# **India – Sweden Call on Technology Feasibility under Industry Transition Partnership (ITP) platform for Decarbonisation of Steel and Cement Sectors**

**Under Working Group on Innovation**

Pre-pilot project support

## **Background:**

The **Leadership Group for Industry Transition (LeadIT)** is the first global multistakeholder initiative dedicated to accelerating a just and equitable transition to net zero emissions from Heavy industry by 2050. It was launched by the Governments of India and Sweden at the UN Secretary General’s request at the Climate Action Summit in 2019, and is led by the Ministry of Environment, Forest and Climate Change on the Indian side, and by the Ministry of Climate and Enterprise on the Swedish side. Since its launch, LeadIT has grown to comprise 18 member countries and 24 member companies, and has made a significant contribution towards raising industry transition on global agendas.

The India-Sweden Industry Transition Partnership (ITP) was jointly launched by Hon’ble Prime Ministers Shri. Narendra Modi Ji and Mr. Ulf Kristersson at COP28 in 2023, as part of LeadIT’s second phase (LeadIT 2.0). The purpose of the ITP is to realise pilot low-carbon projects in the hard-to-abate sectors like the Steel and Cement sectors across India, and to contribute to an overall enabling environment for industry transition efforts, formulated as four target outcomes:

* 1. Strengthening the Institutional Framework
  2. Unlocking conditions for Technology Demonstration projects
  3. Fostering innovation, Research and development, and Capacity building
  4. Mobilisation of finance and investments
  5. The ITP target outcomes are to be announced with tangible results at COP30 in Brazil, in November 2025.

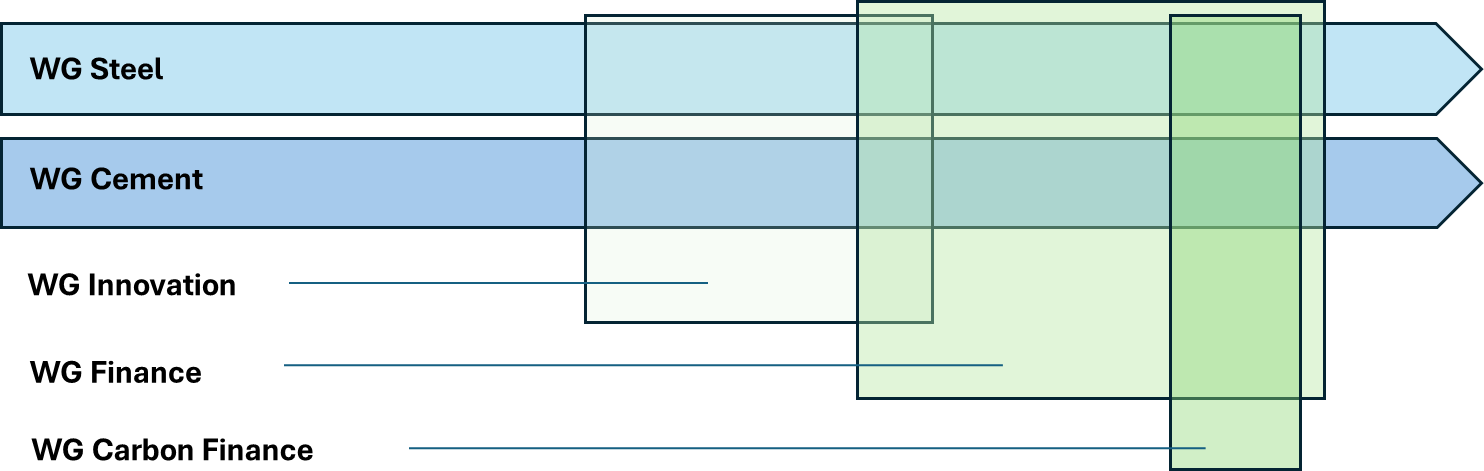
Under the ITP, five working groups were formed on- Steel, Cement, innovation, Carbon markets & Finance - working towards facilitating Industry-Academia collaboration, Technology development & Feasibility studies, demonstration projects, and supporting policy processes.

During 2024 stakeholder discussions were held under the ITP leading to agreement on the high-level technical and operational scope of collaboration on decarbonisation projects. This consisted of the decarbonisation technologies most relevant for Indian Steel and Cement industries.

The current phase of the ITP consists of identifying collaboration opportunities, matchmaking and conducting preparatory activities that provide the foundations for joint projects that deploy Carbon Transformative Technologies for decarbonising Steel and cement sectors. To this end, Swedish business delegations visited India in February and March 2025, which was followed by an Indian delegation visit to Sweden in May 2025.

## **ITP structure and Governance:**

The ITP consists of five working groups: two sectoral groups – steel and cement –and three cross-sectoral groups – innovation, carbon markets and finance. The steel and cement working groups are the engines of the ITP, driving the process where needs, opportunities and priorities are defined. The cross-cutting working groups support the process towards prioritised projects identified under the steel and cement working groups. The interaction between working groups is illustrated in the following diagram.



## **Working Group on Innovation:**

The Working Group on Innovation is co-chaired by DST (Department of Science & Technology) in India and Swedish Energy Agency (SEA), together with the Swedish innovation agency – Vinnova.

For 2025, the co-chairs (DST India and SEA Sweden) have agreed to parallel Indo-Sweden calls, corresponding to the ITP target outcomes, to be launched between April-June 2025. The calls envisage to stakeholders in each respective country. The responsibility for the call is divided as outlined below.

## Unlocking conditions for Technology demonstration projects through Feasibility projects:

* + Leads: Swedish Energy Agency, Sweden and Climate, Energy and Sustainable Technology (CEST) Division of the Department of Science & Technology, India.
  + This call will support Technology Feasibility studies and pre-pilot projects on Steel and Cement and the selected projects will be announced at COP 30.

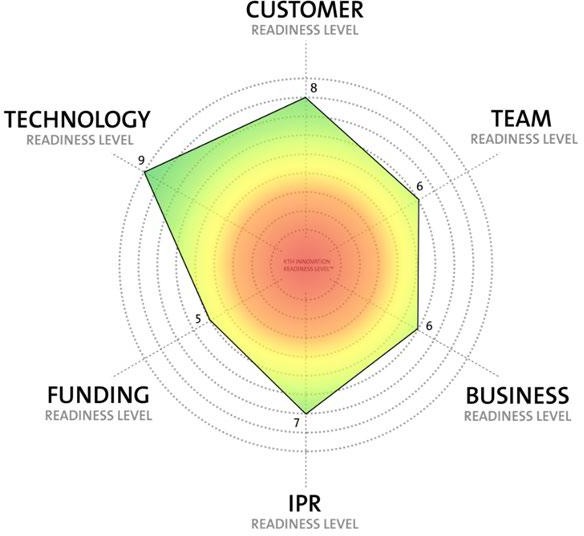
This call is planned to be operationalised as two individual calls, one by the SEA and one by the DST India- but is envisioned to be practically coordinated as a single Joint call.

The SEA and DST India will ensure Joint support for selected feasibility studies, pre-pilot projects. Hence the evaluation and selection process will be coordinated between the two sides.

## **Call for proposals by SEA:**

The SEA call for proposals has been opened on 25th April 2025, inviting Swedish companies & research organisations to apply along with Indian partners, for pre-pilot activities. The overall budget outlined in this call for proposals from **Swedish side is SEK 10 million (approx. INR 9 Crore)** in total, which SEA will provide for Swedish applicants.

## **Pre-pilot projects may include the following activities:**



*Figure 1.KTH Innovation Rediness Levels are used by Swedish innovation offices and incubators, funding agencies, like Vinnova and Swedish National Energy Agency, universities outside Sweden, like Imperial CollegeLondon, , AaltoUniversity, University Colorado Boulder etc*

* Evaluation and analysis of the potential for a possible pilot and/or demonstration project 's: weaknesses and strengths, as well as opportunities and risks
* Identification of resources required to implement the pilot and/or demonstration project.
* Development of forms of cooperation for Swedish and Indian parties, for example analysis of ownership and management of project results and intangible assets
* Other activities aimed at supporting the decision-making process for a pilot and/or demonstration project.

## **Evaluation criteria in the SEA call for proposals are based on a proven model for Innovation Readiness Level:**

* Potential of the proposed Technological solution for the pilot/demonstration project to contribute to the Decarbonisation and Climate Transition of the Cement and/or Steel industry in India.
* The need and relevance for a feasibility study for an upcoming pilot and/or demonstration project.
* Novelty value and level of innovation. To what extent the Technological solution to be investigated in the project includes an innovation /the introduction of new knowledge and solution in the Indian context is also considered.
* Market potential and utilization: to what extent the solution is filling a gap or demand in the market. And likeliness that the market is ready to absorb the technology once proven.
* Maturity: considering the Swedish company, the solution and ability to take the solution to the next level is also assessed here.
* Actor constellation: the composition of the project group, roles and responsibilities (dependencies) uniform distribution of roles between the Swedish and Indian parties are also included in this assessment1.

Feasibility, with emphasis on the possibility of achieving the project's objectives in terms of implementation, including budget and timetable.

## **Proposed call by CEST-DST India:**

It is proposed that the CEST Division of DST announces a parallel call for proposals with Objectives, Scope and Evaluation criteria in alignment with the SEA call for proposals. The following are the salient features proposed for this call:

## The call will invite applications for pre-pilot Technology Feasibility studies in alignment with the scope of the call by SEA Sweden from Indian Steel and Cement companies and Research institutes for Decarbonisation and Climate Transition of the Cement and/or Steel industry in India.

1. The purpose of the Indian call will be to provide support funding to the Indian applicants by DST, in tandem with the funding going to be provided to Swedish applicants by SEA Sweden, through their call for proposals as outlined above.
2. The call will require the applicants to partner with one or more Swedish Steel/Cement companies and/or Research institutes.
3. The call will require that the Swedish partner/s should necessarily have correspondingly applied for the SEA call for proposals as detailed above. DST will require an undertaking by the Swedish partner/s to confirm that they have applied for the SEA call for proposals.
4. The timelines of the evaluation and announcement of results will be in alignment with the timelines detailed for the SEA call for proposals on Swedish side as given above.
5. The evaluation criteria for the applicants of this call will be in tandem to the criteria used by SEA call for proposals as outlined above, along with the requisite Standard Evaluation Criteria used by DST India as per its own norms and guidelines.
6. DST will share information about the SEA call for proposals on its social media channels, and SEA will share information about the DST call for proposals on its website and social media channels
7. LeadIT secretariat will support sharing of information on both the calls on their website and social media channels.

1 The Swedish applicant must provide signed documentation describing the partnership with Indian project partner, Letter of Intent or similar

## **Eligibility Criteria for Indian Participants:**

Proposals must be submitted in **consortium mode only**, **comprising Steel and Cement Industry and Academia/Researchers.** The consortium should be led by relevant Industry partner, in collaboration with faculty or scientists holding regular positions in recognised academic institutions or publicly funded R&D institutions/laboratories. Participation of relevant Steel and Cement Industries and PSUs, is mandatory. All Indian partners in a single project must be legal, separate entities. However, there can be more than one investigator from the same entity.

* Participating Indian companies must:
  1. Be incorporated in India under the Companies ACT 1956/2013.
  2. Have at least 51% stake of the Company be owned by Indian Citizens living in India.
  3. Have been in operation for at least 3 financial years before the closing date for the application.
  4. Be registered under the relevant provisions of Good & Services Taxation (GST) Act.
  5. Have the required expertise and capacity to technically contribute to the proposed project.
* Indian Companies need to provide the following with the application as Evidence that they have the resources, expertise, finances and clear intent to undertake the project:
  1. An audited copy of their submitted annual accounts for the last three years.
  2. Details of Expertise and technical resources for the project

**Note :**

1. Sole proprietors and partnership firms are not eligible for support under this call.
2. Companies headquartered and owned outside India and their subsidiaries in India or vice versa, are not eligible to receive funding directly or indirectly.

## **DST Budget for Indian Participants: Rs. 9 Crores**

**Note-1:** The maximum Budget for Indian participants **should not be more than Rs. 4.5 Crore per project.**

**Note -2:** The Budget should include the following budget Heads with proper justification for each partner separately and in total as per the Proposal Format provided.

|  |  |
| --- | --- |
| **S. No.** | **Item Head** |
| **A** | **Non-recurring (Capital Items)** |
| **1** | Permanent Equipment |
| **2.** | Pre-Plant cost /Fabricated systems/ demonstration models |
| **A’** | Subtotal (capital items) |
| **B** | **Recurring Items (General)** |
| **1.** | Manpower (*As per OM. No. DST/PCPM/Z-06/2022 dated 26.06.2023 and SR/S9/Z-05/2019 dated 21.08.2019*) |
| **2.** | Consumables /Miscellaneous |
| **3.** | Contingencies |
| **4.** | Travel |
| **5.** | Other Cost , if any |
| **6.** | Overhead (@ as per DST norms, OM .NO. SR/S9/Z-11/2013 dated 24.02.2015) |
| **B’** | Subtotal (General items) |
| **C** | Grand Total ( A’+B’) |

**Note-3:** The funds for the industry will be routed through the Participating Academic/ R&D institution/Laboratory.

## **Project duration: 3 years maximum**.

## **Timeline of SEA and DST call for proposals:**

|  |  |  |
| --- | --- | --- |
| Date | SEA | DST |
| 25 April 2025 | SEA call for proposals announced |  |
| 10 June | Webinar about the call for Swedish stakeholders: purpose, objective, guidelines, timeline and budget. Proposed to include information about Indian call for Swedish actors to communicate to tentative Indian project partners. |  |
| 25th June |  | DST Call announced |
| 1 September | SEA and DST call for proposals close | |
| 1 – 8 Sept. | Internal SEA administration, including initial screening for non-eligible project proposals | DST Internal evaluation for initial screening of the non-eligible proposals |
| 9 Sept. | WG Innovation meeting 1: presentation of submitted project proposals on each side, respectively. PURPOSE – identify and filter out project proposals not eligible for evaluation. These are proposals that are not complete or out of scope. | |
| 10 – 30 Sept. | Internal SEA evaluation: Assessment of the eligible applications. | DST Internal evaluation: Assessment of the eligible applications |
| 1 Oct. | WG Innovation meeting 2: First ranking, comparison of respective evaluation and prioritization of applications | |
| 15 Oct. | WG Innovation meeting 3: Gathering complementary information from project applicants, if needed and ranking, selection of prioritized projects | |
| 11 Nov. | Internal SEA administration and formal decisions of selected pre-pilot projects | DST administrative decision and approval on the proposals |
| 11 – 22 Nov. | COP 30, announcement of selected pre-pilot projects | |
| 1 – 5 Dec.(tbc) | Kick-off in India; selected project teams from Sweden travel to India, official events and individual programs with Indian project partners | |

1. **Proposal Formats and Submission:** Proposals may be submitted at DST e-PMS (https://onlinedst.gov.in/Login.aspx) portal in the prescribed format (as attached) of the Individual proposal along with other requisite documents before the closing date of the call.

**Note :** The Indian lead will submit the proposal on the DST e-PMS portal (<https://onlinedst.gov.in/Login.aspx>), and the Swedish lead will submit the same proposal on the SEA ([Samarbetsprojekt för omställningen av cement- och stålindustrierna i Indien](https://mail.mgovcloud.in/zm/reUrlCheck.do?url=https%3A%2F%2Fwww.energimyndigheten.se%2Futlysningar%2Fsamarbetsprojekt-for-omstallningen-av-cement--och-stalindustrierna-i-indien%2F&uvd=080112ee01d848f446df1114b8daef8e470000b8291536959c451b108c873e78c21d8b065848a681284910809c96a5bbf8f029c52ca2acf6d462a3adb6a8d6adb8e810f14982728249a2a04cee6dc80eeb535497b2fc88597c145f4c9f2d1561edf03e0eba531bd92686181a1687cbdc1b37bf5bf4e1a6f4e8006f0b554e61dcc03ffc2ae5f1be5e6b3ae0c6115e78997977fbff9155bc6bbb419da23448edc6a4f7924bb65749ad4c93ef07f42ab5bc909ca22f87ae9edf452e90df47e650e153f367890aeb5d011cde1313ad012675f9f1fba51c21d1ac917ac308f6582e88c45fac580054dbdb394ba983f640d4066cc0b2).) portal. **Only proposals submitted on both portals will** be considered by DST for evaluation.

1. **Contact Persons:**
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## **Timelines for Indian Participants:**

Call Opening Date: **25th June 2025**

Deadline for submission of proposals: **1st September 2025**

India – Sweden Call on Technology Feasibility under Industry Transition Partnership (ITP) platform for Decarbonisation of Steel and Cement Sectors

The Project Proposal could be submitted in the enclosed format through **ONLINE MODE ONLY (**[**https://onlinedst.gov.in/Login.aspx**](https://onlinedst.gov.in/Login.aspx)**) NO HARDCOPY** of the project proposal should be submitted.

**PROJECT TITLE**

**CONTENTS**

|  |  |  |
| --- | --- | --- |
| **S. No.** | **ITEMS** | **Page No(s)** |
| I. | Proposal Summary |  |
| II. | Core Proposal |  |
| III. | Budget |  |
| IV. | Bio-Data of PI and Co-PI |  |
| V. | DST Policy on Conflict of Interest for Applicant |  |
| VI. | Undertaking from the Investigator |  |
| VII. | Endorsement from The Head of Institution |  |
| VIII. | Endorsement from collaborating Industry |  |
| **Annexures** | | |
| 1. | Budgetary Quotes for Equipment’s/consumables |  |

**Applications received without the above documents with incomplete information will not be entertained.**

**Proposal Summary *(To be limited to singleA-4 page)***

|  |  |  |  |
| --- | --- | --- | --- |
| **I** | Project Title |  | |
| **II** | Project cost *(Amount in lakhs)* | **DST:** Rs. Lakhs | **Industry Partner:**Rs. Lakhs |
| **III** | Duration *(in months)* |  | |
| **III** | PI Name (Date of Birth) |  | |
| **IV** | Co-PI Name (Date of Birth) |  | |
| **V** | Lead Industry |  | |
| **VI** | Lead Industry Status |  | |
| **VII** | Academic/ Research Partner Name(s), |  | |
| **VIII** | Academic/ Research Partner Status |  | |
| **IX** | Objectives |  | |
| **X** | Methodology |  | |
| **XI** | Deliverables |  | |

**Budget Estimate**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S. No.** | **Item Head** | **1st Year**  **DST Share** | | **2nd Year**  **DST Share** | | **3rd Year**  **DST Share** | | **Total (Rs. Lakhs)** |
| **A** | **Non-recurring (Capital Items)** | | | | | | | |
| **1** | **Permanent Equipment** |  |  | |  | |  | |
| ***2*** | Pre-Plant cost /Fabricated systems/ demonstration models |  |  | |  | |  | |
| ***A’*** | ***Subtotal (capital items)*** |  |  | |  | |  | |
| **B** | **Recurring Items (General)** | | | | | | | |
| **1.** | **Manpower\*** |  |  | |  | |  | |
| **2.** | **Consumables /Miscellaneous** |  |  | |  | |  | |
| **3.** | **Contingencies** |  |  | |  | |  | |
| **4.** | **Travel (Domestic + International)** |  |  | |  | |  | |
| **5.** | **Other Cost** |  |  | |  | |  | |
| **6.** | **Overhead \*\*** |  |  | |  | |  | |
| ***B’*** | ***Sub total (General)*** |  |  | |  | |  | |
| **C** | **Total cost of the project (A’+B’)** |  |  | |  | |  | |

***\**** ***The manpower recruited for the project should be paid as per the rules of the institute and guidelines of the Government of India (OM. No. DST/PCPM/Z-06/2022 dated 26.06.2023 and SR/S9/Z-05/2019 dated 21.08.2019). The posts which are not covered under the guidelines but permissible under projects at the host institute are also permitted. The temporary staff employed for the project by the organization is not treated as employees of the Government of India and the deployment of such staff at the time of termination of the project will not be the concern/responsibility of the Government of India.***

**\*\* As per DST norms*, OM .NO. SR/S9/Z-11/2013 dated 24.02.2015***

**Total DST Share:**

**Total Project Cost:**

**II. CORE PROPOSAL**

1. **Project Title:**
2. **Principal Investigator (PI)**

**Name:**

**Designation:**

1. **Co-Principal Investigator (Co-PI)**

**Name:**

**Designation:**

1. **Collaborating Academia/Researchers :**
2. **Objectives of the Proposal**

***(Precise and quantified, use bullet form)***

1. **Critical Review of Status Identifying Gaps (include references & IPR survey)** 
   * 1. National Status Review
     2. International Status Review
2. **Outline of the Project (with schematics, where possible)**

**(Define the problems and give technical details and uniqueness in approach)**

* 1. Abstract of the current project
  2. Rationale and Need of the proposed work including SWOT Analysis
  3. Proposed Solution and it’s significance in Steel and Cement Sector
  4. Relevance of proposed work with National Net Zero commitments

1. **Methodology *(Please highlight how success in the project execution will be ensured`)***
2. **Major constituents of the CCU deployment facility**
3. **Gantt chart indicating Target activities vis a vis Stipulated timelines**
4. **Facilities/equipment available at the PI/Industry/ Institute that are relevant/useful in implementing the project and will be available during the implementation of the project.**
   1. Ongoing grants funded to the PI/Co-PI in the Industry/Institute
5. **Deliverables of the project *(brief description)***
   1. New/Upscaled Process or Technologies
   2. Acceleration of the Technology to higher TRLs.
   3. New/ Upgraded System
   4. Techno-Economic Analysis (TEA) and Life Cycle Analysis (LCA) details
   5. Any other
6. **Work Plan**
7. **Expected outcomes and Impacts of the work**
8. **Research Roadmap after Project Completion**
9. **Names of 5 Experts/Agencies/ Institutions working in the similar area**

***(Please give complete Name, Designation, Address with pin code, telephone numbers & e-mail)***

1. **Any other information relevant to the Project proposal/ execution of the project**

***(Group strength, site details, economic analysis, company details etc.)***

**II. Details of Itemized Budget**

***(Ensure to mention the detailed justification)***

* + 1. **Non-recurring (Capital Items)**

**A1. Equipment:**

Budget for Permanent Equipment

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Description of Equipment** | **Unit Landed Price ( Rs.in lakh)**  **(CIF+ Custom Duty/ Taxes + others charges such as GST etc.)** | **Nos. of**  **Equipment** | **Total Rupees**  **(Rs.in lakh)** | **Justification in relation to project** | **Borne by DST/Industry** | **Quotation at Annexure- / page no\* indicating total cost of equipment in Indian rupees** |
|  |  |  |  |  |  |  |
|  |  |  | |  | **Gross total =** | |

***Note:* Sheet indicating the total landed cost in Indian rupees (mention currency conversion rate considered including freight, taxes, GST, spares, special installation, etc.)**

**A2. Fabrication System: Tailor made models/ experimental set up (if any).**

1. Budget for Fabrication system/Tailor made items

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Description of fabricated system** | **Unit Landed Price (CIF + Custom Duty+ others )** | **Nos.**  **of**  **Equipment** | **Total Rupees**  **(Rs. in lakh)** | **Justification in relation to project** | **Borne by DST/Industry** | **Enclosed Quotation at Annexure- / page no\* indicating total cost of equipment in Indian rupees** |
|  |  |  |  |  |  |  |
|  |  |  | **Gross total:** | | | |

**B. Recurring Items (General)**

**B1. Manpower**

|  |  |  |  |
| --- | --- | --- | --- |
| **Designation\*** | **Educational Qualification** | **Experience**  **in years, if applicable** | **Justification** |
|  |  |  |  |
|  |  |  |  |

**Note: Industry contribution towards manpower is not eligible**

**Note: *The manpower recruited for the project should be paid as per the rules of the institute and guidelines of the Government of India (OM. No. DST/PCPM/Z-06/2022 dated 26.06.2023 and SR/S9/Z-05/2019 dated 21.08.2019). The posts which are not covered under the guidelines but permissible under projects at the host institute are also permitted. The temporary staff employed for the project by the organization is not treated as employees of the Government of India and the deployment of such staff at the time of termination of the project will not be the concern/responsibility of the Government of India.***

**B2: Manpower Budget Details**

**JRF /SRF/ RA, Project Associates etc. Details (applicable for the given category)**

1. **Fellowship amount per month : Rs. \_\_\_\_\_ (1st year), Rs.\_\_\_\_\_ (2nd year), Rs\_\_\_\_\_( 3rd year)**
2. **Research Fellows allowances per month ie (HRA etc.), if applicable: Rs. \_\_\_\_\_ (1st year), Rs.\_\_\_\_\_ (2nd year), Rs\_\_\_\_\_( 3rd year)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Designation** | **Total Emoluments (in Rupees) lakhs** | | | | **No. of persons** | **Total**  **Amount**  **(Rs. Lakhs)** |
| **1st Year** | **2ndYear** | **3rd year** | **Total** |
|  |  |  |  |  |  |  |
|  | Gross amount required for manpower budget head = | | | | |  |

*Mention HRA % applicable to Manpower in your Organisation and the classification category of your city/town:………………. (Please ensure to fill in all the above details otherwise it shall be considered as* ***NIL****)*

**B2. Consumables**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Items** | **Amount**  **(Rs. in lakh)** | | **To be borne by DST/Industry** | **Justification** |
|  |  | |  |  |
|  |  | |  |  |
|  | | Gross total = | | |

**Part –II Justification for consumable items more than Rs 50,000/-, if applicable)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of the item** | **Unit price**  **(Rs. Lakhs)** | **Qty needed** | **Amount**  **(Rs. Lakhs)** | **Enclosed Quotation at annexure** |
|  |  |  |  |  |
|  |  |  |  |  |

**B3. Contingencies:**

**Budget for Contingencies (To be borne by DST)**

|  |  |  |
| --- | --- | --- |
| **Items**  **(unforeseen expenses, patents, report preparations etc)** | **Amount**  **(Rs. in lakh)** | **Justification** |
|  |  |  |
|  |  |  |
| **Total** |  |  |

**B4. Domestic/International Travel**

**Budget for Domestic/International Travel (To be borne by DST)**

|  |  |  |
| --- | --- | --- |
| **Domestic Travel** | **Total Amount (Rs. Lakhs)** | **Detailed Justification (In case of extensive field visits needed in the project indicating breakup of cost w.r.t. to journeys, mode and class of transport needed)** |
|  |  |  |
| **Total** |  | |

|  |  |  |
| --- | --- | --- |
| **International Travel** | **Total Amount (Rs. Lakhs)** | **Detailed Justification (** |
|  |  |  |
| **Total** |  | |

**B5. Other Costs, if applicable**

**Budget for Other Costs (To be borne by DST)**

|  |  |  |
| --- | --- | --- |
| **Item** | **Total**  **(Rs. in lakh)** | **Detailed Justification ( derived cost calculation and relevant Quotation at Annexure- / page no\* )** |
|  |  |  |
|  |  |  |
| **Gross total =** |  | |

**Industry Budget / Contribution (if any, Cash or Kind) :**

Submit similar above detail breakup for each Partner.

**Organization details: (Note: Below Information needed, if the proposal is recommended for Financial support)**

1. **Designation of the officer in organization who is vested with financials power:**
2. **Whether Beneficiary organization registered with Govt. of India Central Plan Scheme** Monitoring System\* (CPSMS): Yes/ No

\*(refer website: <https://pfms.nic.in/Users/LoginDetails/NewLayoutLogin.aspx>)

1. **If not get it registered at website (to receive the grant from GOI), If yes, inform Agency code registered at CPSMS**
2. **Whether beneficiary organization has opened a Zero Balance Account in Union Bank of India linked with the 4305 Vigyan Dhara scheme of DST.**

**Website:** <https://onlinedst.gov.in/Login.aspx>

**IV. Proforma for Bio-Data of Principal Investigator (PI)**

**1. Name :**

**2. Gender :**

**3. Category :**

**4. Date of Birth :**

**5. E-mail ID and Mobile No. :**

**6. Qualifications:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No.** | **Degree** | **Institution** | **Year** | **Division/Class** |
|  |  |  |  |  |

**7. Employment Experience**

|  |  |  |  |
| --- | --- | --- | --- |
| **S. No.** | **Position & Organisation** | **Nature of Job** | **Period** |
|  |  |  |  |

**8. List of Publications *(For last 5 years only) (Only journal publications with impact factor)***

**Journals/Book Chapters**

**9. Patents filed/Granted with details:**

**10. Books Published /Chapters contributed:**

**11. (a) Sponsored Research Projects**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **S. No** | **Title** | **Sponsoring Agency and Officer Concerned** | **Period** | **Amount** | **Achievements** |
|  |  |  |  |  |  |

**(b) Consultancy Projects**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No** | **Title** | **Sponsoring Agency** | **Period** | **Amount** |
|  |  |  |  |  |

**(c) Sponsored Research/Consultancy Projects submitted for approval**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.No.** | **Title** | **Agency to whom submitted** | **Duration** | **Amount** |
|  |  |  |  |  |

**Proforma for Bio-Data of Co-Principal Investigator (Co-PI)**

**1. Name :**

**2. Gender :**

**3. Category :**

**4. Date of Birth :**

**5. E-mail ID and Mobile No. :**

**6. Qualifications:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No.** | **Degree** | **Institution** | **Year** | **Division/Class** |
|  |  |  |  |  |

**7. Employment Experience**

|  |  |  |  |
| --- | --- | --- | --- |
| **S. No.** | **Position & Organization** | **Nature of Job** | **Period** |
|  |  |  |  |

**8. List of Publications *(For last 5 years only)***

***(Only journal publications with impact factor)***

**9. Patents filed/Granted with details**

**10. Books Published /Chapters contributed**

**11. (a) Sponsored Research Projects**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **S. No** | **Title** | **Sponsoring Agency and Officer Concerned** | **Period** | **Amount** | **Achievements** |
|  |  |  |  |  |  |

**(b) Consultancy Projects**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No** | **Title** | **Sponsoring Agency** | **Period** | **Amount** |
|  |  |  |  |  |

**(c) Sponsored Research/Consultancy Projects submitted for approval**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.No.** | **Title** | **Agency to whom submitted** | **Duration** | **Amount** |
|  |  |  |  |  |

# **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 about general aspects of Conflicts of Interest and code of ethics are objective measures that are intended to protect the integrity of the decision-making processes and minimize bias. The policy aims to sustain transparency, increase accountability in funding mechanisms, and provide assurance to the general public that processes followed in the award of grants are fair and non-discriminatory. The Policy aims to avoid all forms of biases by following a system that is fair, transparent, and free from all influence/ unprejudiced dealings, before, during, and after the currency of the program is entered into to enable the public to abstain from bribing or any corrupt practice to secure the award by assuring them that their competitors will also refrain from bribing and other corrupt practice and the decision makers will commit to preventing 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 of the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

## **Coverage of the Policy:**

1. 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 apply to all individuals including Officers of DST connected directly or indirectly or through intermediaries and Committees involved in the evaluation of proposals and subsequent decision-making process.
2. This policy aims to minimize aspects that may constitute actual Conflicts of Interest, apparent Conflicts of Interest, and potential Conflicts of Interest in the funding mechanisms that are presently being operated by DST. The policy also aims to cover, although not limited to, Conflicts of interest 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.)

## Specifications as to what constitutes a Conflict of Interest.

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

1. Due to any reason by which the Reviewer/Committee Member cannot deliver a fair and objective assessment of the proposal.
2. The applicant is a direct relative or family member (including but not limited to a spouse, child, sibling, or parent) or personal friend of the individual involved in the decision-making process or if any relative of an Officer directly involved in any decision-making process / has influenced interest/ stake in the applicant’s form etc. 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.
3. The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
4. The Reviewer/Committee Member is the Head of an Organization from where the applicant is employed.
5. The Reviewer /Committee Member is or was, associated with the professional career of the applicant (such as Ph.D. supervisor, Mentor, present Collaborator, etc.)
6. The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
7. The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
8. 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.
9. The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.
10. The Term “Relative” for this purpose would be referred to in section 6 of the Companies Act, 1956.

## **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 stakeholders involved in scientific research and research management, on issues about Conflict of Interest and Scientific Ethics. Any disclosure about the same must be made voluntarily by the applicant/Reviewer/Committee Member.

## **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.

## **Code of Conduct**

* + 1. **To be followed by Reviewers/Committee Members**:

1. All reviewers shall submit a conflict of interest statement, declaring the presence or absence of any form of conflict of interest.
2. The reviewers shall refrain from evaluating the proposals if the conflict of interest is established or if it is apparent.
3. All discussions and decisions about conflict of interest shall be recorded in the minutes of the meeting.
4. The Chairman of the Committee shall decide on all aspects of the conflict of interests.
5. The Chairman of the Committee shall request that all members disclose if they have any conflict of interest in the items of the agenda scheduled for discussion.
6. The Committee Members shall refrain from participating in the decision-making process and leave the room concerning the specific item where the conflict of interest is established or is apparent.
7. If the Chairman himself/herself has a conflict of interest, the Committee may choose a Chairman from among the remaining members, and the decision shall be made in consultation with Member Secretary of the Committee.
8. It is expected that a Committee member including the Chairperson will not seek funding from a Committee in which he/she is a member. If any member applies for a grant, such proposals will be evaluated separately outside the Committee in which he/she is a member.

## **To be followed by the Applicant to the Grant/Award:**

1. 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.
2. 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.

## **To be followed by the Officers dealing with Programs in DST:**

While it is mandatory for the program officers to maintain confidentiality as detailed in point no. 6 above, they should declare, in advance, if they are dealing with grant applications of a relative or family member (including but not limited to a spouse, child, sibling, parent) or thesis/ post-doctoral mentor or stands to benefit financially if the applicant proposal is funded. In such cases, DST will allot the grant applications to the other program officer.

## **Sanction for violation**

* + 1. **For a) Reviewers / Committee Members and b) Applicant**

Any breach of the code of conduct will invite action as decided by the Committee.

## **For Officers dealing with Program in DST**

Any breach of the code of conduct will invite action under the present provision of CCS (Conduct Rules), 1964.

* 1. **Final Appellate authority:**

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

## **Declaration**

**I have read the above “Policy on Conflict of Interest” of the DST applicable to the ~~Reviewer/ Committee Member/~~ Applicant/ ~~DST Scheme or Program Officer~~# and agree to abide by provisions thereof.**

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

I hereby declare that I have a conflict of interest of any form about the proposed grant\*

\* & # (Tick whichever is applicable)

## Name of the Applicant

*(****Strike out whichever is not applicable****)*

(**Signature with date**)

**VI. Undertaking from the Investigator(s)**

**Project Title:**

1. I/We have carefully read the terms and conditions of the Clean Energy Research Initiative (CERI) Programme 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 Head of the Industry  *(on letter head)* |  |
| b | Undertaking from the Institution Partner(s) |  |
| c | Complete Project Proposal with all enclosures  *(1 soft copy as .doc file/pdf)* |  |

**VII. Endorsement from the Head of the Organization**

**(***To be typed on the letter-head of the organization***)**

**Project Title**

1. Certified that the organization welcomes the participation of Dr/Mr/Mrs ………………..as the PI and Dr/Mr/Mrs………………as the Co-PI for the project and that in the unforeseen and legitimate event of discontinuation by the PI, the Co-PI will assume full responsibility for completion of the project. Information to this effect, endorsed by me, will be promptly sent to the DST
2. Certified that the equipment, other basic facilities and other administrative facilities as per the terms and conditions of the award of the Project, will be extended to the investigator(s) throughout the duration of the project
3. The Organization shall ensure that financial and purchase procedures are followed as per the prevailing norms of the organization, within the allocated budget.
4. The Organisation shall provide timely the Statement of Expenditure and the Utilisation Certificate of the grant as required by the DST in the prescribed format.

**(Head of the Institute)**

**Seal/Stamp**

**Date:**

**Place:**

**VIII. Endorsement from Industry**

*(On the official letter head)*

I have gone through the Project proposal entitled……………….submitted by …………… *(Name of overall led PI)* …of……………. *(Name of the Industry)* for DST funding and noted the obligations and responsibilities indicated in our name which are as below:

1. Contribution in financial terms *(mention amount in* ***Rs****.), if any.*

2. Contribution in Kind *(list activities)* if any

I hereby affirm that -------………….-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 the partnering Industry is summarised below:

Name of Organization

Line of Business

No. of employees

Annual Turn over

The Annual Report for the last financial year is enclosed.

**(Head of the Organization)**

**Seal/Stamp**

**Date:**

**Place:**

**Annexure-1**

**Budgetary quotes**