

Government of India
Department of Science & Technology
Strategic Programmes, Large Initiatives and
Coordinated Action Enabler (SPLICE)
CLIMATE CHANGE PROGRAMME

GUIDELINES FOR SUBMISSION OF PROJECT PROPOSAL FOR
CENTRES OF EXCELLENCE /MAJOR R&D PROGRAMMES

1. Invitation for submission of project proposals

The Department of Science & Technology (DST) under its Climate Change Programme (CCP) of Strategic Programmes, Large Initiatives and Coordinated Action Enabler (SPLICE) Division seeks partnership with lead R&D institutions to help positioning Centres of Excellence (CoEs) and Major R&D Programmes (MRDPs) as part of Human and Institutional Capacity Building (HICAB) Programme initiated for Indian Himalayan Region under National Mission for Sustaining the Himalayan Ecosystem (NMSHE).

DST invites proposal for establishing Centres of Excellence and Major R&D Programmes in lead academic and R&D Institutions in the Indian Himalayan Region. The submission of proposal is by invitation only.

2. Broad themes for Climate Change related research in Himalayan Ecosystem areas under National Mission for Sustaining the Himalayan Ecosystem (NMSHE) of Climate Change Programme of DST

Following broad themes for climate change related research in Himalayan Ecosystem areas can be chosen for proposals for staking up projects for Centres of Excellence and Major R&D Programmes under NMSHE

- Climate Change Science including Modelling for the Himalayan region
- Assessment of Climate vulnerability and risk in the Indian Himalayan Region
- Climate change impact on Himalayan ecosystem areas such as -
 - Glaciers
 - Water resources
 - Bio-diversity
 - Wildlife, Flora / fauna,
 - Health and Livelihood
 - Himalayan Agriculture
- Any other relevant area related to Climate Change

3. Expected credentials of Institutions and Project Investigators

- a. **Acknowledged Leadership:** CoEs and MRDPs under NMSHE will be built around a leading institution and having acknowledged leadership in the climate change and Himalayan ecosystem areas, as evidenced by their scientific track record
- b. **Administrative independence:** The programme will be guided by an independent advisory structure to be established through consultation between DST and the host institution. This is to ensure long-term efficiency

and sustainability. The programme will also be evaluated and monitored on a continuous basis by committees set up by the DST.

- c. **Performance Measurement Assessment:** Performance of the CoEs/MRDPs will be judged by the following broad criteria.
- i. **Implementation of deliverables:** Timelines of all deliverables of the CoE/MRDP programme will be set at the time of launch. The progress of the programme will be judged through its performance in achieving targets set for these deliverables and utilization of funds in implementation of these deliverables.
 - ii. **Measurements:** The programme should be able to demonstrate the valued results that justified its creation through the use of output matrix. Coordination across other institutes of similar interests would be needed to enable the programme to deliver value added services.
 - iii. **Success Indicators:** The overall success of the programme will be judged through adherence to the timeliness of completion of recommended milestones, assessments, reviews and implementation and overall output/outcome in terms of research publications, their impact factors, development of new techniques, capacity building programmes organised, PhD/PG student enrolled, etc.

4. **Qualifying Criteria for Institutions hosting CoEs/MRDPs**

- i. The programme is expected to be led by an investigator with a proven track record and expertise central to the research theme of the proposal.
- ii. There are several factors which would be considered while technically and administratively examining the potential of agency /institution and project investigator who leads the CoE/MRDP programme. A few of them are listed in para 5 and 6 below.
- iii. CoE/MRDP programme should be created within the existing institutional framework. The Team leader/ Project Investigator will have the primary responsibility for administering the programme and for overseeing the development of the programme and its associated core facilities.
- iv. Research institutes, universities, and other recognized research laboratories in the public sector and not-for-profit laboratories would be eligible for grant under CCP-DST programme. The Institute should have well established research facilities as well as a core faculty with expertise in the relevant area. The centre grants are intended for institutions with a substantial investment in, and commitment to, the area of thematic focus.

5. **Essential Criteria for the Project Investigators spearheading DST's programme**

The following criteria must be followed for the Principal Investigators:

- The Principal Investigator must be a researcher working in the **permanent capacity** at the institution (only within state) dealing with climate change and related areas of research
- He / She must have **at least 5 years of regular service still remaining at the institution** where the current work is proposed.

- He / She must have a proven track record of knowledge and expertise central to the thematic focus of the CCP-DST programme as evidenced by peer-reviewed publications, patents etc.
- He must be an established research scientist who will ensure that high-quality research is performed and who has the experience to effectively administer and integrate all components of the programme.
- He/ She should also have the requisite administrative experience to direct the programme.
- The bio-data of PI should also include details of research projects handled, number of Ph.D students registered, number of research papers published, total impact factor, citation index, patents filed granted, technologies transferred, etc.
- A list of 10 best research papers published along with their impact factor and citation index may be provided.

6. Overall Research Plan

Each application must describe in details an overall research plan to justify support of a thematic programme for next five years. If the proposed research is closely related to ongoing research of an existing centre, an explanation how the research activities will complement but not overlap with existing research should be described. The institutional environment and resources that are available to investigators must be clearly described. Available resources (e.g., laboratory facilities, details of space and personnel) and collaborative resources should be described.

7. Nature of support to be made available through the Scheme

The grant-in-aid would be provided for minor equipment, consumables, contingency, travel etc. The salaries of the scientists and research students associated with the programme would be defrayed for the project duration only. A letter of undertaking will be required at the time of submission of full proposal stating that the financial liability for any new faculty positions would be borne by the Host Institutes at the end of the project support. Such commitment would be given by the Head of the Host Institute(s) or by a competent authority as authorized by him/her. These faculty positions would be regular appointments made by the host Institute and they would devote full time to Centre. The host institution must give a written commitment to this effect.

In addition, PI has to give following undertakings:

- i. No such proposal has been submitted for seeking support from any other funding agencies*
- ii. They will acknowledge support provided by DST in all their publications including reports, research papers, monographs, etc*
- iii. DST's name must appear in the name of proposed Centres of Excellence (e.g., "DST's Centre of Excellence on...")*

8. Expected outcome from the CCP-DST programme towards building Strategic Knowledge for Climate Change

The knowledge/data generated through CCP-DST programme will be exclusively made available to DST on periodic basis (e.g., quarterly) for generating strategic knowledge for climate change. The sharing of data with other agencies/ organizations/ public will be decided as per the provisions of new data sharing policy formulated by DST.

9. Tenure and budget ceiling for CoE/MRDP project proposals

A Centre of Excellence under DST's Climate Change Programme generally has tenure of 5 years with a budget ceiling of Rs 10 Cr whereas a Major R&D programme has tenure of 3 years with a budget ceiling of Rs 3 Cr.

10. Format for submission of the project proposal

The project proposal may be submitted in the prescribed format as given in **Annex-I**.

11. Whom to submit the proposal

20 copies of the full proposal may be submitted to Dr Akhilesh Gupta, Adviser & Head, Climate Change Programme, Strategic Programmes, Large Initiatives and Coordinated Action Enabler (SPLICE) , Room No 16 B, Technology Bhavan, Department of Science & Technology, New Mehrauli Road, New Delhi-110 016. The soft copy of the same may be sent to him by email (akhilesh.g@nic.in) and to Dr Nisha Mendiratta, Scientist-G & Associate Head (nisha67@nic.in), CCP-SPLICE, Dr Susheela Negi, Scientist-E (susheela.n@nic.in) and Dr Rabindra Panigrahy, Scientist-C (rabindra.p@gov.in)

FORMATS FOR SUBMISSION OF PROJECT PROPOSAL

**For setting up of a
CENTRE OF EXCELLENCE (CoE) or MAJOR R&D PROJECT (MRDP)
as part of
National Mission for Sustaining the Himalayan Ecosystem (NMSHE)**

PART A (General Information)

1.0 Project Title :**1.1. Broad area: Please tick the appropriate one**

- Climate Change Science including Modelling for the Himalayan region
- Assessment of Climate vulnerability and risk in the Indian Himalayan Region
- Climate change impact on Himalayan ecosystem areas such as -
 - Glaciers
 - Water resources
 - Bio-diversity
 - Wildlife, Flora / fauna,
 - Health and Livelihood
 - Himalayan Agriculture
- Any other relevant area related to Climate Change

1.2 Sub Area: (if any)**1.3. Duration :****1.4. Total cost :****1.5 FE component (if any)****1.6 Details of Principal Investigator**

i.	Name	
ii.	Designation	
iii.	Institution name & address	
iv.	Date of birth	
v.	Date of Superannuation	
vi.	Sex (Male/Female)	
vii.	Telephone (landline and mobile)	
viii.	Fax, Email, Website	

1.7 Details of Co-PIs# :

i.	Name	
ii.	Designation	
iii.	Institution name & address	
iv.	Date of birth	
v.	Date of Superannuation	
vi.	Sex (Male/Female)	
vii.	Telephone (landline and mobile)	
viii.	Fax, Email, Website	

i.	Name	
ii.	Designation	
iii.	Institution name & address	
iv.	Date of birth	
v.	Date of Superannuation	
vi.	Sex (Male/Female)	
vii.	Telephone (landline and mobile)	
viii.	Fax, Email, Website	

i.	Name	
ii.	Designation	
iii.	Institution name & address	
iv.	Date of birth	
v.	Date of Superannuation	
vi.	Sex (Male/Female)	
vii.	Telephone (landline and mobile)	
viii.	Fax, Email, Website	

Please include additional tables if there are more number of Co-PIs

1.8 Collaborating Institutions, if any :

1.9 Project summary: (About 500 Words)

Key words :

PART B (Information about the project)

- 2.0 Introduction**
- 3.0 Objectives**
- 4.0 State of the art / review of present knowledge in the proposed thematic and sub-thematic areas**
- 5.0 Need of the study/importance of the project proposal**
- 6.0 Linkage and relevance of the proposed project to the National Mission for Sustaining the Himalayan Ecosystem (NMSHE) implemented by DST**
- 7.0 Relevance of the project to the work already going on in the host organisation**
- 8.0 How will the project outputs be dovetailed into the overall development?**
- 9.0 End-of-project deliverables**
- 10.0 How will the project outcome going to benefit the scientific community as well as the society in large?**
- 11.0 Identified gaps, if any.**
- 12.0 Experts consulted or likely to be consulted for the project.**
- 13.0 Steps (detailed one) to be adopted under the project to achieve the proposed objectives**

14.0 Work plan with quantifiable deliverables [Time Schedule of Activities through BAR Diagram may also be provided]

Sl.No.	Activity	Start month	End month	Proposed Outcome

15.0 Approaches / methodologies for the work plan:

16.0 Expertise of the PI to carry out the proposed project

17.0 Implementation for arrangements proposed for the project (linkages and management structure)

18.0 Suggestions for utility/replicability of the project outcomes

19.0 Anticipated risks during the project implementation; if any

20.0 Suggested plan of action for utilisation of expected outputs from the project

21.0 Name of the nearest official branch of the Union Bank of India

22.0 Budget estimates:

	Item	BUDGET					(in Rupees)
		1st Year	2nd Year	3rd Year	4th year	5th Year	Total
A.	Recurring						
	1.Salaries/wages						
	2. Consumables						
	3. Travel						
	4. Other costs						
B.	Equipment						
	Grand total (A+B) Total FEC*						

*FEC- Foreign Exchange Component Foreign Exchange component (in US\$) equivalent of rupee amount at the prevailing rates may be furnished.

22.1 Budget for salaries / wages

Designation & number of persons	Monthly Emoluments	BUDGET					(in Rupees)
		1st Year	2nd Year	3rd Year	4th year	5th Year	Total
Total							

Justification [DST norms must be followed as per guidelines for Research Fellows, Scientists and Assistants] http://dst.gov.in/whats_new/main-new.htm#1

22.2 Budget for consumable materials:

Item		BUDGET					(in Rupees)
		1st Year	2nd Year	3rd Year	4 th year	5 th Year	Total
	Q*						
	B**						
	F***						
Total	B						
	F						

*Q: Quantity or number, ** Budget, ***F: Foreign Exchange Component in US\$
Justification [Quotations must be enclosed]

22.3 Budget for travel :

		BUDGET					(in Rupees)
		1st Year	2nd Year	3rd Year	4 th year	5 th Year	Total
	Travel (Only inland travel)						

Justification [Tentative number of visits may be given]

22.4 Budget for other costs :

		BUDGET					(in Rupees)
		1st Year	2nd Year	3rd Year	4 th year	5 th Year	Total
	Other costs/Contingency costs						

Justification

22.5 Budget for equipments

Sl. No.	Generic name of the Equipment along with make & model	Imported/Indigenous	Estimated Costs (in Foreign Currency also)*	Spare time for other users (in %)

Justification for the proposed equipment [Quotations must be enclosed]

22.6 List of facilities being extended by parent institution(s) for the project implementation.

A) Infrastructural Facilities:

Sr. No.	Infrastructural Facility	Yes/No/ Not required Full or sharing basis

1.	Workshop Facility	
2.	Water & Electricity	
3.	Laboratory Space/ Furniture	
4.	Power Generator	
5.	AC Room or AC	
6.	Telecommunication including e-mail & fax	
7.	Transportation	
8.	Administrative/ Secretarial support	
9.	Information facilities like Internet/ Library	
10.	Computational facilities	
11.	Animal/ Glass House	
12.	Any other special facility being provided	

B. Equipment available with the Institute/ Group/ Department/ Other Institutes for the project:

Equipment available with	Generic Name of Equipment	Model, Make & year of purchase	Remarks including accessories available and current usage of equipment
PI & his/her group			
PI's Department			
Other Inst In the region			

23.0 Names and addresses of experts / institutions interested in the subject / outcome

24.0 Bio-data of PI/CO-PIs

25.0 Details of any other project being implemented or completed by the PI/CO-PI's with the support from DST and any other govt. ministries / departments (Title, year of sanction, cost and status)

26.0 List of projects completed by PI :

Sno	Title of project	Funded by	Cost	Year of completion

Signature of the Principal Investigator

Name

Date

Place

27.0 ENDORSEMENT FROM THE HEAD OF INSTITUTION

PROJECT TITLE :

1. Certified that the Institute welcomes participation of (name of PI..) as the Principal Investigator for the project entitled above.
2. Certified that the equipment other basic facilities and such other administrative facilities as per terms and conditions of the grant will be extended to the investigator throughout the duration of project.
3. Institute assumes the financial and other management responsibilities of the project.

Name, Signature and Seal of Head of Institution

Date

Place :

In regard to the research proposals emanating from scientific institutions/laboratories under various scientific departments the Head of the institution is required to provide a justification indicating clearly whether the research proposal falls in line with the normal research activities of the institution or not.

CERTIFICATE FROM THE PROJECT INVESTIGATORS

PROJECT Title:

1. I/We agree to abide by the terms and conditions of the DST grant.
2. I/We undertake to state that no such proposal has been submitted for seeking support from any other funding agencies
3. I/We undertake that support provided by DST will be acknowledged in all the publications including reports, research papers, monographs, etc emanating from the project
4. I/We undertake that DST's name will appear in the name of proposed Centres of Excellence (e.g., "DST's Centre of Excellence on...")
5. I/we have explored and ensured that equipment and basic facilities 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 procedure for procurement of these items.
4. I/We undertake that spare time on permanent equipment. (listed in section 22.6) will be made available to other users.
5. I/We undertake to submit progress reports statement of accounts, utilisation certificates etc., regularly as prescribed by DST.
6. I/We have enclosed the following materials:

Sno	Item	No of copies
a	Endorsement from the head of the Institution (on letter head)	One
b	(This) Certificate from Investigator (s) -	One
c	Details of the proposals from the Section 1.0 to 26.0 (stitched)	20
d	Name (s) and address (es) of experts/ institutions interested in the subject/outcome	two

Name and signature of investigator

Date:

Place: