

**India-Sweden Collaborative Industrial Research &  
Development Programme 2020  
on  
“Smart Grid”**

**Request for Proposal (RFP), Common Application Form  
&  
Guidelines for Indian Participants**



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## India-Sweden Collaborative Industrial Research & Development Programme 2020

### Application Guidelines

Name of the Programme	<p><b>India-Sweden Collaborative Industrial Research &amp; Development Programme- Request for Proposal (RFP) 2020</b></p> <p>[Between Department of Science &amp; Technology (DST), Government of India and Swedish Energy Agency, Sweden]</p>
Important Dates	<p>Announcement Date of Request for Proposal (RFP): November 27, 2020</p> <p>Closing date of RFP : <b>May 20, 2021</b></p> <p>For Swedish Energy Agency, before 24:00:00 CET</p> <p>For DST, before 24:00.00 IST</p> <p>Announcement of Results: During November 2021</p>
Who Can Apply?	<p><b><u>Eligible Indian Applicants</u></b></p> <ul style="list-style-type: none"> <li>• The <b>Indian Project Coordinator (IPC)</b> must be a commercial (for profit) company under the Indian Companies Act 1956/2013, which operates in and is headquartered in India. The Indian Project leader must be employed at the IPC.</li> <li>• At least 51% stake of the IPC Company must be owned by Indian citizens.</li> <li>• The IPC should have the required expertise and team capacity to manage the proposed project.</li> <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 apply as Indian applicant and/ or receive funding from DST under this programme.</li> <li>• IPC should lead the project from Indian side and if required bring in other Industry Partners and/or Academic/R&amp;D Institutions (including not-for-profit research institutes recognised by DSIR/ registered at DARPAN portal) as Consortium Partner.</li> </ul> <p><b><u>Eligible Swedish Applicants</u></b></p> <ul style="list-style-type: none"> <li>• The <b>Swedish Project Coordinator (SPC)</b>, must be a company. SPC is responsible for the application submission in Sweden and towards the Swedish Energy Agency.</li> <li>• The Project Leader must be employed at the SPC.</li> <li>• SPC shall be a company that operates in Sweden and registered in the country.</li> <li>• Swedish research performing institutions (universities, colleges and research institutes) as well as test beds, public organisations, and other companies with operations in Sweden are encouraged to actively participate in the consortium.</li> </ul> <p>For each project there should be at least one Indian applicant (representing the team) and one Swedish applicant (representing the team). These are referred as IPC and SPC.</p> <p style="text-align: center;"><b><i>[Refer Annex-1: Eligibility Criteria and Annex-2: Project Requirements for more details]</i></b></p>
Eligible technology sectors	<p>The collaborative projects should be innovative and focussed on creating possibilities for future new technologies, services or processes that will eventually lead to commercialization.</p> <p><b>(1) This RFP 2020 is open to the applied R&amp;D projects in the area of: <b>Smart Grid</b></b></p> <p style="text-align: center;"><b><i>[Refer Annex-3: Eligible Technology Sectors for more details]</i></b></p>



Project funding support	<p>Funds will be provided in accordance with the national laws, rules, regulations and procedures established by each organization, and/or each jurisdiction/country.</p> <p><b><u>Funding for R&amp;D Project Participants in India</u></b></p> <p>Department of Science &amp; Technology (DST), Government of India, will fund the successful projects, as follows:</p> <ul style="list-style-type: none"><li>• Department of Science &amp; Technology will finance this call with a total amount of maximum Rs 18.0 Crore for the support of Indian partners.</li> <li>• <b><u>Case-I: Support for Consortium led by Private Sector Industries</u></b></li></ul> <p>DST will support up to 75% of project cost for joint consortium led by private Sector Industry. This will be subject to the following ceilings</p> <ul style="list-style-type: none"><li>➤ Funding support up to 50% of eligible costs for private sector Industries and Private R &amp; D organisations as grants.</li><li>➤ Indian Public Sector R&amp;D organisation/academic institution may receive up to 100% of their costs as grants.</li><li>➤ Funding support up to 75% for other non-economical organisations (such as voluntary organizations etc) as grants.</li><li>➤ Funding support up to 75% of eligible costs for public sector Industries as grants.</li></ul> <p><b><u>Case-II: Support for Consortium led by Public Sector Industries</u></b></p> <p>In the case of joint consortium led by public industries, up to 90% of support, will be admissible under applicable State Aid regulations as grants. This will be subject to the following ceiling:</p> <ul style="list-style-type: none"><li>➤ Funding support up to 80% of eligible costs for public sector Industries as grants.</li><li>➤ Indian Public Sector R&amp;D organisation/academic institution may receive up to 100% of their costs as grants.</li><li>➤ Funding support up to 75% for other non-economical organisations (such as voluntary organizations etc) as grants.</li><li>➤ Funding support up to 50% of eligible costs for private sector Industries/ R &amp; D organisations as grants.</li></ul> <ul style="list-style-type: none"><li>• Indian industry and other non-economical organisations (such as voluntary organizations /NGOs etc) may receive their part of the eligible costs on a “<b>Reimbursement Basis</b>”, for costs already incurred on a proportionate basis.</li> <li>• The maximum funding support for Industry will not exceed investment in plant &amp; machinery for manufacturing sector and investment in equipment for Service Sector (MSMED Act 2006 or any embedment from time to time).</li> <li>• Funding from other sources will be considered into account when awarding grant, and applicants will be asked to declare funding from other sources in the application.</li></ul> <p><b><u>Funding for R&amp;D Project Participants in Sweden</u></b></p> <ul style="list-style-type: none"><li>• Swedish Energy Agency will finance this call with a total amount of maximum 25 million Swedish Krona for the support of Swedish partners.</li><li>• Swedish Energy Agency will provide funding to Swedish participants as Grant under applicable State Aid regulation</li><li>• Grants are only given to organizations with operations in Sweden. The maximum aid</li></ul>
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	<p>intensity (funding levels, depends on type of research and size of company) which apply in this RFP are:</p> <ul style="list-style-type: none"> <li>• Up to 45% of eligible costs for commercial entities/companies,</li> <li>• Up to 100% of eligible costs for research organisations, public sector, other non-economical organisations</li> </ul> <p>The project activities approved shall be covered by Industrial Research and/or Experimental Development definitions in State Aid Rules (EU General Block Exception Rules, GBER)</p> <p align="center"><b><i>[Refer Annex-4: Project Funding Support for details]</i></b></p>
Finding a Partner	<ul style="list-style-type: none"> <li>• SEA/DST can support Swedish/Indian organisations regarding facilitating contacts and information about Indian/Swedish stakeholders. Please contact SEA/DST for further information. Both Parties will organise activities for potential applicants to meet physically or virtually, understand each others demand and expertise and match together for project formulation.</li> </ul>
Types of projects to be supported	<p><b>The following types of projects will be considered for programme funding:</b></p> <ol style="list-style-type: none"> <li>1. R&amp;D Projects, focused on co-development of new technologies, services or processes.</li> </ol> <p><u>Note:</u> The project partners should agree in advance on the IP rights and on the commercialization strategy of possible future products or processes.</p> <p align="center"><b><i>[Refer Annex-5: Application Submission Process and General Guidelines, Annex – 7- General Guidelines on Intellectual Property Rights (IPR) and Commercialisation plan for more details]</i></b></p>
Selection Criteria	<ol style="list-style-type: none"> <li>1. Projects must be innovative and market-driven, leading to the proposed development of a new technology, or process or new/improved services, leading to future possible commercialisation.</li> <li>2. Proposals must demonstrate the joint India-Sweden project teams’ capacity to manage the proposed project in their respective countries, and jointly with the counterpart project team.</li> </ol>
Project Duration	<p>The maximum duration for project support will be 2 years within the co-operation period between DST and SEA. Projects can start earliest January 1, 2022 and must end at latest December 31, 2023.</p>
Project Evaluation stages and process	<p>Projects will be evaluated according to the standard evaluation processes of Swedish Energy Agency (SEA) and DST in Sweden and in India, respectively. The final selection of the proposals will be through joint process mutually agreed by DST and SEA.</p> <p align="center"><b><i>[Refer Annex-6: Project Evaluation &amp; Pre-Commencement Process for more details]</i></b></p>



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**important Note:**

***Please do not leave your submission to the last minute.***

If any technical difficulties arise or if you identify any errors in your submission, we will not be able to grant an extension to the above deadlines.

It is your responsibility to ensure you follow the competition guidance rules and in doing so allow sufficient time to complete all of the competition requirements described in this document.



## **India-Sweden Collaborative Industrial Research & Development Programme Request for Proposal (RFP) 2020**

### **SUMMARY**

This Request for Proposals (RFP) is open for Indian and Swedish companies who jointly aim to develop new innovative technologies, processes and advanced or technology-based services which will in subsequent steps generate sustainable solutions for society coupled with market potential. The cooperation should be led by a commercial company in the respective country and the consortium could in addition include research performing organisations such as universities, research institutes or other similar entities.

The RFP closes on May 20, 2021. Projects can commence beginning of January 2022. Maximum 2-year projects, ending latest at December 31, 2023.

In this RFP, the partners in Sweden apply for funding from Swedish Energy Agency and Indian partners from Department of Science & Technology (DST). Accordingly, the respective national funding guidelines and terms and conditions are applicable, i.e. with respect to eligibility, approved costs and budget lines, reporting and other requirements (see the respective country-specific information below and in the respective funding body's guidelines, terms and conditions).

This document can be referred by the applicants for the following annexures in-line with the application guidelines:

1. **Annexure 1** – Eligibility Criteria
2. **Annexure 2** – Project Requirements
3. **Annexure 3** – Eligible Technology Sectors
4. **Annexure 4** – Project Funding Support
5. **Annexure 5** – Application Submission Process
6. **Annexure 6** – Project Evaluation & Pre-Commencement Process
7. **Annexure 7** – General Guidelines on Intellectual Property Rights (IPR)



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## **Annexure 1: ELIGIBILITY CRITERIA FOR APPLICANTS**

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### **IN INDIA**

The Indian Project Coordinator (IPC) must be a commercial company that operates in and is headquartered in India. (Researchers or managers of these companies should be nominated as project coordinators).

Specific criteria for eligible applicants are as follows:

1. The Indian Project Coordinator (IPC) company applying for the project must be incorporated in India under the Companies Act 1956/2013.
2. At least 51% stake of the IPC Company must be owned by Indian citizens.
3. The IPC should have the required expertise and team capacity to manage the proposed project<sup>1</sup>.
4. For each project at least one Indian & one Swedish applicants. If there are more than one applicant then one of them represent them as IPC/SPC.

#### ***Please note for Indian applicants:***

- IPC should lead the project from Indian side and bring in other Industry Partners or Academic/R&D Institutions (including not-for-profit research institutes recognised by DSIR/ registered at DARPAN portal) as Consortium Partner.
- Academic institutions, other R&D institutes (including not-for-profit research institutes recognised by DSIR/ registered at DARPAN portal) that are headquartered and operate in India are encouraged to participate in the projects as co-investigators/partners.
- 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 from DST under this program.
- All partners must be legal entities

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<sup>1</sup>Where business entities are participants in a project, but with no initial involvement in R&D activities, the project must show a plan of how capabilities are going to be developed in the business entity in the following years in order to:

- perform future R&D projects
- develop the human resource capability within the business
- take technologies that are being developed to market
- develop new intellectual property, and
- enhance the Indian technology-based companies ecosystem.





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## Annexure 2: PROJECT REQUIREMENTS

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A consortium of Indian and Swedish participants proposing an R&D project that meets the requirements in this section is eligible to apply to this RFP and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

Any team proposing an R&D project that addresses the requirements detailed below is eligible to apply to this RFP:

- An Indian registered company Project Coordinator (**IPC**), responsible for the Indian application submission, leading the Indian part of the project and communicating with the Swedish Project Coordinator. Project Investigator (PI) will be an individual duly authorised by IPC to this project.
- A Swedish registered company Project Coordinator (**SPC**), responsible for the Sweden application submission, leading the Swedish side of the project and communicating with the Indian Project Coordinator.
- For the Swedish and Indian side, a well-balanced input from the participants is desired.
- The project budget should be balanced between the Swedish and the Indian partners.
- Cost estimates must be congruous with the planned activities. The planned activities in the project should thus be clearly presented in the proposal.
- From the Swedish side, projects must be in conformance with the definitions of 'industrial research'<sup>2</sup> and/or 'experimental development'<sup>3</sup> of the General Block Exemption Rules, article 25, of EU and have a good potential to be commercialised after the completion of the project.
- Projects must be innovative and market-driven, leading to the proposed

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<sup>2</sup>**'Industrial Research'** means the planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of components parts of complex systems, and may include the construction of prototypes in a laboratory environment or in an environment with simulated interfaces to existing systems as well as of pilot lines, when necessary for the industrial research and notably for generic technology validation.

<sup>3</sup>**'Experimental Development'** means acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aiming at the conceptual definition, planning and documentation of new products, processes or services. Experimental development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real-life operating conditions where the primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development of a commercially usable prototype or pilot which is necessarily the final commercial product and which is too expensive to produce for it to be used only for demonstration and validation purposes. Experimental development does not include routine or periodic changes made to existing products, production lines, manufacturing processes, services and other operations in progress, even if those changes may represent improvements.



development of a new technologies or processes or new/improved services, with a strong potential to future commercialisation.

- On the Indian side, the projects should be committed in advancing the Technology Readiness Levels (TRL) between 5-8 for the products. However, for new processes or technologies, the project should be capable for creation of low-cost alternatives of an existing technology.
- On the Indian/Sweden side, should there be any change in the Project Investigator (PI) of the IPC/SPC, liability on account of the project will continue to rest with the IPC/ SPC. The IPC/SPC shall ensure that the project is staffed with personnel of relevant qualification, experience and capability, as required, till project completion, so that the project execution is not impeded.
- Proposals must demonstrate the joint India-Sweden project team's capacity to manage the proposed project in their respective countries and the modes for coordination between the two sides. The participants shall have an organisation appropriate to ensuring effective implementation of the project.
- Although it is not mandatory, projects that engage an end-user/first customer are strongly encouraged on either side of the consortium.



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### **Annexure 3: ELIGIBLE TECHNOLOGY SECTOR**

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Department of Science & Technology (**DST**) India and Swedish Energy Agency (**SEA**) Sweden, invite proposals in collaborative industrial research and development projects in the area of Smart Grid. The call includes applied R&D projects focused on co-development of new technologies, services or processes to address challenges within the context of electrical smart grid.

A digitalized, flexible and interactive power system will make it possible to use energy more efficiently. It will also enable integration of an increased share of renewable energy production, including small scale production. Smart grids empower consumers and give all stakeholders in the electricity market the opportunity to contribute to a sustainable energy system.

The electrical system will play a key role in creating a carbon neutral society. The electrical smart grid is needed to cope with an increased need for energy and power from new and existing sectors, but also support increased flexibility such as the possibility of storing surplus energy. At the same time, a high security of supply needs to be ensured.

The challenge is how we can carry out the development and transformation of the power system from a holistic perspective so that it not only enables, but also facilitates, changes in the transport sector, building sector, industry and other sectors prioritized by both countries. Critical aspects are integration of renewable energy, grid security, flexibility, digitalization, integration of local systems together with national grids, end users including “prosumers” and integration to other systems such as the building sector, transport sector and industry. All these aspects and perspectives related to smart grids can be in focus, in various combinations, for applications within this call.



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## **Annexure 4: PROJECT FUNDING SUPPORT**

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DST and the Swedish Energy Agency will implement a joint, merit-based project evaluation and selection process using their respective assessment processes.

Funds will be provided in accordance with the applicable laws, rules, regulations and procedures established by each organisation, and/or in each jurisdiction/country.

### **IN INDIA**

Department of Science & Technology (DST), Government of India, will fund the successful projects, as follows:

- Funding support for the project must be balanced by Indian Industry and other partners. The share of Indian Public Sector R & D Organisation /Academic Institution/Other Non-economical organisation could be up to 50% (maximum) of the total Indian project cost.
- The funding award will be basis appropriate due-diligence and expert evaluation.
- Funding from other sources will be considered into account when awarding grant, and applicants will be asked to declare funding from other sources in the application.
- Following award notification, DST will advise the IPC of all administrative and legal requirements to be addressed prior to the start of the project and the release of funds. The general guidelines on intellectual property rights (IPR) is enclosed at Annexure - 7, which will be discussed with consortium partners.

### **IN SWEDEN**

Swedish Energy Agency will provide funding to Swedish side participants as grants. Grants are only given to organizations with operations in Sweden.

Swedish Energy Agency funding is through grants and thus subject to certain regulations. These regulations control, among other things, the types of costs that may be covered and aid intensity. Eligible costs are described in “Swedish Energy Agency General Terms and Conditions for Grants”, as applicable on the date of decision. The rules are elaborated in more detail in “Swedish Energy Agency” Guide to Terms and Conditions for Eligible Costs”<sup>4</sup>. The documents can be accessed from the Swedish Energy Agency website. The General Terms and Conditions also contain regulations concerning project agreements, reporting, follow-up, auditing, handling of project results IP, conditions for payment and more.

Grants issued to businesses and other organizations that conduct commercial activities are provided in accordance with the Regulation on State Aid for Research and Development and Innovation (2008:761) and under which Swedish Energy Agency

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provides grants covering a certain percentage of recipients' eligible costs. Guidelines on this is found at Swedish Energy Agency website<sup>5</sup>.

The types of project activities approved in this RFP shall be covered by Industrial Research (Industriell forskning) and/or Experimental Development (Experimentell utveckling) definitions, see Annex 2.

In addition to the General Terms and Conditions, Specific Terms and Conditions may be applied. For this RFP, the following Specific Terms and Conditions applies:

- No later than at the time of the first progress report to Swedish Energy Agency, the Swedish Project Coordinator must be able to verify the existence of a Consortium agreement (referred to as a Project agreement in the General Terms and Conditions) signed by all project partners. No grants will be payed before the consortium agreement has been approved by the Swedish Energy Agency.

Additional specific terms and conditions may also be imposed. Any such terms and conditions will be specified by Swedish Energy Agency in its decision.



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## Annexure 5: APPLICATION SUBMISSION PROCESS & GENERAL GUIDELINES

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### **IN INDIA**

1. The application must reflect collaborative, synergised and a balanced effort from both the IPC and SPC, be written in English, and submitted using the prescribed process.

2. **Registration and submission of application**

- The Indian Project Coordinator (IPC) need to visit the DST “DST e-PMS Portal” website <https://onlinedst.gov.in/>.
- Log on [onlinedst.gov.in](https://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.
- 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.
- 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.
- Click on “**Submit proposals**” link which would take to a page seeking multiple information starting with – General information, Principal investigator etc.:
- 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 is 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**.

3. Indian Partners also requested to go through the **Guidelines for Indian participants attached with this document for additional requirement for online submission** at DST e-PMS.

4. **Mandatory attachments:**

- Joint Application Form (pdf), filled in according the instructions here and in the form and identical to the one submitted by the Sweden side to SEA. The application form must reflect collaborative, synergised and a balanced effort from both the SPC and IPC and be written in English.
- CV – Appendix: Shall include relevant information for project leader and key personnel on the Indian side of the consortium, including those in consultant roles.



- Last three-year annual (technical & financial) report, from the company acting as Project Coordinator and other private sector non-academic participants on the Indian side.

#### 5. **Formal requirements**

DST will only assess proposals that meet the following formal requirements:

- The participants seeking grants from DST must be legal entities registered in India.
- The Indian Project Coordinator must be regular employee of IPC.
- The proposal follows the requirement for this RFP and contains all the mandatory attachments requested.
- The application must have been submitted online within the specified deadline of this call. After deadline of the submission process, no modifications to the proposal can be made. It is the responsibility of IPC to submit the proposal well in advance of stated deadline. Request to accept the proposals due to inability to submit the proposal in time due to last minute server issues will not be entertained.

Please note that the proposal may be assessed by both DST and international evaluators. Therefore, the proposals should be written in English.

#### 6. **Who can read the application?**

The proposal can be read by DST staff and by DST external evaluators appointed for the RFP. They all work under the obligation of professional secrecy.

#### 7. **Follow-up and reporting**

The reporting to DST shall be made in accordance with DST instructions. Participants shall also after the end of the project provide information in accordance with DST instructions.

8. Only online mode of submission of application will be considered. Nophysical applications will be entertained.



## **IN SWEDEN**

### **1. Submission of application**

A person who submit the application must be authorized to do so on behalf of the applying organisation.

To apply for a grant, you fill in web-based form in Swedish Energy Agency e-services portal E-kanalen. Only the Swedish participants should be included in the on-line application form with, for example, contact information and budgets.

You will also upload the following required documents. The documents must be written according to the instructions.

#### **Mandatory attachments:**

- Joint Application Form (MS Word document), filled in according the instructions here and in the form and identical to the one submitted by the Indian side to DST. The application form must reflect collaborative, synergised and a balanced effort from both the IPC and SPC and be written in English.
- CV – Appendix: Shall include relevant information for project leader and key personnel on the Swedish side of the consortium, including those in consultant roles.
- Latest annual report, registered at “Bolagsverket”, from the company acting as Project Coordinator on the Swedish side. Contact Swedish Energy Agency if you have any questions concerning this.
- One document in 12 pt Times Roman, presenting:
  - A table with an overview of personnel resources involved, gender distribution within the team on the Swedish side, including a presentation of how much men/women contribute to the work and their roles to the project (as Full Time Equivalents). A possible imbalance in this regard should be explained in a credible way.

### **2. Formal requirements**

Swedish Energy Agency will only assess proposals that meet the following formal requirements:

- The participants seeking grants from Swedish Energy Agency must be legal entities registered in Sweden
- The Project leader (projektledare) is employed by a company that is Project Coordinator
- The proposal follows the requirement for this RFP and contains all the mandatory attachments requested
- The application must have been sent in within the specified deadline of this call.

Please note that the proposal may be assessed by both Swedish and international evaluators. Therefore, the proposal should be written in English.



Proposals should be submitted to Swedish Energy Agency before the deadline of this call. When the proposal submission period has expired, any addition to the proposal can only be made at the request of Swedish Energy Agency.

### **3. Who can read the application?**

The proposal can be read by Swedish Energy Agency staff and by Swedish Energy Agency external evaluators appointed for the RFP. They all work under the obligation of professional secrecy.

### **4. Public access and Secrecy at Swedish Energy Agency**

Applications related to this RFP are public documents. As a rule, in accordance with the principle of public access to official records, the public has the right to access these documents. This also applies to applications that are rejected or withdrawn. Swedish Energy Agency decisions and the reasons for its decisions are also public information. More detailed information about confidentiality rules apply to documents submitted to us can be found on the Swedish Energy Agency website.  
<https://www.energimyndigheten.se/en/>

### **5. After the Project has been approved for funding**

No later than at the time of the first progress report to Swedish Energy Agency, the Swedish Project coordinator must be able to verify the existence of a Consortium agreement (referred to as a Project agreement in the General Terms and Conditions) signed by all project partners.

### **6. Follow-up and reporting**

The reporting to Swedish Energy Agency shall be made in accordance with Swedish Energy Agency decision and instructions. Participants shall also after the end of the project provide information in accordance with Swedish Energy Agency instructions and requests.



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## **Annexure 6: PROJECT EVALUATION AND PRE-COMMENCEMENT PROCESS**

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### **Evaluation criteria:**

1. How well the suggested project corresponds to the defined theme of the call
2. Is there a clear future market need for the intended technology, product or service
3. Novelty of Technology in relation to state of the art
4. Novelty of process / functionality /integration/service in relation to state of the art
5. Technology maturity stage / proof of concept
6. Technical Capability (team, infrastructure etc.)
7. Ability to deliver/complete the project
8. Financial Capability/Health of the project, including possible ways to fund the project to market entry
9. Project Balance in terms of costs and efforts between the IPC & SPC
10. Commercialisation potential.
11. How well the team (key persons) is composed regarding gender distribution, including how power and influence between women and men is distributed. Any imbalances need to be commented on and goals related to gender equality should be described

### **Evaluation and Pre-Commencement Process**

#### **STAGE 1**

Eligibility check of the IPC/SPC and their Partners based on published eligibility criteria of this call. by DST and SEA respectively. The eligible projects will move to the next stage.

#### **STAGE 2**

Projects will be peer reviewed and ranked independently by the Indian/ Swedish expert panel.

#### **STAGE 3**

DST-SEA Joint committee to make collective recommendation on projects selected for award.

#### **STAGE 4**

Announcement of awarded projects for funding.

#### **STAGE 5**

Signing of Memorandum of Understanding (MOU) between consortium partners of awarded projects.

### **IN SWEDEN**

Swedish Energy Agency will only assess proposals that meet the **formal requirements** (Annexure 5). Projects will be evaluated according to the evaluation criteria in the call.



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## **Annexure 7: GENERAL GUIDELINES ON INTELLECTUAL PROPERTY RIGHTS (IPR)**

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The regulation of ownership and access rights to Background and Foreground shall be entered into the Consortium Agreement and include provisions regarding inter alia:

- (i) The Participants in a project shall ensure appropriate protection of Intellectual Property Rights (“IPR”) generated from cooperating pursuant to the joint project approved under India-Sweden Request for Proposals (RFP) consistent with their respective laws, rules and regulations.
- (ii) “Background” means any data, know-how or information whatever its form or nature, tangible or intangible, including any rights such as IPR, which is:
  - a) held by Participants prior to their accession to the action,
  - b) needed for carrying out the action or for exploiting the results of the action, and
  - c) identified by the Participants.
- (iii) Each Participant is and shall remain owner of its Background.

The Parties shall declare that to the best of their knowledge and belief, that the use of the Background or Foreground in connection with the cooperation does not infringe any third party’s valid Patent Right/Intellectual Property Rights. The validation and verification in context of the project, is to be carried out with much sensitivity and precaution by Parties to avoid all kinds of infringements of rights. The Parties will be jointly responsible for the Joint Foreground and each Participant is responsible for their own respective Background and/or Foreground. Each participant is responsible for any kind of legal implications emanating from infringement by it, as set forth in the Consortium Agreement.

- (iv) A Participant that holds Background is, until the signing of the Project Agreement, or by special agreement with the Participants, entitled to exclude Background from a Participant's right pursuant to this section as per mutual agreement.
- (v) “Foreground” means any tangible or intangible output of the action, such as data, knowledge or information, that is generated in the action, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including IPR, as a result of performing the activities under the Consortium Agreement.
- (vi) If, for the implementation of the project, a Participant needs access to or use of another Participant's Foreground, that Participant shall be entitled thereto to the extent necessary without paying compensation. If, for the implementation of the project, a Participant needs access to or use of another Participant's Background, that Participant shall be entitled thereto to the extent necessary.
- (vii) Unless otherwise agreed, if a Participant, in order to use its own Foreground (also including jointly owned Foreground), needs access to or use of another Participant's



Foreground or Background, that Participant shall be granted such rights to the extent necessary.

- (viii) Unless otherwise agreed, Foreground shall be owned by the Participant generating it. Where Participants in an action have jointly generated Foreground, and where their respective contribution to the joint Foreground cannot be ascertained, or where it is not possible to separate such joint Foreground for the purpose of applying for, obtaining or maintaining the relevant IPR protection, they shall have joint ownership of that Foreground. In case of Joint Foreground, the Participants should apply as co-applicants, unless otherwise agreed, for the protection of intellectual property rights in accordance with the terms and conditions of the Consortium Agreement and in accordance with their obligations under Grant/Funding Agreements with the respective funding organisations.

The non-exclusive licenses to third parties to exploit the jointly owned Foreground, without any rights to sub-license, can be granted subject to the following conditions:

- a) Agreement between the Joint owners,
  - b) prior notice shall be given to the other joint owners;
  - c) fair and reasonable compensation shall be provided to the other joint owners. If employees or any party working for a Participant are entitled to claim rights to the Foreground generated, the Participants concerned shall ensure that it is possible for those rights to be exercised in a manner compatible with its obligations under the Grant/Funding Agreement with the respective funding organization. The Participants shall use the Foreground in accordance with a plan for use. Use means, for example commercialization, licensing and publication. In case of publication consideration shall be taken to a Participant's need of protecting intellectual property and trade secrets.
- (ix) Commercialization: The Parties shall agree in advance on the ownership, management and commercialization strategy. License rights, manufacturing rights, marketing responsibilities, ownership of technology and other related commercial strategies for the outcome of this joint project.

**Confidential Information:**

- (x) All information and documents exchanged between the Participants shall be kept confidential by the Participants and shall be used subject to such terms as each Participant may specify, subject to the Participants respective applicable laws, regulations, rules and procedures.
- (xi) The Participants shall not use the information for purposes other than those specified, without the prior written consent of the other Participant.

\*\*\*\*\*

**INDIA-SWEDEN COLLABORATIVE INDUSTRIAL RESEARCH & DEVELOPMENT  
PROGRAMME 2020  
COMMON APPLICATION FORM**

## Application Details

### How to complete and submit this form

Please check the Request For Proposal (RFP) – Terms, Conditions and Guidelines for Application before completing this form, it will provide valuable information and tips on how to answer each section.

**Please ensure you submit your application Online** and include all required documentation for the relevant stage of the RFP. Details of any additional documentation required (includes appendices & documents) are included in the Request For Proposal (RFP) – Terms, Conditions and Guidelines document.

Additional documents may be required for applicants - for detailed guidelines and instructions, refer to the Request for Proposal (RFP) document.

**Do not provide narration of the technicalities involved. Only provide the quantitative description that can be quantified and measured. Please provide concise answer.**

### Request For Proposal

Project title: \_\_\_\_\_

Project timescales Estimated start date: \_\_\_\_\_ Duration: \_\_\_\_\_ months

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### Contact Information - Lead Project Participants (has to be from Industry mandatorily)

Indian Project Coordinator (IPC) name: \_\_\_\_\_

Swedish Project Coordinator (SPC) name: \_\_\_\_\_

Project Leads contact details: \_\_\_\_\_

	India (Lead)	Sweden (Lead)
Name of the Organisation		
Parent Organisation		
Contact Person		
Department		
Position/Designation		
Registered Address of the Organization		
Corporate Address of the Organization		
Project Location		
E-mail Address		
Alternate Email Address		
Office Phone Number		
Cell Phone Number		
Technology Sector of the organization		
Technology Subsector of the organization		
Registration number of the organization		
Date of registration of the organisation		
No. of Employees		

**Contact Information – Other key participants/co-investigators from industry, academia, or government**  
(wherever applicable)

Sweden/Indian Partner Details (Separate Table for Each Partners)

Name of the Partners Organization	
Contact Person	
Department	
Position/Designation	
Registered Address of the Organization	
Corporate Address of the Organization	
E-Mail Address	
Alternative Email Address	
Office Phone Details	
Cell Phone Details	
Website of the Organization	

## 1. Executive Summary of Project

### Section 1

- A brief **Overview & Objective** of the entire project that describes the product/technology/ service that you intend to develop in partnership with all partners (both India & Sweden) mentioning the key issues to be addressed and related risks and mitigation.

### Section 2

- Snapshot of the **Project Budget** (total budget and total grants applied for).

Maximum 1500 words (including Graphs, Pictures, Tables in form of Images)

## 2. Background and Motivation, Project Description, Innovation Proposed & Associated Challenges

### Sub-section 2.1

#### Background and Motivation

- Describe the Background and Motivation and market need to justify the need of the proposed project concept/ Innovation (endorsement / supporting letters by large consumers / users will be appreciated).

### Sub-section 2.2

#### Project Description

- Detail of the entire project idea that describes the product/ technology/ service that you intend to develop in partnership with all partners (both India & Sweden) along with Flow Charts and related approach plan.

### Sub-section 2.3

#### Scope of Work (in Tabular Form)

- Provide detailed **Scope of Work** and related sub-activities under each broad heads of Scope of Work

\*Please provide this information as per the below table.

### Sub-section 2.4

#### Innovation proposed

- Specify and explain the degree of Innovation and **Technology Readiness Level (TRL)** of your proposed project concept in the context of the current Technologies available in the market.

\*Kindly refer to the TRL Chart below

### Sub-section 2.5

#### Proof of Concept and Targeted Market

- Provide the necessary details of any Proof of Concept or Requisite level data captured/available for taking up this proposed project.
- Specify and explain if there is any background patent available with any of the project/consortium partners.
- Describe the potential market targeted through the proposed project concept.

### Sub-section 2.6

#### Technical Challenges & Mitigations

- Discuss the possible technical challenges involved in the proposed project concept and its mitigation plan.

\*Please explain all sub-sections in Maximum 250 words each.

\*you are requested to insert Graphical, Pictorial and Tabular representation where applicable (to be inserted in form of picture format) of your concept / explanation / narration in all above sections for comprehensive and better understanding of your project concept / approach and other modalities.

For **Sub-section 2.3** the following table needs to be filled:

S. No.	Broad Scope of Work	Sub-Activities
1.		
2.		
3.		

TRL Chart will go as reference.

Technology readiness level (TRL)	1	2	3	4	5	6	7	8	9
<b>Activity</b>	<b>Discovery &amp; Research</b>		<b>Innovation</b>					<b>Commercialisation</b>	
TRL description	Basic principles observed and reported	Concept or application formulated	Experimental proof of concept	Concept or process validated in laboratory	System or component validated in relevant environment	System model or demonstrator in relevant environment	System prototyping demonstrator in an operational environment	Actual system completed and qualified test & demo operational environment	Actual system mission-proven in successful mission operations

### 3. Partners/Sub-contractors Roles & Responsibilities, Project Milestones and Deliverables

This section should describe the following important components:

- 1 Key **Roles & Responsibilities** of each Partner in the context of the agreed Scope of Work, **Key Milestones** and related **Timeline** (as per the tabular format attached below)
- 2 Expected **IP/results** to be generated through this proposed project & details of the agreement on **IP sharing mechanisms** (maximum 300 words)

#### 1. Please fill out the table below

S.No	Broad Scope of Work	Sub-Activities	Deliverables	Duration	Milestones	Responsible

#### 2. IP Sharing Arrangement

#### 4. Project Teams: Indian & Swedish

- *This section consists of a short one or two sentence bullet describing each of the core members of the team.*
- *Each bullet should provide the name of the Team member, their role in the organization, and highlights of their relevant skill or career experience*
- *Discuss the entire team as a whole (including: the balance of the partnership; key complementary qualifications of partners; and added value through cooperation such as ability to share risks, costs, know-how, and benefits)*
- *If you have worked with the partner(s) identified (IPC or SPC) in the past, please provide details of such engagement(s).*

S. No.	Name	Designation, Organisation	Qualification/ Experience	Principle Area of Focus in this Project

#### Entire Team

(Maximum 250 words for this section)

## 5. Financial Statement

### Table Costs

Budget and Duration	Budget (€ / INR)	Cost Category	Year-1 (2022)		Year-II (2023)		Total	
			India	Sweden	India	Sweden	India	Sweden
		<b>Capital Cost (Non-Recurring)</b>						
		<i>Equipment (Minor Research)</i>						
		<b>General Cost (Recurring)</b>						
		<i>Research Manpower</i>						
		<i>Consumables</i>						
		<i>Contingencies</i>						
		<i>Travel (Domestic)</i>						
		<i>Travel (International)</i>						
		<i>Other cost (must be specified)</i>						
		<i>Overhead/ Project Management</i>						
		<b>Total</b>						

### Table Financing

Financial Source	Year-1 (2022)		Year-II (2023)		Total	
	India	Sweden	India	Sweden	India	Sweden
Cash from project partners						
Other public financing						
Other private financing						
Applied financing from Call						
<b>Total</b>						
Partner 1/Partner 2/Partner3/...	Year-1 (2022)		Year-II (2023)		Total	
Name of partner:	India	Sweden	India	Sweden	India	Sweden
Cash						
Other public financing						
Other private financing						
Applied financing from Call						
<b>Total</b>						

## Statement of Cooperation & Certification

The form must be co-signed by at least one industry participants from each Sweden and Indian side.

The participants signing below intend to co-operate within the project as described in this form with the aim of realizing the technical developments as set forth. In addition the participants have or will put in place, a formal cooperation agreement (including IP arrangement) prior to start of the Project.

	<i>Indian Project Lead</i>	<i>Swedish Project Lead</i>	<i>Partner 1 (if any)</i>	<i>Partner 2 (if any)</i>
<b>Name of Organization</b>				
<b>Signature (Authorized Signatory)</b>				
<b>Name of Signatory</b>				
<b>Designation of Signatory</b>				
<b>Seal of Organization</b>				
<b>Place</b>				
<b>Date</b>				

**India-Sweden Collaborative Industrial Research & Development  
Programme 2020 on 'Smart Grid'**

**Guidelines for Indian Participants**

## Guidelines for Indian Participants

### 1. Preparation of Financial Requirement Schedule by Indian Participants:

- 1.1 Indian participants **MUST** submit financial requirements in **Indian Rupees** for duration of the project.
- 1.2 The detailed financial requirement for each Indian participant in the project must be specified according to format provided by DST in **ANNEXURE-8**: Indian applicants must also upload their budget in DST format.
- 1.3 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 **ANNEXURE-8**).

### 2. DST Terms and Conditions for Indian Applicant:

- 2.1 Indian applicants should follow the DST's Terms and Conditions. [**as per ANNEXURE-9**]
- 2.2 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.
- 2.3 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.

### 3. List of supporting documents along with the application submission by the Indian applicants for online submission at DST e-PMS:

1. Completed Full Project Proposal in Application Form along with all annexures (signed and stamped by Authorized signatory) and attachments as mentioned in project guidelines.
2. Details of existing Manufacturing/Testing facility relevant for this project, with important details, for example of Equipment/Functions for the project available on both (India-Sweden) sides.
3. Biodata of each Indian Partners (max size 800KB) [**as per Proforma-I**]
4. Certificate from Indian Project Investigator(s) (max size 800KB) [**as per Proforma-II**]
5. Endorsement from Head lead Industry & partnering Organisation (on letter head) (max size 800KB) [**as per Proforma-III & IV**]
6. Declaration regarding Conflict of Interest (max Size 800KB) [**as per Proforma-V**]
7. Share Holding Pattern of the Company (highlighting the Foreign Investment, if any) [**as per Proforma-VI**]
8. Registration Certificate of all project partners, including Academia/R&D Labs, issued by competent authority.
9. In case of in-house R&D Centres, all relevant certificates from stakeholders, competent authority relevant for in-house R&D, Defence Manufacturing & production should be submitted.
10. Audited Annual Reports (including Income Tax Return, Balance Sheet, and Profit & Loss Account & Auditor's Reports) of all Consortium partners for the last three Financial Years.

11. Know Your Customer (KYC) documents of all Consortium partner(s). KYC means Identity & Address proof of the organization which includes Company PAN Card, Electricity Bill, etc.)
12. Copy of all relevant Certification like CMMI, ISO, etc. if any.
13. The partners have to sign a Memorandum of Understanding (MoU) between All Consortium Partners after announcing the award of the project before release of any funds. This MoU should broadly cover the following points:
  - I. Percentage sharing of IP Rights on new product/process/knowledge being developed/ created/invented during this collaborative R&D Process.
  - II. Background IP's of the partnership (If Any) to be used for this projectscope.
  - III. Probable/possible market for the new product/process/knowledge & rights to manufacture/License in the respective market for the period of Time (time span)
  - IV. Dispute and arbitration clause
  - V. Exclusivity and Non-Exclusivity rights if any
  - VI. Duration of this agreement in force

#### 4. 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 before the DST last date of submission. The procedure for online submission at DST e-pms portal is mentioned at **Annexure 5: Application Submission Process & General Guidelines in Sweden-India call document.**

## ANNEXURE- 8

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

#### Declaration as per DST requirements

\*\*\*\* Note \*\*\*\*

#### Instructions to Indian Project Coordinator (IPC)

- ❖ IPC need to submit consolidated budget table for all the Indian collaborating partners.
- ❖ They also need to submit detailed budget table for each of the collaborating Indian partners.
- ❖ Details and Justification of proposed expenditure should be provided for each head.
- ❖ All figures must be in Indian Rupees.
- ❖ Save the complete application form (consolidated proposal and other requisite information) as a single pdf file and upload it in e-PMS (<https://onlinedst.gov.in/>).
- ❖ PI is requested to **kindly Note the TPN Number**, which is autogenerated after uploading the proposal on e-PMS portal.
- ❖ In addition to above, save the budget form (Excel file) and fill up the endorsement and contribution letters (scanned copy) and email to **Dr. Sanjai Kumar**, Scientist 'D', Technology Mission Division (E&W), DST at [sanjai.k@gov.in](mailto:sanjai.k@gov.in)
- ❖ Please also mention the **TPN as reference in the subject of all Email to DST.**

## Tables for Partner's Information and Budgeting

<b>Table A - Key project information</b>	
Please provide the information	
<b>Project title</b>	
<b>Project coordinator</b>	
<b>Project period</b>	
Start date	
End date	
<b>Budget</b>	
Total budget (Indian Rupees)	
Applied funding (Indian Rupees)	

<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	
Web site	
Main contact person	
E-mail address	
Phone	

<b>Table 1 - Cost</b>			
<b>Total budget for the project</b>			
Cost Category	Year-I	Year-II	Total
<b>Capital Cost (Non-Recurring)</b>			
<i>Equipment (Minor Research)</i>			
<b>General Cost (Recurring)</b>			
<i>Research Manpower</i>			
<i>Consumables</i>			
<i>Contingencies</i>			

Travel (Domestic)				
Travel (International)				
Other cost (must be specified)				
Overhead/ Project Management				
<b>Total</b>				
<i>All figures in Rupees</i>				
<b>Please add data for each partner in the project below</b>				
<b>Partner 1/Partner 2/Partner3/..</b>				
Name of partner				
<b>Cost Category</b>	<b>Year-I</b>	<b>Year-II</b>	<b>Total</b>	<b>Comments / Specifications</b>
<b>Capital Cost (Non-Recurring)</b>				
Equipment (Minor Research)				
<b>General Cost (Recurring)</b>				
Research Manpower				
Consumables				
Contingencies				
Travel (Domestic)				
Travel (International)				
Other cost (must be specified)				
Overhead/ Project Management				
<b>Total</b>				
<i>All figures in Rupees</i>				

**Note # 1:**

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

**Note # 2:**

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

**Table 1.1 – Itemized Cost Details**

Please add data for each partner in the project below

Partner 1/Partner 2/Partner3/..

Name of partner

City:

**1. Equipment (Minor Research) Cost**

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

*All figures in Rupees*

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

**2. Personnel (Research Manpower)**

**Personnel (Research Manpower)**

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

**Note #** Refer DST guidelines for Research fellow and other Manpower Educational Qualification, Experience, Emoluments etc as mentioned in the respective **DST OM. No. SR/S9/Z-08/2018 dated 30.01.2019** ([OM Fellowship Revision-2019.pdf \(dst.gov.in\)](http://dst.gov.in)) and **OM. No. SR/S9/Z-05/2019 dated 31.08.2019** ([OM-Scientific Technical Manpower-Guidelines and emoluments.pdf \(dst.gov.in\)](http://dst.gov.in)), it is also requested to visit DST website time-to-time for any new updates: <https://dst.gov.in/whatsnew>

Designation (JRF /SRF/ RA/ Project Assistants etc)	Year-I	Year-II	Total	HRA (%)	No. of Persons	Total Amount (inclusive of all allowances)
<b>Total</b>						

*All figures in Rupees*

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

<b>3. Consumable Cost</b>				
<b>Itemise Budget for Consumable Materials</b>				
Items	Unit Price	Quantity Needed	Amount	Justification
<b>Total</b>				
<i>All figures in Rupees</i>				
<b>Note #</b> As per DST norms and conditions mentioned in the <b>Annexure –9(A) &amp; (B) DST OM: SR/S9/Z-11/2013 dated 24 February 2015</b>				
<b>4. Contingency Cost</b>				
Items	Amount		Justification	
<b>Total</b>				
<i>All figures in Rupees</i>				
<b>Note #</b> As per DST norms and conditions mentioned in the <b>Annexure –9(A) &amp; (B) DST OM: SR/S9/Z-11/2013 dated 24 February 2015</b>				
<b>5. Travel (Domestic)</b>				
Items (to attend)	Total Amount	Detailed Justification (In case of extensive field visits needed in project indicating breakup of cost w.r.t. to journeys, mode and class of transport needed)		
Review meetings				
<b>Total</b>				
<i>All figures in Rupees</i>				
<b>6. Travel (International)</b>				
Items (to attend)	Total Amount	Detailed Justification		
<b>Total</b>				
<i>All figures in Rupees</i>				
<b>Note #</b> As per DST norms and conditions for travel mentioned in the <b>Annexure –9(A) &amp; (B) DST OM: SR/S9/Z11/2013 dated 24 February 2015</b>				

### 7. Other Cost (must be specified)

Item	Amount	Detailed Justification (derived cost calculation and relevant quotation /Page No.)
Subcontract work		
Fabrication		
Testing		
Other items, if any (must be specified)		
<b>Total</b>		

*All figures in Rupees*

**Note #** As per DST norms and conditions mentioned in the **Annexure –9(A) & (B)** under head Other costs

- ✓ 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.

### 8. Overhead / Project Management

As per DST norms and conditions mentioned in the **DST OM: SR/S9/Z11/2013 dated 24 February 2015**

### Table 2 - Work Package

Please fill in cost figures split on Work Packages (WP) for each partner in the project

Partner	WP 1	WP 2	WP 3	WP 4	WP xx	Total	Comments / Specifications
Partner 1							
Partner 2							
Partner 3							
Extra rows may be inserted if needed							
<b>Total</b>							

*All figures in Rupees*

### Table 3 - Financing

#### Total budget for the project

Financial Source	Year-I	Year-II	Total
In-kind from project partners			
Cash from project partners			
Other public financing			
Other private financing			
Applied financing from Call			
<b>Total</b>			

*All figures in Rupees*

Please add data for each partner in the project below				
Partner 1/Partner 2/Partner3/..	Year-I	Year-II		
Name of partner				
<b>Financial Source</b>			<b>Total</b>	<b>Comments / Specifications</b>
In-kind				
Cash				
Other public financing				
Other private financing				
Applied financing from Call				
<b>Total</b>				

*All figures in Rupees*

Table 4 - Cost Code			
Please fill in cost figures according to the specified categories. Only data for the whole project without specifications for each partner			
Partner	Year-I	Year-II	Total
Industry (Private sector/Public)			
Institute			
Universities			
Others			
<b>Total</b>			

*All figures in Rupees*

### 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> <i>Permanent Equipment as per quotations and GeM module will be permitted to procure.</i>				
<b>B. Recurring costs</b>				
1	<b>MANPOWER:</b>			
	S.No.	Manpower Position	Monthly Emoluments	Essential qualifications & age limit, Selection Process & Service Conditions for Scientific/ Technical Manpower
	1	Research Associate – I	Rs. 47,000/- + HRA	As per DST OM. No. SR/S9/Z-08/2018 dated 30 <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 21.08.2019	As per DST OM. No. SR/S9/Z-05/2019 dated 21 <sup>st</sup> August 2019	
2	<b>OVERHEADS CHARGES</b>  <b>DST OM: SR/S9/Z11/2013 dated 24 February 2015</b>	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		

		<p>educational institutions and NGOs and 8% for laboratories and institutions under Central Government Departments/Agencies;</p> <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></p> <p><b>DST OM: SR/S9/Z11/2013 dated 24 February 2015</b></p>	<p>Amount as per project requirement (justification through DST processes)</p>
4	<p><b>CONTINGENCIES</b></p> <p><b>DST OM: SR/S9/Z11/2013 dated 24 February 2015</b></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 etc.</p>
5	<p><b>TRAVEL</b></p> <p><b>DST OM: SR/S9/Z11/2013 dated 24 February 2015</b></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

<p style="text-align: center;">No. SRS/S/2/11/2013 Government of India Ministry of Science &amp; Technology Department of Science &amp; Technology Technology Division New Delhi - 110002</p> <p style="text-align: right;">Dated 24 February 2015</p> <p style="text-align: center;"><b>OFFICE MEMORANDUM</b></p> <p><b>Subject:</b> Norms for individual centre Extramural Research Project funded by Department of Science &amp; Technology, Government of India</p> <p>The question of framing revised norms for the Individual Centre Extramural Research (ICMR) Projects has been under consideration of the Department for quite some time. In succession of earlier instructions on this subject, it has now been decided that the following norms will be applicable to individual centre ICMR projects (i.e. proposals submitted by an individual researcher or a group of researchers including proposals for establishing Centres/Units etc.) funded by the Department of Science &amp; Technology, Government of India.</p> <p><b>(i) Equipment:</b></p> <p>Full cost of equipment/s which is/are specifically recommended/approved by Project Advisory Committee (PAC) be provided without discriminating the type of institutions (Public, Private, NGO etc.). Ownership of such equipments shall vest in the Government and these shall not be disposed of without obtaining prior approval of the authority which sanctioned the grant-in-aid. At the end of the project a specific request be made by the grantee institution for retention/transfer of these equipments to the institute subject to the institute in ensuring proper upkeep of these equipments and making these available to the other researchers on recommendation of DST. A list of such equipments be placed in the website of the concerned institute.</p> <p><b>(ii) Emoluments</b></p> <p>The emoluments for manpower (other than JRF, SRF, RA and Research Scientist) shall be fixed as per the norms adopted by the implementing institutions. In instances where the norms are not available in the institution, the norms framed by Department will be applied.</p> <p><b>(iii) Overheads:</b></p> <p>Towards meeting the cost of <i>academic</i> expenses including infrastructural facilities, provision of</p> <p>1) For projects 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>	<p>2) for projects costing more than Rs. 1.0 crore and upto Rs. 5.0 crore: overheads of Rs. 10% (max) or 10% of total cost whichever is less.</p> <p>3) 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>3) for projects costing more than Rs. 20.0 crore, the quantum will be decided on a case to case basis.</p> <p><b>(iv) Travel &amp; Contingencies:</b></p> <p>Rs.50,000/- each per annum will be provided for Travel and Contingencies. Higher amount, based on the recommendations of the Expert Committee, to be provided where the research work involves field work or/and project has many investigators / institutions and larger manpower. The contingency amount may also be used for paying Registration Fees for attending international conferences.</p> <p><b>(v) Consumables / Supplies &amp; Materials:</b></p> <p>The amount may be fixed based on the recommendations of the Expert Committee.</p> <p><b>(vi) Flexibility in Recurring budget:</b></p> <p>a) Though different allocations are made under various heads in recurring budget such as manpower, consumables, contingency, travel, etc., the investigator has been given flexibility to use upto 10% funds sanctioned under each recurring heads (consumables, travel, contingency etc, but not manpower budget) The PI will inform the Programme Division accordingly. The Programme Division in such cases will issue the revised sanction within the said limit of 10 percent and overall recurring budget allocation.</p> <p>b) The Investigator will have the flexibility to appoint more or lesser number of staff and change the designation of manpower within the sanctioned manpower budget.</p> <p><b>(vii) Entitlement of travel and accommodation by non-official members:</b></p> <p>a) Non-official members invited for the official meetings be provided economy class air fare. Specific approval of Secretary, DST be taken for travel by executive/higher class where a non-official is or was entitled to travel by executive class.</p>
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**(viii) Honorarium:**

Sitting fee / Honorarium to non-official members will be provided @ Rs.2,500/- per day for the meeting day.

**(ix) Extension of Projects:**

Extension of project upto six months can be granted by the Head of Programme Division, at the specific recommendations of PAC, if it does not involve increase in the cost of the project. Extension beyond the period of six months, should be granted only with the concurrence of IFO.

**(x) Transfer of PI from one Institute to another Institute**

The change of the host institute on account of PI moving from one host institute to another host institute will be considered in DST subject to the present host institute giving its no objection certificate and the prospective institute agreeing to the terms and conditions of sanctioning of the grant. In such cases, the equipment etc and the balance of funds will be transferred from the present institute to the proposed institute.

2. This OM comes into effect immediately. Cases in which the sanctions have already been issued will not be reopened.

3. This issues with the approval of Secretary, DST vide Dy. No 718 dated 5 February 2015 and concurrence of JS&FA vide his Dy. No. 2106 dated 17 February 2015.

  
**(Shashi Bhushan Kaushik)**  
 Director

**Copy to:**

- All Divisional Heads, DST
- PPS to Secretary, DST
- PS to JS & FA, DST
- COA, DST.
- DG(IFO), US(IFO), IFO, DST.
- FOO, DST

## Terms & Conditions of the Grant

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) )**

1. 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.
2. 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.
3. All the Assets acquired from the grant will be the property of the Government of India and should not be disposed off or encumbered or utilised for purposes other than those for which the grant had been sanctioned, without the prior sanction of the DST.
4. At the conclusion/ termination of the project, the Government of India will be free to sell or otherwise dispose off the Assets which are the property of the Government. The 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.
5. 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.
6. 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.
7. 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.
  8. 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.
  9. 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.
  10. **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.**
  11. 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.
  12. 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**.
  13. PIs/grantee organizations will ensure that procurement process in such cases are completed within the same financial year as specified in the sanction, provided that grant is released at least 8 Months prior to the close of financial year. Carry forward of such capital grant will be permitted only for Immediate succeeding financial year with the approval of DST only.
  14. PIs / Institute must ensure that all interest gained on unspent balance in both heads will be deposited to Government of India account in [Bharatkosh](http://Bharatkosh.gov.in) by using link(<http://Bharatkosh.gov.in>)

[www.bharatkosh.gov.in](http://www.bharatkosh.gov.in) ) before issuing UC/SE for releasing of next Installment.

15. In no case inter head expenditure will permitted and PIs/Institute must ensure be adhere to make expenditure accordingly as per sanction issued.
16. 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.
17. **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.**
18. **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.***
19. 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.
20. 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.
21. 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.
22. 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.
23. 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
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.

wards and Honours:

A. National list

B. International list:

12. Products or Technologies Developed / Transferred: (*Please provide details of technologies transferred to industry, technology commercialized, product developed*)

Date

**(Signature of PI)**

## UNDERTAKING FROM THE INVESTIGATOR(S)

### Project Title:

1. I/We have carefully read the terms and conditions and guidelines of the **India-Sweden Collaborative Industrial Research & Development Programme 2020** and I/We agree to abide by them.
2. I/We have not submitted this or a similar Project proposal elsewhere for financial support.
3. I/We have explored and ensured that the equipment and the basic facilities described in the Research Proposal, will actually be available as and when required for the purpose of the Project. I/We shall not request financial support under this project, for procurement of these items.
4. I/We undertake that spare or idle capacity of the permanent equipment procured under the project will be made available to other legitimate users from parent and other organizations.
5. I/We have enclosed the following:

A	Endorsement from the Heads of the Industry /Institution <i>(on letter head)</i>
B	Undertaking from the Collaborator(s) <i>(on letter head)</i>
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 Head of lead Industry

*(On the official letter head)*

Certified that the Industry/organization welcomes the participation in the project proposal .....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. I have gone through the complete call guidelines for DST funding and noted the obligations and responsibilities indicated in our name:

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

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)	

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/Industry
- 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, MSME registration)
- f) GST Number

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

**(Head of the Organisation)**

**Seal/Stamp**

**Date**

**Place**

**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:**

- 2 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
- 3 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.
- 4 The Organization shall ensure that financial and purchase procedures are followed as per the prevailing norms of the organization, within the allocated budget.
- 5 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.
- 6 **The grant for the proposal, if approved, the funds shall be transferred to following organization account:**

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

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

**(Head of the Institute)**

**Seal/Stamp**

**Date**

**Place**

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

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

**Definition of Conflict of Interest:**

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

**1. Coverage of the Policy:**

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

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

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

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a directly relative# or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision making process or alternatively, if any relative of an Officer directly involved in any decision making process / has influenced interest/ stake in the applicant's form etc.
- (iii) The applicant for the grant/award is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer-employee relationship in the past three years with that individual.
- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.

- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant (such as Ph.D. supervisor, Mentor, present Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

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

### 3. **Regulation:**

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

### 4. **Confidentiality:**

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

### 5. **Code of Conduct**

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

### 6. **Final Appellate authority:**

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

### 7. **Declaration**

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

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

I hereby declare that I have conflict of interest of any form pertaining to the proposed grant \*

\* & # (Tick whichever is applicable)

**(Name /Signature with date)**

**Latest Certified Shareholding pattern**

**SHAREHOLDING PATTERN  
(ON COMPANY'S LETTER HEAD)**

SHAREHOLDING PATTERN of \_\_\_\_ (Name of Company) as on..... **Paid up capital : \_Rs. \_\_\_\_**

Face value of each equity share (or any other instrument) : .....Rs. ....

Sr. no.	Name #	Number of shares held	Amt paid-up (Rs.)	%age of total	Nationality	Present Country of Residence
<b>Others</b>						
<b>TOTAL</b>				<b>100%</b>		

**NOTES :**

# In case of body corporate, give similar details thereof separately. @ Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in Others.

**Date:** **SIGNATURE(s)**  
DESIGNATED DIRECTORS WITH THEIR NAMES  
**Rubber Stamp**

**Place:** **SIGNATURE(s)**  
DESIGNATED DIRECTORS WITH THEIR NAMES  
**Rubber Stamp**

**AUDITOR'S CERTIFICATE**

This is to certify that the Shareholding in as given above, based on my/ our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction. Further, it is also certified that,

- The Indian Project Lead (IPL) company applying for the project is incorporated in India under the Companies Act 1956/2013.
- At least 51% stake of the IPL Company is owned by Indian Citizens.

Place: .....

For (Name of Accounting Firm OR Company Secretary)  
Name of Partner  
Chartered Accountant /Company Secretary Membership  
Number