure under development in Canada. See <a href="https://www.alberta.ca/carbon-capture-utilization-and-storage-funded-projects-and-reports.aspx">https://www.alberta.ca/carbon-capture-utilization-and-storage-funded-projects-and-reports.aspx</a> for more information.</p>

## Germany

<b>Country/Region</b>	Germany
<b>Funding organisation</b>	PtJ, Projektträger Jülich
<b>National contact person</b>	Dr. Heiko Gerhauser E-mail: <a href="mailto:h.gerhauser@fz-juelich.de">h.gerhauser@fz-juelich.de</a> Tel.: +49 (0)2461 61 96830 Website: <a href="http://www.ptj.de">www.ptj.de</a>
<b>Funding commitment</b>	National funding indication: Up to €3 million in national funding depending on final budget allocation
<b>Anticipated number of projects with German partners</b>	2
<b>Maximum funding per awarded project</b>	No hard limit
<b>Eligibility of a partner as a beneficiary institution</b>	The organisations which are eligible for funding as well as the eligibility criteria for cooperation are listed in the national guidelines. Additionally, note that new CO <sub>2</sub> geological storage projects within Germany are not eligible in this call. Research and development on geological storage must be at existing sites in Germany or take place outside of Germany.
<b>Eligibility of costs</b>	For detailed information visit: <a href="https://www.ptj.de">https://www.ptj.de</a>
<b>Submission of the proposal at the national level</b>	German partners must submit their national partner application in German via easy-Online ( <a href="https://foerderportal.bund.de/easyonline/">https://foerderportal.bund.de/easyonline/</a> ) into the national electronic submission system. This applies to both the first stage (“Skizze”) and the full proposal. The deadline for the “Skizze” is the same as the international deadline. The deadline for the national full proposal will be communicated to successful applicants in a letter. The German application at both stages consists of a form and a submitted text document. The latter (Vorhabenbeschreibung for the full proposal) does not have to contain a translation of the international proposal. Skizzentext and Vorhabenbeschreibung should contain additional information relevant for the German application and only a very brief summary of the international application for context as appropriate.
<b>Evaluation process at national level</b>	
<b>Submission of financial and progress reports at the national level</b>	Yes, scientific and financial reporting according to national criteria.

<b>Information available at</b>	<p> <a href="https://www.ptj.de/projektfoerderung/angewandte-energieforschung/technologien-co2-kreislaufwirtschaft">https://www.ptj.de/projektfoerderung/angewandte-energieforschung/technologien-co2-kreislaufwirtschaft</a>  <a href="https://www.bmwi.de/Redaktion/DE/Downloads/B/bekanntmachung-forschungsfoerderung-im-7-energieforschungsprogramm.pdf?blob=publicationFile&amp;v=3">https://www.bmwi.de/Redaktion/DE/Downloads/B/bekanntmachung-forschungsfoerderung-im-7-energieforschungsprogramm.pdf? blob=publicationFile&amp;v=3</a> </p> <p>The most relevant section for this call is "3.15 Technologien für die CO2-Kreislaufwirtschaft".</p> <p>The requirements of the national call text need to be met in addition to those of the international ACT call text. Failure to do so will result in ineligibility.</p>
<b>Other</b>	<p>We highly recommend contacting the national contact person during the preparation of the project. Not contacting the national contact person may have a material impact on your chance of being selected for funding.</p>

## India

<b>Country/Region</b>	India
<b>Funding organisation</b>	Department of Science and Technology (DST), Ministry of Science and Technology, Government of India <a href="https://dst.gov.in/carbon-capture-utilisation-and-storage-ccus">https://dst.gov.in/carbon-capture-utilisation-and-storage-ccus</a>
<b>National contact person</b>	Primary Contact 1: Dr Neelima Alam, Email: <a href="mailto:neelima.alam@nic.in">neelima.alam@nic.in</a> , Phone No.: +91-11- 26590467  Primary Contact 2: Dr Sanjai Kumar Email: <a href="mailto:sanjai.k@gov.in">sanjai.k@gov.in</a> , Phone No.: +91-11-26590270  Secondary Contact: Dr. Anita Gupta, Email: <a href="mailto:anigupta@nic.in">anigupta@nic.in</a> , Phone No.: +91-11-26590213
<b>Funding commitment</b>	1 Million Euro (Equivalent Indian Rupees: Approx. Rs 8 Crore)
<b>Anticipated number of projects with Indian partners</b>	Max. 2 projects (The numbers can be modified for the suitable project within the funding limit)
<b>Maximum funding per awarded project</b>	Maximum funding for Indian partners for awarded project will be restricted to maximum 0.5 Million Euro.
<b>Eligibility of a partner as a beneficiary institution</b>	<ul style="list-style-type: none"> <li>• The proposals are to be led by faculties/scientists working in regular position in recognized Academic Organizations/Public funded R&amp;D Institutions/Laboratories, Central and State Government autonomous organizations in partnership with other academic/R&amp;D organisation, DSIR recognized SIRO organizations, Central and state autonomous organisations, industry association, industries etc.</li> <li>• The proposals submitted with well-defined and synergistic institute - user - industry partnership are encouraged.</li> <li>• All Indian partners in a single project must be separate legal entities. However, there can be more than one investigator from the same entity.</li> <li>• Participating Indian companies must: <ol style="list-style-type: none"> <li>1) Be incorporated in India under the Companies Act 1956/2013.</li> <li>2) Have at least 51% stake of the Company be owned by Indian citizens.</li> <li>3) Have been in operation for at least 3 financial years before the closing date for application.</li> <li>4) Be registered under relevant provisions of Good &amp; Services Taxation (GST) Act.</li> <li>5) Have required expertise and capacity to technically contribute to the proposed project.</li> <li>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).</li> <li>7) Industry may receive up to 50% of the DST approved budget cost and the remaining 50% contribution in cash shall mandatorily come from them.</li> <li>8) The person-hours of existing workforce, utilization of facilities etc. will not be counted as industry contribution.</li> <li>9) Indian industry/association may receive their part of the eligible costs on a “Reimbursement Basis”, for costs already incurred on a proportionate basis.</li> </ol> </li> </ul> <p><b>Companies need to provide the following with the First Stage application:</b></p> <ul style="list-style-type: none"> <li>✓ Evidence they have the resources and finances to undertake the project.</li> <li>✓ An audited copy of their submitted annual accounts for the last three fiscal years.</li> </ul>

<b>Eligibility of a partner as a beneficiary institution(cont)</b>	<p><b>Please note:</b></p> <ul style="list-style-type: none"> <li>• Sole proprietors and partnership firms are not eligible for support under this programme.</li> <li>• Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding directly or indirectly.</li> </ul>
<b>Eligibility of cost</b>	<p>Indian applicant must comply the <a href="#">Department of Science &amp; Technology (DST), India Rules and Regulations</a>, .</p> <p>Unless agreed otherwise:</p> <ul style="list-style-type: none"> <li>• Subcontracting is to be capped at a maximum of 20% of the India budget.</li> <li>• All India grant costs, including sub-contracts, should be incurred within the India.</li> <li>• Project management costs cannot be sub-contracted.</li> </ul>
<b>Submission of the proposal at the national level</b>	<p>The applicant is required to submit a full copy of the proposal to the Department of Science and Technology at <a href="http://onlinedst.gov.in">onlinedst.gov.in</a>. This proposal must 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.</p>
<b>Evaluation process at national level</b>	<p>YES. Proposals will be evaluated according to standard procedure of DST.</p>
<b>Submission of financial and progress reports at the national level</b>	<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>
<b>Information available at</b>	<p><a href="https://dst.gov.in/carbon-capture-utilisation-and-storage-ccus">https://dst.gov.in/carbon-capture-utilisation-and-storage-ccus</a></p>
<b>Other</b>	<p>All the funded projects would be bound by guidelines stipulated by the Department of Science and Technology from time to time. The detailed guidelines for this call will appear on DST website, which will supersede anything stated here. The applicants may approach the national contact for specific queries at any stage of the project.</p>

## Norway

<b>Country/Region</b>	<b>Norway</b>
<b>Funding organisation</b>	<b>The Research Council of Norway (RCN) and Gassnova (GN)</b>
<b>National contact person</b>	<p>Dr. Aage Stangeland The Research Council of Norway Tel: +47 95 82 29 03 E-mail: <a href="mailto:ast@forskningsradet.no">ast@forskningsradet.no</a> Website: <a href="http://www.rcn.no">www.rcn.no</a></p> <p>Dr. Ingrid Sørnum Melaaen Gassnova Tel:+ 47 951 98 180 E-mail: <a href="mailto:ism@gassnova.no">ism@gassnova.no</a> Website: <a href="http://www.climit.no">www.climit.no</a> , <a href="http://www.gassnova.no">www.gassnova.no</a></p>
<b>Funding commitment</b>	Up to NOK 30 M national funding
<b>Anticipated number of projects with Norwegian partners</b>	Between 2 and 5
<b>Maximum funding per awarded project</b>	Maximum NOK 15 M per project.
<b>Eligibility of a partner as a beneficiary institution</b>	<ol style="list-style-type: none"> <li>1. The call is open to approved Norwegian research organisations, actors from public sector entities, non-governmental organisations, actors from the business sector, and other private organisations.</li> <li>2. The main Norwegian partner must be either <ol style="list-style-type: none"> <li>a. an approved Norwegian research organisation or</li> <li>b. a Norwegian company that has been issued an enterprise number under the Norwegian Register of Business Enterprises and that carry out economic activity in Norway.</li> </ol> </li> <li>3. The Norwegian team must include at least one approved Norwegian Research organisation.</li> <li>4. The Norwegian team must include at least one Norwegian end-user as a project partner.</li> </ol>
<b>Eligibility of costs</b>	<p>All applications for project support must contain a complete budget according to standard procedures at the Research Council of Norway. Details available from this <a href="#">link</a>.</p> <p>Research organisations can apply for up 100 percent financial support and companies can apply for up to 50 percent financial support.</p> <p>The maximum funding rate must be according to state aid guidelines as described at the RCN web site, see this <a href="#">link</a>.</p>
<b>Submission of the proposal at the national level</b>	Submission at national level is required. An application covering Norwegian activities must be submitted to the Research Council of Norway by following instructions from this <a href="#">link</a> .
<b>Evaluation process at national level</b>	Proposals will be evaluated according to standard procedures at RCN or Gassnova. Details are available at the RCN web and the <a href="#">CLIMIT web</a> . All proposals will be assessed by external referees or experts at Gassnova.

<b>Submission of financial and progress reports at the national level</b>	Scientific and financial reporting is required, following the standard national procedures at the Research Council of Norway and Gassnova.
<b>Information available at</b>	<a href="http://www.climit.no">www.climit.no</a> , <a href="http://www.rcn.no">www.rcn.no</a> , <a href="http://www.gassnova.no">www.gassnova.no</a>
<b>Other</b>	The Norwegian sub-project of applications submitted to ACT must comply with the <a href="#">CLIMIT Program Plan</a> .



## United States of America

<b>Country/Region</b>	United States (US)
<b>Funding organisation</b>	Department of Energy-Office of Fossil Energy and Carbon Management (DOE-FECM)
<b>National contact person</b>	<p>Mr. Mark Ackiewicz (Director, Office of Carbon Management) Tel: +1 301 903 3913 Email: <a href="mailto:mark.ackiewicz@hq.doe.gov">mark.ackiewicz@hq.doe.gov</a></p> <p>Mr. Darin Damiani (Carbon Transport and Storage Senior Program Manager) Tel: +1 202 287 5282 Email: <a href="mailto:darin.damiani@hq.doe.gov">darin.damiani@hq.doe.gov</a></p> <p>Mrs. Lynn Brickett (Director, Point-Source Carbon Capture Program) Tel: +1 412 260 7345 Email: <a href="mailto:lynn.brickett@hq.doe.gov">lynn.brickett@hq.doe.gov</a></p> <p>Mrs. Amishi Claros (Carbon Conversion Program Manager) Tel: +1 301 903 7637 Email: <a href="mailto:amishi.claros@hq.doe.gov">amishi.claros@hq.doe.gov</a></p> <p>Mr. Aaron Fuller (Carbon Conversion Program Engineer) Tel: +1 240 205 5123 Email: <a href="mailto:aaron.fuller@hq.doe.gov">aaron.fuller@hq.doe.gov</a></p> <p>Mr. Andrew Hlasko (Point Source Carbon Capture Program) Tel: +1 240 449 7863 Email: <a href="mailto:andrew.hlasko@hq.doe.gov">andrew.hlasko@hq.doe.gov</a></p>
<b>Funding commitment</b>	US \$5.4 million (Equivalent to approximately 5 million €). U.S. DOE-FECM funding would come from the Point Source Carbon Capture Program, Carbon Transport and Storage Program, FECM Direct Air Capture, and the Carbon Utilization/Conversion Program. Any point source capture projects addressing industrial emissions cannot partner with refineries for fuel production nor natural gas processing. No projects applying for US DOE funds can support Enhanced Oil Recovery (EOR) and Enhanced Gas Recovery (EGR).
<b>Anticipated number of projects with US participation</b>	Up to 10 projects total (up to 3 projects in carbon capture, 2 projects in carbon utilization, 3 projects in carbon storage, 2 projects in CDR).
<b>Maximum funding per awarded project</b>	Projects are limited to US ~\$540,000 or \$500,000 € per proposals. Any projects that exceed this limit will be eliminated from consideration.
<b>Eligibility of a partner as a beneficiary institution</b>	<p>Research on point source carbon capture, carbon storage, utilization/conversion, and direct air capture is solicited. Specific research related to industrial decarbonization is suggested. Additionally, reactive capture, an approach where both capture and utilization are done without a separate need for regeneration will also be considered.</p> <p>US proposals are open to DOE national laboratory participants only. However, geologic storage proposals are also open to the prime recipients of the US DOE's ongoing Regional CCUS Initiative projects (DE-FE0031830; DE-FE0031836; DE-FE0031837; DE-FE0031838).</p>
<b>Eligibility of costs</b>	Subject to DOE and FECM requirements for national laboratory field work proposals (FWPs) and the terms and conditions of the Regional CCUS Initiative project cooperative agreements identified above.
<b>Submission of the proposal at the national level</b>	Yes, in draft format prior to submission date. Purpose is to show alignment of the full proposal with DOE-FECM goals and objectives. US National Laboratories must also submit a FWP to DOE, similar to other projects with DOE-FECM.

<b>Evaluation process at national level</b>	Proposals will be evaluated in accordance with DOE-FECM review procedures for US National Laboratory field work proposals.
<b>Submission of financial and progress reports at the national level</b>	Yes, scientific and financial reporting according to standard DOE policy.
<b>Information available at</b>	<a href="http://www.energy.gov/fecm/office-carbon-management">www.energy.gov/fecm/office-carbon-management</a>
<b>Other</b>	Contact one of the national contacts if there are specific questions.

## Annex 2: Template for full proposal

### 1. Publishable summary of the project (max. 1 page)

### 2. Scientific, technological, and commercial objectives and challenge (max. 1 page)

*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 (max. 8 pages)

*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 (max. 8 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, workforce, costs*
- *Monitoring and management of the project*

### 5. Relevance to ACT objective of accelerating and maturing CCS technology and transnational added value (max. 1 page)

*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. 1 pages)

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

## 7. Budget and financing plan (max. 1 page)

Please add all budgets and financing tables submitted at national level and fill in the tables below.

Partner	Country	Currency	Total cost	Funding request from ACT	Own financing	Financing from other sources	Total financing
Partner 1							
Partner 2							
Partner 3							
Partner 4							
Partner 5							
Partner 6							
Please add rows if needed							
<b>Sum</b>							

Please split the ACT funding request on relevant funding agencies in the table below

Country	Funding agency	Currency	Funding request
Canada - Alberta	ERA		
Germany	PTJ		
India	DST		
Norway	RCN		
United States	DOE – Office of Fossil Energy		
<b>Sum</b>			

## Annex 3: Consortium Agreement (CA)

A Consortium Agreement (CA) must be established between the consortium members to regulate the collaboration process and safeguard critical issues, such as Intellectual Property Rights (IPR).

There are several possibilities for establishing a signed CA and all the alternatives listed below can be considered:

- The CA can be based on any template suitable for all project partners.
- If a CA that is acceptable to all Consortium members cannot be developed, one alternative will be signed Letters of Commitments (LoC) from all partners. There might be a need for national CAs alongside such LoCs (Letter of Commitment) (there are some countries where a CA is a formal need). The wording in the LoC can be based on Letters of Intent (LoI) that must be submitted together with the application. Signed LoCs together with a separate IPR agreement can also be a workable solution.
- Another alternative is a simplified CA together with a separate document on how to handle IPR. Such a CA could be only a few paragraphs stating that all partners will collaborate as described in the application submitted to ACT.
- If project partners find it difficult to agree on one CA covering all partners, ACT will accept that a project operates with several CAs (e.g., one for European partners and another for non-European partners).
- The DESCAs model is a template designed to fit European countries and could quite easily be used by projects having only European partners.
- A revised DESCAs model can be used for projects with partners outside Europe. Wordings and terms difficult to accept for some partners can be deleted or changed if all project partners agree.

## Accelerating CCS Technologies (ACT4) Call-2022

### *Funding Guidelines for Indian Applicants*



सत्यमेव जयते

Department of Science & Technology  
Govt. of India



## Funding Guidelines for Indian Applicants

### **RULES OF PARTICIPATION AND FUNDING**

These guidelines are to be read along with eligibility specified in **ANNEX-1: Specific Funding Rules: India (page 12)** of **ACT #4 Call-2022**. The eligibility, funding details and requirements given here overrides ANNEX 1: Specific Funding Agencies' Rules of **ACT #4 Call-2022** 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).
  - vii. Industry may receive up to 50% of the DST approved budget cost and the remaining 50% contribution in cash shall mandatorily come from them.
  - viii. The person-hours of existing workforce, utilization of facilities etc. will not be counted as industry contribution.
  - ix. Indian industry/association may receive their part of the eligible costs on a **"Reimbursement Basis"**, for costs already incurred on a proportionate basis.

##### **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:**

- × 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. 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 **funds in reimbursement mode** through lead partner in a phased manner depending on the progress of the project and subject to submission of Vouchers/Bills against the actual expenditure and 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 0.50 Million Euro (Rs. 4 Crore).

**4. Type of Research Funded:**

The objectives of DST funding broadly conform to ACT#4 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 CO<sub>2</sub> Capture and Utilization/ Conversion (CCU) 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 CCU 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) at National Level, but overall ACT consortia goal should aim for higher TRL level of 5 and above (as per objective of ACT#4 Call), with the goal of advancing the TRL as a result and outcome of the project.

**5. Anticipated number of projects with Indian partners:**

Max. 2 Numbers (The numbers can be modified for the suitable project within the funding limit)

Funding intends to be divided uniformly to support **Carbon Capture** and **Carbon Utilization/Conversion** projects.

**6. Eligibility 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-6**: 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-6**).

**8. DST Terms and Conditions for Indian Applicant:**

**8.1** Indian applicants should follow the DST's Terms and Conditions. [**as per ANNEX-6/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)<sup>1</sup>2017 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 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.

Online e-PMS submission of proposal should also be completed by **12<sup>th</sup> September 2022** at 17.00 IST latest.

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

- 101** Log on [onlinedst.gov.in](http://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 portal site.
- 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](http://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- 6**

**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](http://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 'F', Technology Mission Division (E&W), DST at [ccus.dst@gmail.com](mailto: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](mailto:neelima.alam@nic.in), Phone  
No.: +91-11- 26590467

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

Secondary Contact: **Dr. Anita Gupta**,  
Email: [anigupta@nic.in](mailto:anigupta@nic.in)  
Phone No.: +91-11-26590213

## Tables for Partner's Information and Budgeting

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

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

<b>Table 1 - Cost</b>						
<b>Total budget for the project</b>						
<b>Cost Category</b>	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>	<b>Total</b>		
Personnel (Research Manpower) and indirect cost (Overhead/Project Management)						
Operating cost						
Equipment (Minor Research)						
ACT workshops						
Other cost (must be specified)						
<b>Total</b>						
<i>All figures in Rupees in Lakhs</i>						
<b>Please add data for each partner in the project below</b>						
<b>Partner 1/Partner 2/Partner3/..</b>						
Name of partner						
Country						
<b>Cost Category</b>	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>	<b>Total</b>	<b>Comments / Specifications</b>	
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)						
<b>Total</b>						
<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

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:							
<b>1. Personnel (Research Manpower) and indirect cost (Overhead/Project Management)</b>							
<b>1.1 Personnel (Research Manpower)</b>							
<b>Designation</b> (JRF /SRF/ RA/ Project Assistants etc)	<b>Educational Qualification</b>	<b>Experience in years, if applicable</b>			<b>Justification</b>		
<p><b>Note #</b> Refer DST guidelines for Educational Qualification, Experience etc as mentioned in the respective OM in <b>Annexure-A (OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and OM. No. SR/S9/Z-05/2019 dated 10.07.2020)</b>, it is also requested to visit DST website time-to-time for any new updates: <a href="https://dst.gov.in/whatsnew">https://dst.gov.in/whatsnew</a></p>							
<b>Designation</b> (JRF /SRF/ RA/ Project Assistants etc)	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>	<b>Total</b>	<b>HRA (%)</b>	<b>No. of Persons</b>	<b>Total Amount (inclusive of all allowances)</b>
<b>Total</b>							
<i>All figures in Rupees in Lakhs</i>							
<p><b>Note #</b> Emoluments shall be provided as per DST Guidelines for Research fellow and other Manpower Budget mentioned in <b>Annexure -A (OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and OM. No. SR/S9/Z-05/2019 dated 10.07.2020)</b></p> <p><b>Note #</b> Please mention category/ class of city ..... (X/Y/Z) for admissible HRA along with..... %. (as per notification of 7<sup>th</sup> CPC)</p>							
<b>1.2 Overhead / Project Management</b>	As per DST norms and conditions mentioned in the <b>Annexure-A (O.M. SB/S9/Z-33/2015 dated 1 January 2016)</b>						
<b>2. Operating Cost</b>							
<b>2.1 Consumables: Itemised Budget for Consumable Materials</b>							
<b>Items</b>	<b>Unit Price</b>	<b>Quantity Needed</b>	<b>Amount</b>	<b>Justification</b>			
<b>Total</b>							
<i>All figures in Rupees in Lakhs</i>							
<b>Note #</b> As per DST norms and conditions mentioned in the <b>Annexure -A (OM: SB/S9/Z-33/2013 dated 24 February 2015)</b>							

2.2 Contingency				
Items	Amount	Justification		
<b>Total</b>				
<i>All figures in Rupees in Lakhs</i>				
<b>Note #</b> As per DST norms and conditions mentioned in the <b>Annexure -A (OM: SB/S9/Z-33/2015 dated 1 January 2016)</b>				
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				
<i>All figures in Rupees in Lakhs</i>				
2.4 Travel (International)				
Items (to attend)	Total Amount	Detailed Justification		
Total				
<i>All figures in Rupees in Lakhs</i>				
<b>Note #</b> As per DST norms and conditions for travel mentioned in the <b>Annexure -A (OM: SB/S9/Z-33/2015 dated 1 January 2016)</b>				
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
<b>Total</b>				
<i>All figures in Rupees in Lakhs</i>				
<b>Note #</b> Page/sheet indicating the total landed cost in Indian rupees ( <b>Ensure to mention Currency Exchange rate considered in case of imported equipment, freight, taxes, spares, special installation, etc.</b> ) Please project the actual cost taking into account reliable cost estimates as no cost revision would be admissible				

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

<b>Table 2 - Work Package</b>							
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							
<b>Total</b>							
<i>All figures in Rupees in Lakhs</i>							



<b>Table 3 - Financing</b>						
<b>Total budget for the project</b>						
<b>Financial Source</b>	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>	<b>Total</b>		
In-kind from project partners						
Cash from project partners						
Other public financing						
Other private financing						
Applied financing from ACT						
<b>Total</b>						
<i>All figures in Rupees in Lakhs</i>						
<b>Please add data for each partner in the project below</b>						
<b>Partner 1/Partner 2/Partner3/..</b>	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>			
Name of partner						
Country						
<b>Financial Source</b>				<b>Total</b>	<b>Comments / Specifications</b>	
In-kind						
Cash						
Other public financing						
Other private financing						
Applied financing from ACT						
<b>Total</b>						
<i>All figures in Rupees in Lakhs</i>						

<b>Table 4 - Cost Code</b>					
Please fill in cost figures according to the specified categories. Only data for the whole project without specifications for each partner					
<b>Partner</b>	<b>Year-1</b>	<b>Year-2</b>	<b>Year-3</b>	<b>Total</b>	<b>Comments / Specifications</b>
Private sector					
Institute					
Universities					
Other sector					
<b>Total</b>					
<i>All figures in Rupees in Lakhs</i>					

### **Other Required Information's**

**Organization details:**

- a. Designation of the financial authority in organization:
- b. Whether organization registered with Govt. of India, Public Financial Management System\* (PFMS):  
Yes/ No  
\*(see website: <https://pfms.nic.in/Users/LoginDetails/NewLayoutLogin.aspx>)
- c. 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)**

<b>A. Non-recurring cost:</b> Permanent Equipment as per quotations and GeM module will be permitted to procure.				
<b>B. Recurring costs</b>				
1	<b>MANPOWER:</b>			
	<b>S.No.</b>	<b>Manpower Position</b>	<b>Monthly Emoluments</b>	<b>Essential qualifications &amp; age limit, Selection Process &amp; Service Conditions for Scientific/ Technical Manpower</b>
	1	Research Associate – I	Rs. 47,000/- + HRA	As per DST OM. No. SR/S9/Z-08/2018 dated 30 <sup>th</sup> 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 <sup>st</sup> August 2019	
2	<b>OVERHEADS CHARGES</b>  (OM: SB/S9/Z-33/2015 dated 1 <sup>st</sup> 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	<p><b>CONSUMABLES</b> (OM: SB/S9/Z-33/2013 dated 24<sup>th</sup> February 2015)</p>	<p>Amount as per project requirement (justification through DST processes)</p>
4	<p><b>CONTINGENCIES</b> (OM: SB/S9/Z-33/2015 dated 1<sup>st</sup> January 2016)</p>	<p>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.</p>
5	<p><b>TRAVEL</b> (OM: SB/S9/Z-33/2015 dated 1<sup>st</sup> January 2016)</p>	<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	<p><b>OTHER COST</b></p>	<p>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.</p>
<b>GRAND TOTAL</b>		<p>Approx. <b>Rs.</b> 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](http://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 31<sup>st</sup> 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](http://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. Pls/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](http://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.

**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 and Category (SC/ST/OBC/General)
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#4 Call-2022** 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* (If already registered at PFMS)	

*\* As per the extant guidelines of Govt. of India, institutes are requested to register on PFMS website and inform unique agency code to facilitate the electronic fund transfer, if project is recommended. {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.

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

**Date**

**Place**

**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.

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# 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)**