

**PROPOSAL CHECKLIST**

**(To be submitted by the Indian PI to DBT along-with copy of Collaborative Research Proposal)**

***[This document shall be completed for Indian Investigators by the Project Lead/ Principal Investigator, in consultation & Agreement with Counterparts from BMBF]***

**General Instructions:**

- *All fields are mandatory*
- *All the enclosures shall be searchable with bookmarks to each heading. Scanned enclosures shall not be acknowledged except for page(s) which bear signature(s) on it*
- *All sections of this proforma must be completed. If the space provided is not sufficient, attach additional supporting materials as necessary. Page numbering and headings of any supplementary material must match corresponding sections in this filled in proforma.*
- *Project shall not be entertained further, if it is incomplete in any one of the requirements mentioned herein*

**PARTICULARS**

**1. Project Title:**

**2. Duration of the Project:**

**3. Does this proposal (or a very similar one) been submitted || funded in past 2 years?  
[--YES/NO--]**

**If Yes, how the present proposal is different from the already considered proposal?**

**4. Status of Institute:**

(i) Public (Government or Government autonomous body, State, Aided etc.): [Yes/No]

(ii) Private/ NGO(s): (In case of private/ NGO(s) copies of registration certificate, Articles and Memorandum of Association have to be enclosed)

(iii) In case of Academia (Public and/or Private Universities and Research Organisations) Submission of proof of establishment under Indian statue; recognition documents and registration at Government of India's Public Finance Management System (PFMS) - <https://pfms.nic.in> shall be obligatory. **(Kindly enclose relevant documents)**

(iv) In case of Private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/Trust(s)/ Research Foundations submission of Proof of registration at 'NGO DARPAN' of NITI Aayog (<http://ngodarpan.gov.in/>); Certificate of registration under Society Registration Act; certificate of DSIR in-house R&D recognition and registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>)

shall be obligatory. An Academic society must follow research as mandate. **(Kindly enclose relevant documents)**

## 5. Participating Investigators

- 5.1 Name of Project Lead/ Co-ordinator, Date of Birth, Date of Superannuation & Contact Details *(including institutional affiliations, e-mail & cell number)*
- 5.2 Name of Principal Investigator(s) & Co-Principal Investigator(s), Date of Birth, Date of Superannuation & Contact Details *(including institutional affiliations, e-mail & cell number)*
- 5.3 Name of Project Lead/ Co-ordinator from Germany & Contact Details *(including institutional affiliations, e-mail)*
- 5.4 Name of Principal Investigator(s) and Co-Principal Investigator(s) from Germany & Contact Details *(including institutional affiliations, e-mail)*

**Please Note:** Provide two page CVs and list of the five most important publications of the Indian Investigators {Project Lead/ Co-ordinator and Principal Investigator(s) & Co-Principal Investigator(s)}, which have a bearing on the project

## 6. Budget proposed (Indian Component)

### 6.1

(Rs. in lakhs)

Head	Year 1	Year 2	Year 3	Total
<b>A. Non-recurring</b>				
1. Equipment				
<b>Total A</b>				
<b>B. Recurring</b>				
1. Consumables				
2. Manpower (JRF/SRF/ RA/ TA)				
3. Travel (both Domestic and International for project purpose)				
4. Contingency				
5. Overheads – as per DBT norms				
6. Outsourcing				
7. Others				
<b>TOTAL B</b>				
<b>TOTAL (A+B)</b>				

**Important Notice:** This budget table should be made for each Indian participating/applicant partner. Details and Justification should be provided for each head. Equipment cost should not exceed 30 per cent of total project cost.

## 6.2 Grant-in-aid to Industry:

(Rs. in lakhs)

Head	Contribution from Industry				Contribution from DBT			
	Year 1	Year 2	Year 3	Total	Year 1	Year 2	Year 3	Total
<b>A. Non-recurring</b>								
1. Equipment								
<b>Total A</b>								
<b>B. Recurring</b>								
1. Consumables								
2. Manpower (JRF/ SRF/ RA/ TA)								
3. Travel								
<b>TOTAL B</b>								
<b>TOTAL (A+B)</b>								

**Important Notice:** Refer to the funding supported by DBT (eligibility criteria) for proposing the budget.

**7. Current state of research in the area** (not more than 400-500 words // cite the most vital literature survey in the relevant field and put-forth the scientific background and basis of the project // explain the essentiality of research on the topic you propose and briefly describe pertinent research currently being conducted internationally)

**8. Importance & Impact Expectation** (NMT 400 words // describe briefly the importance of your research for the scientific community and the impact you expect from the project on research, training and teaching in your field/discipline // Please indicate how you will publish/communicate your results // Keeping in view of the broader impact clarify i) are there any knowledge gaps? ii) are innovations and improvements expected? iii) to what degree can research results be put into practice?)

### 9. Ethical, Safety & Statutory Requirements

9.1 Is there any possibility of use of information (in any form) resultant of the proposed work, which may impinge on India's national security? If yes, the nature of such a use may be indicated. [not more than 50 words]

9.2 Will any sensitive source material be referred to during the course of the research?  
[-- YES/NO --]

If yes, provide explicit details of the same. [not more than 70 words]

- 9.3a Does this collaboration involve (Explicitly highlight the same)
- a) Use of endangered fauna and/or flora and/or protected areas: [-- YES/NO --]
  - b) Transfer of biological material(s): [-- YES/NO --]
  - c) Use of radioactive materials: [-- YES/NO --]
  - d) Use of elements that may cause harm to the environment, to humans (including research staff), to animals or plants: [-- YES/NO --]
  - e) Use of Genetically Engineered Organisms: [-- YES/NO --]
  - f) Field trials or testing: [-- YES/NO --]
  - g) Pre-clinical and/ or Clinical trials or testing: [-- YES/NO --]
  - h) Ethical considerations: [-- YES/NO --]
  - i) Considerations related to Intellectual Property Rights (IPR): [-- YES/NO --]
  - j) Collection and/or processing of new and/or previously collected personal data: [-- YES/NO --]

9.3b If answer to the one or more of the above questions is YES;

Are the investigator(s) aware of the relevant regulations (*such as IBSC/ IASC/ IAEC/ IEC/ NBA/ IC-SCR/ CTRI etc.*) and have they agreed to abide by them? [-- YES/NO --]

*If YES, provide explicit details of it [not more than 150 words]*

*If NO, provide valid reason(s) to it [not more than 150 words]*

9.4 If relevant; describe if-&-how the project results should be protected. Details of knowhow generated so far. Also IPR barriers or relations to others' intellectual properties must be described, including a brief summary of your freedom to operate these IPs during the tenure and beyond the tenure of the project. Whether methods/interventions chosen give rise to intellectual property disputes or opportunities? If yes, clarify the same explicitly. *[not more than 200 words]*

9.5 Are there any other ethics issues that should be taken into consideration? [-- YES/NO --]  
If YES, Please specify *[not more than 150 words]*

## 10. UNDERTAKING & ENDORSEMENTS

- 10.1 a) The research work proposed in the scheme/project entitled "....." does not in any way duplicate the work already done or being carried out elsewhere on the subject.
- b) Certified that above information is true to the best of our knowledge.

[Signature and Stamp of Project Lead/ Principal Investigator (On behalf of all participating investigators)]

Forwarded by  
[Signature & Stamp of Executive Head of Institution/ Organization/ University]

**10.2** Enclose a letter of collaboration and submission of joint proposal (with project title) from collaborating Project Lead/ Principal Investigator from Germany

**10.3** Endorsement by the Head of the Organization: *(To be submitted on letter head in support of individual participating investigator of the concerned organization as per the proforma placed below)*

**Endorsement by the Head of the Organization**

*To be submitted on letter head in support of individual participating investigator*

Project Title:

- I. Certified that the institution welcomes participation of Dr. \_\_\_\_\_ as the Principal Investigator and Dr. \_\_\_\_\_ as the Principal Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project (with due information to DBT).
- II. Certified that all resources (infrastructure, techno-scientific, administrative, etc.) as per the terms and conditions of the grant, will be extended to investigator(s) throughout the duration of the project.
- III. Institute assumes to undertake the financial and other management responsibilities of the project.
- IV. Certified that comprehensive appraisal pertaining to administrative, financial, ethical, regulatory & statutory requirements has been made towards participation of this organization through this project, beforehand.
- V. We agree to accept the terms and conditions of Department of Biotechnology, Govt. of India.
- VI. The details & information given in the project proposal are true & factual.

Date:

Name & Signature with stamp of Head of the Organization

Place: