

Indo-EU Integrated Local Energy Systems

FREQUENTLY ASKED QUESTIONS

1. What is the opening and closing dates of call for proposals?

The opening date is 5th May 2020 and closing on 1st September 2020 - 17h00 – Brussels Time(= 21h30 Indian Standard Time (IST)) for both EU and Indian applicants.

Note: Last date for submission of proposal in [DST Portal \(e-PMS portal\)](#) is 3rd September, 2020. Please refer Question No. 33 for more details.

2. What is Technology Readiness Level (TRL)?

Technology Readiness Level (TRL) scale is a means for measuring or indicating the maturity of a given technology/product/process at the beginning of the project.

3. What is the Technology Readiness Level expected for this call?

In this call, 'entry point' TRL should be 3 (experimental proof of concept) and a goal for the end of the project should achieve a higher TRL between 5 to 8, i.e. looking for a more **applicative** solution.

This means that this call is **not appropriate** for R&D-intensive projects, typical of products positioned in lower TRL levels.

4. How to self-assess and declare TRL?

The TRL assessment process begins with a meticulous check of the various TRL levels and definitions. [The TRL scale](#) is defined in Annex G of the Grant Agreement.

5. What impact is expected from the project proposals?

The supported projects are expected to contribute to all the following impacts:

- Validate solutions for decarbonisation of the local energy system while ensuring a positive impact on the wider energy infrastructure, on the local economy and local social aspects, and local air quality;
- Enhance the involvement of local energy consumers and producers, preferably by creating energy communities in the development and the operation of local energy systems and test new business models;
- Validate approaches, strategies and tools to safely and securely operate an integrated local energy system across energy vectors (electricity, heating, cooling, water, wastes, etc.) so that it is able to integrate higher shares of renewables (than it would in case of separate operation of infrastructures);
- Benchmark technical solutions and business models that can be replicated in many local regions and that are acceptable by local citizens.

6. What is the scope of the proposals expected under this call?

- Develop and demonstrate novel solutions which analyse and combine, in a well delimited system, all the energy vectors that are present and interconnect them,

where appropriate, to optimise their joint operation that is demonstrated by an increased share of renewables in and higher energy efficiency of the local energy system.

- Proposals should present a preliminary analysis of the local case as part of the content of the proposal and propose to develop solutions and tools for the optimisation of the local energy network, that also have a high replication potential across Europe and India.
- It should bring together all vital stakeholders: local consumers, small to medium industrial production facilities and/or commercial buildings should be involved in the projects from the start, preferably by creating energy renewable energy communities.
- Proposals should propose to develop solutions and tools for the optimisation of the local energy network, that also have a high replication potential across Europe and India.

7. As per Horizon 2020, project participation condition, at least 3 legal entities from three different EU member states or Horizon 2020 Associated Countries. Will European Commission count UK based entity as one of three legal entities?

Following the entry into force on 1 February 2020 of the EU-UK 'Withdrawal Agreement', the UK is no longer a member country of the European Union but a Third Country. The EU consists as from 1 February of 27 member states.

For the participation in Horizon 2020, however, it was agreed that during the transition period (Articles 127(6), 137 and 138), UK can continue to participate in EU programmes, including Horizon 2020, that are financed by the EU's 2014-2020 Multiannual Financial Framework (MFF) until their closure (i.e. for the lifetime of grants). For this call this means that entities from the UK (university, institute or company) **are eligible for participation and funding, as if it was a Member State.**

8. Do the Indian partners in a successful proposal need to sign a grant agreement with the European Commission or the European ones with the Department of Science & Technology (DST)?

No, Indian participants do not have to sign the Grant Agreement (GA) with the European Commission's Agency INEA (Innovation and Networks Executive Agency), and are not considered beneficiaries in this GA.

Instead, according to [Article 14a](#) of the Horizon 2020 General Model Grant Agreement, successful Indian participants will be named as 'international partners' in the Grant Agreement. The Indian participants have to comply with a number of obligations (such as record-keeping obligations on the scientific and technical implementation of the project, maintaining confidentiality, and promoting the action and visibility to the public funding). For this purpose, the participants are deemed to cover these obligations in the consortium agreement or through bilateral agreements between a beneficiary and an Indian partner.

9. Who are the eligible Indian entities for DST funding?

- Any Public or Private academia.
- Any National or State funded R&D Labs.
- Urban and Local Bodies.

- Non-academic R&D centers/ Research Foundations recognised as Scientific and Industrial Research Organization (SIRO) by DSIR.
- Darpan Portal registered not-for-profit (NGOs, Voluntary Organizations / Trusts) having minimum 3 years of existence and operational.
- Start-up companies registered in India by Indian Resident having valid registration and submission of certificate of incorporation issued under Indian Companies Act; and Start-up Companies issued registration certificate by Ministry of Commerce and Industry.
- An Indian Company registered under the Indian Companies Act, wherein 51% (or more) of the ownership / shareholding /partnerships shall be held by resident Indian citizen(s);
- Section 8 Companies as registered under the Indian Companies Act, 2013.

All Indian applicants should abide /comply with the terms & conditions of the grant of DST / Govt. of India ([Webnotice](#) – Annex 5, Pro forma – E). To be noted that all requirements and formalities to be considered an eligible entity have to be complied with at the time of the submission of the proposal.

10. When and how will the eligibility of the partners be checked?

The eligibility of the applicants will be checked shortly after the closure of the call. For Indian applicants eligibility conditions apply as described in the webnotice of the DST. For applicants from EU and associated countries, the eligibility conditions for Horizon 2020 apply as set out in the General Annexes to the latest Horizon 2020 work programme.

In order to avoid that projects will at a later stage be declared ineligible because of the ineligibility of participants or proposals in either legislation, all applicants are strongly advised to check their eligibility on beforehand.

11. What is the total budget available for funding?

The total available budget for this call is approximately €18 million; €9 million for European applicants and another €9 million approximately (equivalent in Rupees) for Indian applicants.

12. Is there any budget limit for a single project?

It is considered that proposals requesting a contribution from the EU of between EUR 2.5 to 3.5 million would allow this specific challenge to be addressed appropriately, to be matched by contribution from India/DST for Indian participants as per project requirement in Indian Rupees (₹).

Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

There is no fixed budget allocation between European and Indian participants. All requests for budget have to be necessary for the execution of the project and justified. Accordingly, consortia and individual partners should not "overclaim". This aspect will be duly considered during the evaluation under the 'implementation' criterion, which considers efficiency of the implementation where budget efficiency should be covered.

DST reserves the right to reduce the budget requested in the evaluated projects if the Indian applicants cannot justify effective use and provide the necessary documents / justifications and proof of requested budget.

13. Is there any requirement in terms of budget distribution per project between European and Indian partners?

No, there is no formal requirement. DST will fund the Indian consortium members as per requirement of the project, for the project duration up to 42 months. Budget should be commensurate with the workload, objectives of the project and cost of participation.

14. Can Indian partners be funded by Horizon 2020 or European ones by the DST ?

No. For this topic legal entities established in India can be funded through the DST and they cannot receive funding from Horizon 2020. Legal entities established in the EU and countries associated to Horizon 2020 can be funded through Horizon 2020 and do not receive funding from the DST.

In other words, the European entities are funded by the EU, while the Indian entities are funded by the DST.

15. What is the maximum quantum of DST funding?

- 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.
- Budgeted costs of the project to following entities subject to obligatory fulfilment of eligibility criteria.
- Funding to academic institutions both public & private or public funded research organisation / Research labs, and urban or other local bodies: DST will support 100% of the approved budget cost.
- Funding to Non-academia, Not-for-profit organization, Industry and Start-ups, Section 8 Companies: DST will support 50% of the approved budget cost in specified heads and the remaining 50% contribution shall mandatorily come from them. The funding will be made on reimbursement basis for achieving specific milestones. Funding will be in a phased manner depending on the progress of the project achieving desired milestones and subject to submission of audited accounts as per GFR 2017.
- Eligible Costs: Minor Equipment, Plant cost / Fabricated systems, Demonstration Models, Manpower, Consumables, Contingency, National Travel, International Travel, Other costs (Outsource work, field trials testing & standardisation etc.) and Overheads.

DST budget for Indian Participants have to be established in conformity with DST terms and conditions (Webnotice - Annexure 5, Pro forma - E), and filled in according to DST Budget Format and Templates (Webnotice - Annexure 2 and Annexure 5).

16. What is expected from academic institution / R&D labs / industry / Start-up?

This call aims to develop and demonstrate solutions which analyse and combine, in a well delimited system, all the energy vectors (electricity, heating, cooling, water, wastes, etc.) that are present and interconnect them, where appropriate, to

optimise their joint operation that is demonstrated by an increased share of renewables in and higher energy efficiency of the local energy system.

This could be achieved by translating research across the entire TRL in co-operation with academia / R&D Labs, industry / Start-up, and innovation-focused entities from the early inception of concept. This collaboration should extend to technology development and application.

Annotation:

Academic institutions are rich in intellectual resources and foster an environment conducive to original creative thinking.

Industry / Start-up is not only the end user but also the ultimate transformer of any R&D pursuit into a workable technology. They have necessary multifunctional skill sets, organizational structure and physical resources to transform concepts into commercialization. They are extremely focused and have precise skill sets to achieve the perfection of technology through scaling up, and system integration, which is their area of core competence.

Academic institutions have to continue doing basic research because that is their primary mandate. They should also worry about practical applications for the sake of public accountability. They survive on public money for their research and hence are morally duty bound to deliver at least a part of their overall output in the form of practical solutions to real life problems, directly benefiting people. This is good enough a reason to form alliance with industry as the role of industry is inevitable for the last mile coverage in a journey from laboratory to market; knowledge to wealth creation. Industry of course will have market driven reasons to form such alliances. Tapping the highest end techno - intellectual resources from academic institutions and using them intelligently can only be expected to add to their competitive advantage and higher top and bottom-lines.

Research laboratories operate in a zone somewhere between academic institutions and industry and thus provide a connectivity between basic research and technology deployment.

The role of Industry / Start-up should be to convert the prototype developed in the lab to a higher TRL level by utilising their field, societal & market experience to create a business opportunity.

This could be possible through collaborative partnerships amongst various stakeholders, the academic institution, R&D laboratories and industry / Start-up.

17. What should be the eligibility of the Indian investigators in academic institutions?

All investigators in academic institutions should produce a certificate from their administrative authority ensuring their continuance during the tenure of the project.

18. What is the IP policy for this call?

The provisions of IPR Annex of India-EU S&T Agreement would be guiding principles for IPR sharing arrangement between Indian and European consortium. Disputes should be settled by mutual agreement between the parties.

The participants shall jointly develop a Consortium Agreement (CA). The CA is a specific agreement to be concluded between the participants in joint research, defining, among other things, ownership, protection, user rights for research and development purposes, exploitation and dissemination, including arrangements for joint publication, the rights and obligations of visiting researchers and dispute settlement procedures. The CA shall also address foreground and background information, licensing and deliverables. For more information see [Annotated Model Grant Agreement, Article 41.3](#) and the [guidance on establishing a consortium agreement](#).

19. How to apply a proposal for this call?

All proposals should be submitted to the Horizon 2020 Funding & Tenders Portal, including the budget requested from DST, as well as to the DST online portal (e-PMS). In the absence of this, DST will disqualify the Indian participants from funding ([Webnotice](#)- Section 5).

The portal link is

<https://ec.europa.eu/research/participants/portal/desktop/en/funding/index.html>

20. Should a direct application also be sent to the Indian DST in addition to the Horizon 2020 application?

Yes, the detail of this are available on the Indian DST webnotice.

21. Do the Indian participants have to be included in Part A of the proposal?

Yes, Indian participants have to be named in Part A of the proposal in the same way as the European ones. The costs of the international partners in euros must be estimated in the budget table of Part A, but with the requested EU contribution set to zero (to get an overview of the overall project budget). But this is for information purposes only and the international partners are not required to report on their cost to the European Commission.

The detailed conditions for the Indian partners will be described in a webnotice by the DST of the Government of India.

22. Proforma A, B, C, E and F should be filled and submitted by all participating institutions/ Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies?

Yes, the Proforma A, B, C, E and F are to be filled and submitted by lead institute / all participating institutions/ Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies.

23. In Proforma C, it is required that bank account details be filled?

Yes, each and every partner has to mention the account details of where the funds from this scheme will be credited. Kindly note that only savings account details has to be given by academic institutions both public & private or public funded research organisation / Research labs, and urban or other local bodies.

24. Proforma D should be filled and submitted by all participating institutions/ Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies?

The Proforma D is to be filled and submitted by Non-academia, Not-for-profit organization, Industry, Startups and Section 8 Companies.

25. Registration in PFMS for submission of proposal?

Lead institute should register in the PFMS for submission of the proposal. For registering in PFMS, please send a request to jbvreddy.iles@gmail.com for unique code creation. DST will share a form with you. Kindly send the dully filled form by return mail. We will create the unique code and share with you through mail.

Due to the pandemic situation, Indian partnering institutions (except lead institute) / Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies can register in the PFMS at later stage.

26. What is the size limit of the entire proposal.

The maximum limit for entire proposal is 40 MB. Kindly ensure that the proposal should not be more than 40 MB.

27. What is the evaluation criteria of the proposals?

Proposals will be evaluated and scored between 0 and 5 for each of the **three criteria - excellence, impact, and quality and efficiency of implementation**. This call is 'Innovation Action' therefore the score for the criterion 'impact' will be given a weight of 1.5

The [Standard Evaluation Criteria](#) describe in detail the criteria used for each type of action.

28. Who will evaluate the proposals?

The proposals will be evaluated by independent experts. The evaluators will be bound to confidentiality and have declared the absence of any conflict of interest. They will be selected together by the DST and the EC. The funding authorities strive for a balanced representation of Indian and European evaluators on a best endeavours basis.

For details on the evaluation process, please refer to the respective sections in the Grant Manual.

29. How is budget efficiency evaluated during the evaluation process?

Under the criterion 'Quality and efficiency of the implementation', the evaluators will evaluate whether all participants have a valid role and adequate resources in the project to fulfil that role. Projects whose resources are not considered adequate by the evaluators will be marked accordingly.

In particular, the Indian DST has emphasized that budgets must not be exaggerated and offer value for spending.

30. How many projects could eventually be funded?

Three projects may be funded.

31. In e-PMS portal at the financial details tab what should be filled?

The lead PI-should fill the total project cost (consolidated budget of all the partners) requesting from DST in e-PMS portal at financial details tab.

32. What should I do when my bio data, conflict of interest, certificate from PI & other partners and endorsement from institutions/ Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies document size is more than the allowed size?

You can upload the lead institute details only at the specific tabs provided in the e-PMS portal. Final complete proposal which is to be uploaded in the e-PMS should include the bio data, conflict of interest, certificate from PI & other partners and endorsement from institutions/ Non-academia / Not-for-profit organization / Industry / Start - up / Section 8 Companies including the lead institute. Please refer Question No. 33 for more details.

33. In which portal the Indian applicant should upload project proposal?

Indian applicant should upload the project proposal in DST portal. The portal link is: <https://onlinedst.gov.in/Login.aspx>.

Indian 'Project Coordinator' should submit complete proposal, Part A + Part B + administrative and financial form (same as submitted on the Horizon 2020 Funding & Tenders Portal) as one single consolidated PDF file at e-PMS (<https://onlinedst.gov.in/Login.aspx>) along with other requisite documents including financial details and Proformas A to E.

Online e-PMS submission of proposal can be made until 3rd September 2020 at the latest. Size of the proposal should be 40 MB.

FAQs of onlinedst.gov.in can be seen at https://onlinedst.gov.in/Documents/UserGuideDocs/epms_FAQ.pdf

Guidelines for submission of proposal:
https://onlinedst.gov.in/Documents/UserGuideDocs/epms_PI_User_Guide.pdf

For any other information related to e-PMS you can send a mail to pmsd.dst@nic.in.