**Annex 1: Template for Administrative & Financial Considerations by DBT**

**General Instructions:**

* *Make sure that each investigator shall thoroughly understand the call text and requirements of participation & funding, before attempting to fill this proforma*
* *All fields are mandatory. Therefore, all sections of this proforma must be completed. If the space provided is not sufficient, attach additional supporting materials as necessary.*
* *Kindly read the footnotes and furnish information/ data, accordingly.*
* *Each field demands distinct attention, and diligent answer. Therefore, avoid mere replication of information*
* *Project shall not be pursued if it is incomplete or any of the requirements mentioned herein missing*
* *To accomplish official considerations, successful proposal(s) shall be asked to submit comprehensive facts about administrative, statutory, ethical and financial considerations (including diligent justification for proposed budgetary requirements).*

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| **Sr.**  **No.** | | **Particulars** |
| **1.0** |  | **General Information** |
|  | **1.1** | Duration of the Project [*in months*] |
|  | **1.2** | Proposed cost of the project *[****Cumulative*** *(non-recurring & recurring), as well as* ***Segregated*** *project cost proposed for Indian participants in INR]* |
|  | **1.3** | Objectives of the proposal [*only one/two liner, must be interdependent, and to be submitted as bullet points || NMT 120 words*] |
| **2.0** |  | Status of **EACH** of the **INDIAN** participating legal entity/organization and, fulfilling various registration requirements, as explained in **participation modalities**.   |  |  |  |  | | --- | --- | --- | --- | | **Name of the participating Organization 🡪** | | **Organization 1** | **Organization 2…** | | **[*Select the one, whichever is applicable, and mark “X” in respective column*]** | **Public university/ Public research organization**  **[OR]** |  |  | | **Private university**  **[OR]** |  |  | | **Private R&D performing institution; or Not-for-profit: NGO/ VO/ Trust/ Research foundation**  **[OR]** |  |  | | **Public or Private Industry** |  |  | | **[*Pl. mark “X”, for which the valid documentary evidence is AVAILABLE.***  ***Please do not attach these documents*]** | **Proof of establishment under Indian statue** |  |  | | **Certificate of registration under Society Registration Act** |  |  | | **Certificate of Incorporation issued under Companies Act** |  |  | | **Firm’s Memorandum of Association** |  |  | | **Proof of registration at ‘NGO DARPAN’ of NITI Aayog** |  |  | | **VALID SIRO certificate issued by DSIR toward firm’s in-house R&D recognition** |  |  | | **Audited account statements for the past three years** |  |  | | **Proof of registration at GoI Public Finance Management System (PFMS)** |  |  | |
| **3.0** |  | Whether **EACH** of the **INDIAN** Project Investigator has valid service tenure to accommodate key research and other responsibilities assigned by the consortium? [-- YES/NO --]  **-** If yes, provide valid answer for the same with date of superannuation *[NMT 30 words]*  **-** If no, Provide details of precautionary approach to be followed in case of exigency *[NMT 80 words]* |
| **4.0** |  | **WORK DIVISION:** Provide explicit ROLE(s), RESPONSIBILITY(ies) and TASK(s) assigned to **EACH** participating investigator (*Indian & EU counterparts*) to be involved in this project. *[To be submitted in Landscape Orientation]*   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Sr.**  **NO.** | **NAME OF THE INVESTIGATOR** | **PARTICIPATING IN THE CONSORTIUM AS**  **(*Project Coordinator/ Coordinator-INDIA/CO-PI/CO-I*)** | **ORGANIZATION’S**  **ABBREVIATED NAME** | **ROLE(S)**  **ASSIGNED** | **RESPONSIBILITIES**  **ASSIGNED** | **TASKS**  **ASSIGNED** | | 1 |  |  |  |  |  |  | | 2… |  |  |  |  |  |  | |
| **5.0** |  | **Importance, Expectation & OuTCOME** |
|  | **5.1** | How the project relates to India specific and global aspiration? |
|  | **5.2** | What future do you envisage for the field you have chosen and how will the proposed research drive the future? |
|  | **5.3** | Describe briefly the importance of proposed research & innovation for the scientific community, and the impact you expect from the project on research, training and teaching in your field/discipline in short and long term  [*Please note that while seeking this clarity our expectations are way beyond training of human resource or establishing laboratory infrastructure*] |
|  | **5.4** | Explain what differentiates your project’s likely outcome, and provides the highest added value (*in quantitative and qualitative terms*) for **INDIAN** industries, SMEs, policy makers, society, etc. in short and long term  [*In a two page note you should make it clear where your project is positioned in the value chain and state which & how the* ***realistic*** *value will be created overtime*] |
|  | **5.5** | Details (including schedule) of proposed review and monitoring mechanism within the consortium |
| **6.0** |  | **DESCRIBE THE FOLLOWING**  *[Kindly note that the IPR issues need to be in compliance with the S&T agreement between EU and India]* |
|  | **6.1** | Provide details of each of the IPs (patent, copyright, trademarks etc.) within the consortium (*including of outsourcing partners*) already “**PROTECTED**”, so far; and commercial ownership of the same (as applicable) which would likely to impact the project under consideration |
|  | **6.2** | Provide details of each of the knowhow, models, algorithms, technology(ies) and technology interventions ‘within the consortium (*including of outsourcing partners*)’ already “**GENERATED**”, so far; which would likely to impact the project under consideration |
|  | **6.3** | Summary of your freedom to operate above mentioned knowhow(s) and/or IPs during the tenure and beyond the tenure of the project |
| **7.0** |  | **Budgetary Requirements** |
|  | **7.1** | **Details of Consolidated budget proposed**  **(Rs. In lakhs)**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Heads** | **Year I** | **Year II** | **Year III…** | **Total** | | Equipment(s) |  |  |  |  | | Manpower |  |  |  |  | | Consumables |  |  |  |  | | Travel |  |  |  |  | | Contingency |  |  |  |  | | Overheads |  |  |  |  | | Outsourcing |  |  |  |  | | Other (Provide details)…… |  |  |  |  | | **Total** |  |  |  |  |   *(****N.B:*** *Academia can factor in additional sub heads (in other category) such as training & awareness, review meeting, consultancy charges, field & farm expenses, etc. based on the requirement of the project.)* |
|  | **7.2** | **Details of Investigator-wise and/or organization wise & year wise final budget proposed:** [*Critically review the budget requirements, ensuring every possibility of using existing resources & communication technologies or possibly sharing the same from alternative sources (outsourced) without impacting time and efforts to achieve the goal]*  **(Rs. In lakhs)**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Heads** | **Year I** | **Year II** | **Year III…** | **Total** | | Equipment(s) |  |  |  |  | | Manpower |  |  |  |  | | Consumables |  |  |  |  | | Travel |  |  |  |  | | Contingency |  |  |  |  | | Overheads |  |  |  |  | | Outsourcing |  |  |  |  | | Other (Provide details)…… |  |  |  |  | | **Total** |  |  |  |  |   *(****N.B:*** *Academia can factor in additional sub heads (in other category) such as training & awareness, review meeting, consultancy charges, field & farm expenses, etc. based on the requirement of the project)* |
|  | **7.3** | **Details of Industry wise & year wise final budget proposed:**  *[DBT’s support to industry shall not exceed 50% of the total cost (Up to maximum of Rs. 1.5 Crore) proposed by each industry participant; 50% of the contribution shall mandatorily come from this Industry.*  *The cost breakup for the DBT component to a particular industry shall be: Capital and Manpower costs each not exceeding 30% of the DBT supported project cost; and balance will cover consumables and travel costs. Budgetary requirements under contingency, overhead & “OTHER” category will not be admissible]*  **(Rs. In lakhs)**   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | |  | **Contribution from Industry** | | | | **Contribution from DBT** | | | | | **Heads** | **Year I** | **Year II** | **Year III…** | **Total** | **Year I** | **Year II** | **Year III…** | **Total** | | Equipment(s) |  |  |  |  |  |  |  |  | | Manpower |  |  |  |  |  |  |  |  | | Consumables |  |  |  |  |  |  |  |  | | Travel |  |  |  |  |  |  |  |  | | Contingency |  |  |  |  |  |  |  |  | | Outsourcing |  |  |  |  |  |  |  |  | | Overhead |  |  |  |  |  |  |  |  | | Other (Provide details)…… |  |  |  |  |  |  |  |  | | **Total** |  |  |  |  |  |  |  |  | |
| **8.0** |  | **Undertaking & Endorsements** |
|  | **8.1** | ***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  [Name, Signature and Stamp of Coordinator-INDIA (On behalf of all participating investigators)]  *Forwarded by*  [Name, Signature & Stamp of Executive Head of Institution/ Organization/ University] |
|  | **8.2** | Enclose a letter of collaboration and submission of Co-funding proposal (*with the project title*) from Project Coordinator.  *[This letter should also be explicit in providing clarity about participation of each Indian entity as “International Partner” invoking article 14a of MGA, along with assigning such Indian entity(ies) to respective European partner(s).]* |
|  | **8.3** | Endorsement by the Head of the legal entity/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 **Co-Principal Investigator (Co-PI) or Co-Investigator (Co-I)** for the project and, in the unforeseen event of discontinuance by the Principal Investigator, the Co-PI or Co-I will assume the responsibility of the fruitful completion of the project [with due information to the Department of Biotechnology (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.** Organization 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 thoroughly understood the modalities of participation & funding, and shall abide to it.  **VI.** We hereby commit to obtain all applicable (central & state) environmental, regulatory & statutory as well as local governmental authorizations, prior to the commencement of relevant research, innovation & translation activities.  **VII.** We agree to accept the terms and conditions of Department of Biotechnology, Govt. Of India.  **VII.** The details & information given in the project proposal are true & factual.  **Date:**  **Name & Signature with Stamp**  **of Head of the Organization**  **Place:** | |