



Cooperation on Research & Innovation between DBT and the EU in 'Horizon 2020' Work programmes 2018-2020

Indian researchers, universities, research organisations and enterprises can team up with European partners to participate in collaborative projects under '**Horizon 2020**', the funding programme for research and innovation of the European Union for the period 2014-2020.

Through participation in 'Horizon 2020', Indian partners can benefit from access to talent, knowledge, data and infrastructures, and connect to world-leading teams, networks, value chains and address jointly global challenges. Based on the principle of "Horizon 2020' open to the world", Indian entities can participate in Horizon 2020 call for proposals but are not entitled to funding.

For this purpose, the Department of Biotechnology (DBT) and the European Commission (EC) have agreed in August 2016, to establish a **Co-Funding Mechanism** (CFM) by which, subject to certain conditions and modalities, DBT agrees to fund the successful Indian partners in a Horizon 2020 collaborative project.

In October 2018, DBT and the EC have agreed to apply the CFM to 15 calls selected under the Horizon 2020 Work Programme 2018-2020, as published on 24 July 2018.

Summarized, the CFM works as follows:

1. The CFM is applicable in the preselected 15 calls only (see list in [Section 1](#)). The calls are listed in the priority of the call deadlines.

The areas selected are within DBT's mandate and correspond to calls in the 'Horizon 2020' work programmes related to Health, bioeconomy, and biotechnology.

2. The funding modalities for the Indian partners to be funded by DBT are explained in Section 2. Funding by DBT will be done subject to complying with all the modalities as per Indian law and proper submission of templates allowing to assess the budget required.
3. Indian participants submitting a proposal under a topic selected for CFM in the Horizon 2020 calls are required to submit also a copy of the proposal, including the Indian budget requested from DBT. In the absence of this, DBT will disqualify the Indian participants from funding.

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SECTION 1: LIST OF CALLS SELECTED FOR CO-FUNDING BY DBT.

List of Calls selected by DBT for Co-Funding under Horizon 2020 Work programme 2018-2020¹.

Click on the topic links to see complete call text.

Health

	TOPIC	Deadline Model	Planned opening	1st Deadline/time	2nd stage Deadline
1	SC1-DTH-01-2019: Big data and Artificial Intelligence for monitoring health status and quality of life after the cancer treatment	single-stage	16-Oct-18	24-April-19 17:00	

Food security, sustainable agriculture and forestry, marine, maritime and inland water research and the bioeconomy

	TOPIC	Model	Planned opening	1st Deadline	2nd stage Deadline
2	CE-BG-06-2019: Sustainable solutions for bio-based plastics on land and sea	single-stage	16-Oct-18	23-January-19 17:00	
3	CE-RUR-08-2018-2019-2020: Closing nutrient cycles: B.[2019] Bio-based fertilisers from animal manure (IA)	single-stage	16-Oct-18	23-January-19 17:00	

¹ http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-work-programmes-2018-20

4	LC-RUR-11-2019-2020: Sustainable wood value chains	single-stage	16-Oct-18	23-January-19 17:00	
5	SFS-11-2018-2019: Anti-microbials and animal production: B. [2019] Alternatives to anti-microbials (IA)	single-stage	16-Oct-18	23-January-19 17:00	
6	SFS-05-2019: New and emerging risks to plant health	two-stage	16-Oct-18	23-January-19 17:00	4-Sept-19 17:00
7	SFS-28-2019: Genetic resources and pre-breeding communities: B. [2019]: Adding value to plant GenRes (RIA)	two-stage	16-Oct-18	23-January-19 17:00	4-Sept-19 17:00
8	SFS-08-2019: Improving animal welfare: B. [2019] Precision livestock farming (IA)	single-stage	16-Oct-18	23-January-19 17:00	
9	SFS-05-2019: New and emerging risks to plant health	two-stage	16-Oct-18	23-January-19 17:00	4-Sept-19 17:00
10	LC-SFS-19-2019: Climate-smart and resilient farming	two-stage	16-Oct-18	23-January-19 17:00	4-Sept-19 17:00
11	LC-SFS-17-2019: Alternative proteins for food and feed	single-stage	16-Oct-18	23-January-19 17:00	
12	LC-CLA-06-2019: Inter-relations between climate change, biodiversity and ecosystem services	two-stage	14-Nov-18	19-February-19 17:00	4-Sept-19 17:00

13	CE-SFS-39-2019: High-quality organic fertilisers from biogas digestate	single-stage	16-Oct-18	23-January-19 17:00	
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Biotechnology

	TOPIC	Model	Planned opening	1st Deadline	2nd stage Deadline
14	CE-BIOTEC-05-2019: Microorganism communities for plastics bio-degradation (RIA)	single-stage	16-Oct-18	5-March-19 17:00	
15	BIOTEC-02-2019: Boosting the efficiency of photosynthesis (RIA)	two-stage	16-Oct-18	22-January-19 17:00	3-Sept-19 17:00

To be noted:

Main differences between the **two-stage** and the **single-stage** proposal procedures can be summarised as follows:

- In stage 1 of a two-stage procedure, applicants submit a short proposal (maximum 10 pages, unless otherwise specified in the submission system). Part A is shorter including only the total funding requested from EC (without a breakdown of costs). Part B is also shorter (10 pages) and, focuses only on 'excellence' and in part on 'impact', notably in relation to the expected impact statement in the work programme (compared to a one stage proposal requiring elaboration on all three evaluation criteria at once).
- In a two stage project, Indian participants are requested to submit total budget estimation (no detailed breakdown).
- Proposals which pass the overall threshold for stage 1 (see [Annex H of the General Annexes to the Work Programme](#)), will be invited to submit a full proposal for stage 2.
- At the end of stage 1, Coordinators of the unsuccessful proposal receive an Evaluation Summary Report (ESR), showing the results of the evaluation of their proposal. For successful stage 1 proposals, general feedback is provided to all coordinators, but the stage 1 ESR is only sent after stage 2.
- Stage 2 is the same as the single proposal procedure. However, the full proposal must be consistent with the short proposal submitted in stage 1 and must not differ substantially from it.

Type of funding actions under Horizon 2020: **Research and Innovation Actions (RIA)** and **Innovation Actions (IA)**. The main differences are the following:

- **Research and Innovation Action (RIA): aiming at** tackling clearly defined challenges which can lead to the development of new knowledge and/or new technology.
- **Innovation Action (IA): supporting** closer-to-the-market activities including prototyping, testing, demonstrating, piloting, scaling-up etc. for new or improved products, processes or services.

The funding modalities for the entities receiving funding from Horizon 2020, are different in the case of a RIA compared to IA but tis is not applicable/relevant for the funding of the Indian entities, for which DBT requirements apply.

SECTION 2: MODALITIES OF PARTICIPATION AND FUNDING

1. PARTICIPATION

1.1 Participants from India:

- Any legal entity/ organization established in India with expertise in relevant and distinct disciplines. No limit on Indian participants but should be necessary for the execution of the project and comply with the modalities ([see section 2](#))
- The calls are open to all career groups (i.e. early, intermediate and senior); however, it is expected that investigators will have adequate service tenure to accommodate key research, coordination and outreach responsibilities. Early career investigators are encouraged to participate.

1.2 Participants from EU:

- **Entities from Member States of the European Union**², including their overseas departments and outermost regions³; and
- Entities from **Associated Countries** (AC)⁴ to EU R&I Programme 'Horizon 2020'.

Jointly called hereafter participants from '**Europe**'.

² https://europa.eu/european-union/about-eu/countries_en

³ http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-a-countries-rules_en.pdf

⁴ As of 1 May 2018, the following countries are associated to Horizon 2020: Iceland, Norway, Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine, Tunisia, Georgia, Armenia.

All three legal entities shall be independent of each other within the meaning of Article 8 of Horizon 2020 Rules for Participation⁵.

To be noted:

As specified in the [Participant Portal](#) "Until the UK leaves the EU, EU law continues to apply to and within the UK, when it comes to rights and obligations; this includes the eligibility of UK legal entities to fully participate and receive funding in Horizon 2020 actions. The eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to be eligible to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article 50 of the grant agreement."

UK Government Statement: UK businesses and universities should continue to bid for competitive EU funds while we remain a member of the EU and we will work with the Commission to ensure payment when funds are awarded. The Government will underwrite the payment of such awards, even when specific projects continue beyond the UK's departure from the EU."

1.3 Composition of Consortium:

The Research and Innovation Action (RIA) and Innovation Action (IA) will be carried out by a consortium of organisations working together on specific research and/or innovation areas identified in the call text.

In addition to the **3 mandatory participants from 'Europe'**, there is **no restriction on additional number of participating** entities/organizations from Europe or **India** or as a matter of fact from anywhere in the world. Indeed, based on the principle 'Horizon 2020 Open to the World', entities located anywhere in the world are also eligible to join the project consortium, subject to specific Horizon 2020 funding rules.

The number of project partners should be optimum and correspond to the objectives of the project. Each project should clearly demonstrate the partner's essentiality, complementarities, and added value in jointly addressing the topic.

According to European Commission (EC) guidelines, a Horizon 2020 project proposal must appoint a consortium beneficiary to serve as the central contact point and represent the consortium towards the EC. This beneficiary is also known as the '**Project Coordinator**'⁶. It is advised to appoint "Project Coordinator" from among the European participants, who are familiar with the Horizon 2020 rules, requirements and procedures. In case there is more than

⁵ https://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf

⁶ **Project Coordinator:** A project coordinator is the individual who leads a Horizon 2020 project. Most often, the project coordinator will organize the consortium, prepare the proposal and manage the project. The coordinator signs the Grant Agreement for his or her organization with the European Commission and other beneficiaries accede to the Agreement. The coordinator is the only authorized representative of the consortium for any communication with the European Commission. https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf (page 15)

one Indian participant in a given project, it is advised that a **'Lead Scientific Coordinator'** among the Indian participants is appointed who can represent the Indian participants in the consortium vis-à-vis DBT.

1.4 Gender Balance:

Applicants are encouraged to promote equal opportunities in the implementation of the action by ensuring a balanced participation of women and men at all levels of the research and innovation teams and in the management structures.

2. ELIGIBILITY

The participating entities/organisations have to be a legal entity as per Indian law (Indian applicants) and Horizon 2020 rules of participation (European and Indian applicants).

2.1 India - Entities eligible to participate:

- Government of India supported or recognised (Public or Private) academia; research organisations and urban or other local bodies;
- Government of India recognised not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research foundations, having research as one of the imperative mandates;
- Indian Industry can be a partner in the consortium and are eligible for funding subject to fulfilment of DBT's technical, administrative and financial norms.

To be noted:

Academic/Research Partners:

- *Public and/or private universities and research organisations must have a well-established research support system, for basic or applied research; and*
- *Submission of proof of establishment under Indian statute; recognition documents and registration at Government of India's Public Finance Management System (PFMS) - <https://pfms.nic.in> shall be obligatory.*

Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research Foundations:

- *The Indian private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research foundations should have experience of at least 3 years in scientific research, teaching, training and extension activities; and*
- *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;*

Industry partners:

- *Should be an Indian Company registered under the Companies Act, wherein 51% (or more) of the ownership/shareholding/partnerships shall be held by resident Indian citizen(s); and Submission of certificate of incorporation issued under Companies Act; Shareholding/ subscriber Particulars; 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.*

Ineligible organisations:

- *Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding from DBT under this action; and*
- *Research centres and academic organisations headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding from DBT under this programme.*

2.2 Europe - Entities eligible to participate

- Any natural or legal person⁷ (e.g. any company, big or small, research organisations, universities, non-governmental organisations, etc.) regardless of their place of residence or establishment in Europe;
- They must possess the operational and financial viability to carry out the research tasks that they propose.

3. FUNDING

DBT will fund the Indian consortium members as per requirement of the project, for the project duration up to 5 years.

Budget should be commensurate with the workload, objectives of the project and cost of participation.

3.1 Funding by DBT:

3.1.1 DBT will support:

Budgeted costs of the project to legal entities subject to obligatory fulfilment of eligibility criteria:

- DBT will support (Grant-in-aid) 100% of the approved budget costs to the following two categories of organizations:
 - Government of India supported or recognised public or private academic institutions or research organisation, and urban or other local bodies;
 - Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/Research foundations, having research as one of the imperative mandates

Eligible costs for funding are: Capital expenditure (equipment's) || Manpower || Consumables || Travel (local and international travel) || Contingency || Overheads || Outsourcing || others. (*Academia can factor in additional sub heads (in other category) such as training &*

⁷ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/find-partners_en.htm

awareness; workshops; publications; review meetings, etc. under expenditure based on the requirement of the project).

ii. Grant-in-aid to Industry:

- a. DBT's support to Industry shall not exceed 50% of the total project cost and the remaining 50% contribution shall mandatorily come from the Industry;
- b. The cost breakup for the DBT component of the proposal shall be: Capital and Manpower costs each not exceeding 30% of the DBT supported project cost; and balance will cover consumables and travel costs. Contingency & overhead costs will not be permissible;

3.1.2 Non allowable cost from DBT:

- i. Civil Construction costs
- ii. Prosecution/litigation costs
- iii. Salary of investigators

3.2 Funding by EU:

Funding of European partners, as per Horizon 2020 rules of participation, for Research and Innovation Action (RIA) and Innovation Action (IA).

For details, see: http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-grant-factsheet_en.pdf

4. PREPARATION OF PROPOSAL:

The Indian and European participants must formulate a joint proposal according to the requirements and templates provided by the Horizon 2020 – Participant Portal format⁸ and DBT's administrative and financial requirements.

Complying with the formats and templates of Horizon 2020 and DBT for the Indian partners is compulsory. The Horizon 2020 proposal itself consists of two main parts:

- **Part A:** the **Administrative Forms** containing general information on the project (title, abstract, and keywords), the consortium (basic administrative data, contact persons, declarations) and the budget overview.
- **Part B:** the Technical Annex containing the detailed description of the **planned research and innovation project**. The structure is based on the evaluation criteria (cite them here) as provided in the proposal template for a RIA.

⁸ https://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/2018-2020/h2020-call-pt-ria-ia-2018-20_en.pdf

In addition, the administrative and financial requirements specifically for Indian applicants must be provided according to DBT templates ([see Annex 1](#)). These documents shall be added to the Horizon 2020 online proposal as an Annex.

Further mandatory or optional annexes (e.g. supporting documents for regulatory and ethics issues) required by the call and the given topic, as shown in the submission system.

It is essential that the project consortium makes a thorough analysis of the project strengths, weaknesses, opportunities and threats, prior to filling out technical section. It is equally important to address properly all three selection criteria: scientific excellence, impact, and quality and efficiency of the implementation.

To be noted:

IPR legislation and other rules are often crucial for participants in research projects, as they may have a deep influence on the way in which the knowledge can be shared during a project resulting, and in which project results can be commercially used.

The participants shall jointly develop a Consortium Agreement (CA)⁹. The CA is a specific agreement to be concluded between the participants in joint research defining, among other things, ownership, protection, user rights for research and development purposes, exploitation and dissemination, including arrangements for joint publication, the rights and obligations of visiting researchers and dispute settlement procedures. The CA shall also address foreground and background information, licensing and deliverables.

The IPR issues for all the proposals need to satisfy the S&T agreement between EU and India¹⁰ and should also be in conformity with the Annotated Model Grant Agreement^{11 12}.

4.1 Preparation of Budget

The “Project Coordinator” must ensure that the financial budget in the joint proposal to the EU is presented in EUR (€), while the Indian participant(s) must ensure that the budget requested from DBT is presented in Indian Rupees (₹)..

4.1.1 Part A: budget in EUR

- Part A is partially pre-filled with proposal data on: (1) General information, (2) Participants and contacts, (3) Budget; (4) Ethics and (5) call specific questions;
- Each participant (European and Indian) to indicate cost of their action in EUR **in Part A section 3 - Budget for the proposal;**
- The total budget corresponds to the total cost of the project (Colum H).

⁹ http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-cons-a_en.pdf

¹⁰ http://trade.ec.europa.eu/doclib/docs/2003/july/tradoc_113341.pdf

¹¹ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

¹² http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm

3 - Budget for the proposal

Research and Innovation actions

No	Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of sub- contracting/€	(D) Direct costs of providing financial support to third parties/€	(E) Costs of inkind contributions not used on the beneficiary's premises/€	(F) Indirect Costs / € (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs / €	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)	(I) Reimburse- ment rate (%)	(J) Max. EU Contribution / € (=H*I)	(K) Requested EU Contribution/ €
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00

To be noted:

Indian applicants should indicate "zero" under columns (I), (J) and (K) concerning EU contribution requested from EU Horizon 2020, since they do not obtain funding from EU/Horizon 2020 but will be funded by DBT only.

4.1.2 Part B: Indian participants prepare budget (in Rupees) according to DBT requirements and templates:

- Indian participants **MUST** submit detailed financial plan in **Indian Rupees (₹)** for duration of the project.
- The detailed Indian financial plan for each Indian participant in the project must be specified according to format provided by DBT in [Annex 1](#): Indian academic partners must use "Budget Format - Academic Partner" (at para G.10) and Indian industry partners must use "Budget Format - Industry Partner" (at para G.11).

4.1.3 DBT's budget calculation for Indian participants:

Indian participant must ensure that each Indian participant follows budget format proposed by the DBT.

Direct Costs:

- 1) **Manpower cost:** as per the requirements of the project (emoluments will be as per prevailing Gov. of India norms);
- 2) **Mobility of investigator(s) & project staff(s):** for visit(s) and work related to project to be undertaken by Indian investigator(s) & project staff(s) **in Europe**; the cost of travel and man-days of stay in European countries (i.e. round-trip international travel by economy class, admissible insurances, local transport, boarding and lodging) must be justifiably budgeted by respective Indian organisation for each year, at G. 9, 10, 11 (as applicable) of [Annex 1](#) as well as at Horizon 2020 Participant Portal.

It is expected that institution hosting the collaborating investigator(s) & project staff(s) of other consortium participants, shall provide research facility and research resources to accomplish defined objectives and if required, it can also be reflected in each participant budget adequately.

- 3) **Overhead/Indirect Cost:** overhead expenses payable to institute for Indian partners, up to 10% of the total project cost for educational institutions and up to 8% for laboratories and institutions under central Government Departments/Agencies as per prevailing Gov. of India norms.

To be noted:

The budget that DBT provides to Indian participants does not cover expenses incurred by the European and other countries' applicants in the consortium.

SECTION 3: REGULATORY AND ETHICAL CONSIDERATIONS (IF APPLICABLE)

5.1 Research using hazardous microorganisms, genetically engineered (GE) organisms & products thereof for R&D purpose:

In India, research using hazardous microorganisms, genetically engineered (GE) organisms & products thereof are governed under Rules, 1989 (Rules for the Manufacture, Use/Import/Export and Storage of Hazardous Micro Organisms/ Genetically Engineered Organisms or Cells) of Environment (Protection) Act, 1986, according to which, necessary intimation/ recommendation/ authorization from concerned Institutional Biosafety Committee (IBSC), Review Committee on Genetic Manipulation (RCGM) & Genetic Engineering Appraisal Committee (GEAC) is obligatory based on type & scale of research operations.

Further guidance on regulatory considerations can be obtained from:

- Guidelines and Handbook for IBSCs, 2011
<http://www.dbtindia.nic.in/wp-content/uploads/9.-Guidelines- Handbook 2011.pdf>
- Regulations and Guidelines on Biosafety of Recombinant DNA Research & Biocontainment, 2017
<http://www.dbtindia.nic.in/wp-content/uploads/Draft-Biosafety-Regulations-and-Biocontainment-Guidelines-2017-FF.pdf>
- Recommendations for Streamlining the Current Regulatory Framework, 2005
http://www.moef.nic.in/divisions/csurv/geac/draftreport_rpharma.pdf

5.2 Human and Animal Subjects Research:

DBT and the European Commission are committed to ensure that projects involving human or animal subjects are protected from research risks in compliance with the rules and policies in respectively the EU and India (ICMR/DBT policies).

All projects recommended for award that involve human or animal subjects will undergo Horizon 2020 ethics review¹³ as well as a review by the Indian Bioethics Committees prior to award request.

For information on ICMR policies, please consult:

- National Ethical Guidelines for Biomedical and Health Research Involving Human Participants, 2017
http://www.icmr.nic.in/guidelines/ICMR_Ethical_Guidelines_2017.pdf

India PIs of the consortium should apply to their institutional review boards (IRBs)/ institutional ethics committees (IECs) **at the time of submission of proposal** to obtain necessary bioethics approvals from all involved institutions. If selected, Indian PIs are required to submit proof of their institution's IRB/IECs approval to DBT by no later than 30 November 2019.

SECTION 4: PROCESS FOR SUBMISSION OF PROJECT PROPOSAL

6.1 Submission of proposal on Horizon 2020 Participant Portal:

Proposals must be submitted electronically using the electronic submission system of the Horizon 2020 Participant Portal¹⁴. This task is to be done by the designated Project Coordinator.

Access to the electronic submission system is available after selecting a topic and a type of action of a call. Click here to start submission

Type of Action	Research and Innovation action [RIA]	START SUBMISSION
Topic	Towards a next generation influenza vaccine to protect citizens worldwide – an EU-India collaboration - SC1-BHC-32-2019	

Proposals must be created and submitted by a representative/contact person of the coordinating organization. The electronic submission system is an online wizard that guides you step-by-step through the preparation of your proposal.

As explained above (Point 4), a proposal consists of 2 main parts: PART A relating to administrative forms (structured information of the basic administrative data, declarations of partners, organizations and contact persons, etc...) and PART B containing the technical

¹³ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

¹⁴ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals_en.htm

specifications, the detailed description of the planned research and innovation project; outlining work packages, budget and costs, etc.

The documents relating to administrative and financial requirements of Indian applicants should also be part of the Horizon 2020 electronic submission (as an Annex to the complete proposal).

Further mandatory or optional annexes (e.g. supporting documents for regulatory and ethics issues) may be required, as shown in the submission system.

The **H2020 Online Manual**¹⁵ provides a detailed step-by-step guide on how to electronically submit the proposal.

6.2 Submission to DBT of the proposal including budget requested from DBT:

The Indian participant(s) must submit the **complete proposal**, Part A + Part B + administrative and financial form (same as submitted on the Horizon 2020 Participant Portal) as single consolidated PDF file, on or before the deadline of each call given in the table to email ID:

- icone@dbt.nic.in
- delegation-india-st@eeas.europa.eu

Please note that the proposal will be disqualified, if not submitted to DBT to above indicated email ID by indicated date. Absence of timely submission or any discrepancy found in the proposal submitted at Horizon 2020 Participant Portal and to DBT will result in disqualification from consideration by DBT for funding.

After completion of peer review process, only selected applications will be requested to:

- Submit a duly signed and transmitted (*by Utmost Authority of the organization*) short covering letter introducing the application, along with complete proposal to the concerned DBT contact point.
- Resubmit proposal at the electronic project submission portal of DBT.

6.3 Preparation to ensure successful submission to Horizon 2020 Participant Portal:

- Before submitting a proposal, any applicant (from Europe or India) needs to be registered and validated by the European Commission and obtain for this purpose a Personal Identification Code also called PIC: see registration procedure in [Annex 2](#)).
- Online guidance is also provided on how to fill in the administrative forms (Part A).

¹⁵ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals/submission-tool_en.htm

- Proposal templates for the technical annex can be downloaded from the system. The technical annex and any additional annexes have to be uploaded as PDF documents.
- The Templates to comply with for DBT requirement are available on DBT's website only.

For more details see:

<https://ec.europa.eu/research/participants/portal/desktop/en/funding/index.html>

FURTHER INFORMATION

DBT	<ul style="list-style-type: none"> • Dr Shailja V. Gupta, Scientist-‘G’, Division of International Cooperation, Department of Biotechnology, New Delhi, India shailja.dbt@nic.in • Dr Manish Rana, Scientist-‘E’, Division of International Cooperation, Department of Biotechnology, New Delhi, India manish.rana@nic.in
EU	<ul style="list-style-type: none"> • European Commission's "<i>Research Enquiry Service</i>": http://ec.europa.eu/research/index.cfm?pg=enquiries • EU Delegation to India: DELEGATION-INDIA-RI@eeas.europa.eu

Annex 1: Information to be provided to DBT including templates for budget breakdown.

PROJECT’S ADMINISTRATIVE AND FINANCIAL CONSIDERATIONS (DBT REQUIREMENTS)

This document shall be completed for Indian Investigators by the Lead Scientific Coordinator, in consultation & Agreement with EU Counterparts

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A. Whether the Principal Investigator(s) have valid service tenures to accommodate key research and coordination responsibility? [-- 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]*

B. Provide explicit objectives of each participating organization (Indian and EU counterparts) in bullet points

C. Details of ongoing projects as Principal Investigators (PIs); Co-Investigators (Co-Is) or Lead Scientific Coordinator, as per the following format (*Funded by any funding agency*):

S. No.	Title of the project	Project Keywords	Approved Objectives	Funding agency	Project duration (Dates)		As (PI/ Co-I)	% of time devoted to each project
					From	To		
1.								
2.								
3.								
...								

D. Information for completed projects of Project Lead Scientific Coordinator; Principal Investigators (PIs); Co-Investigators (Co-Is) as per the following format (*Completed projects funded by any agency in last three years*):

S. No.	Title of the project	Project Keywords	Approved Objectives	Duration (Dates)		As (PI/ Co-I)	Date of Actual Completion
				From	To		
1.							
2.							
3.							
...							

E. Complementarities of participants and extent to which the consortium as a whole brings together the necessary expertise and appropriateness of the allocation of tasks
[NMT 80 words]

—

F. Deliverable goal of the project *[NMT 50 words]*

—

G. Administrative & Regulatory Considerations:

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. *[NMT 50 words]*

—

2) Give a list of the likely places of visit within the country planned by the successful European or any other non-Indian participant in the selected project. Also give a list of the institutions which the European and other non-Indian participant is likely to visit. *[NMT 70 words]*

—

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

If yes, provide explicit details of the same. *[NMT 70 words]*

--
4) Does this collaboration involve (*Explicitly highlight the same*)

- a) Transfer of biological material(s): [-- YES/NO --]
- b) Use of radioactive materials: [-- YES/NO --]
- c) Use of hazardous material(s): [-- YES/NO --]
- d) Use of Genetically Engineered Organisms: [-- YES/NO --]
- e) Field trials or testing: [-- YES/NO --]
- f) Pre-clinical and/ or Clinical trials or testing: [-- YES/NO --]
- f) Ethical considerations: [-- YES/NO --]
- g) Considerations related to Intellectual Property Rights (IPR): [-- YES/NO --]

5) If answer to the above question is yes, are the investigator(s) aware of the relevant regulations (*such as IBSC/IASC/IAEC/IEC/NBA/IC-SCR etc.*) and have they agreed to abide by them? [-- YES/NO --]

If YES, explain it in brief [NMT 40 words]

If NO, provide valid reason(s) to it [NMT 80 words]

--

6) If relevant, describe if and 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 e. g. a brief summary of your freedom to operate analysis. Also, state if the methods chosen give rise to intellectual property problems or opportunities. [NMT 160 words]

--

7) Identify any additional critical considerations you would like to bring to the attention of the reviewer [NMT 100 words]

--

8) While submitting this grant proposal you are requested to note the following and upload/ enclose relevant information

- a) In case of Academia (Public, Private, Not for profit Research foundations) submission of proof of establishment by Indian statue and recognition documents is obligatory. (*Kindly enclose relevant documents*)

b) In case of Private Institution(s)/ NGO(s)/ VO(s)/ Trust(s), submission of proof of registration at ‘NGO DARPAN’ at <http://ngodarpan.gov.in/>; Certificate of registration under Society Registration Act and certificate of DSIR in-house R&D recognition is obligatory. An Academic society must follow research as mandate. (*Kindly enclose relevant documents*)

c) In case of Public or Private Industry, submission of Certificate of Incorporation issued under Companies Act; Shareholding/ subscriber Particulars and certificate of DSIR in-house R&D recognition is obligatory. (*Kindly enclose relevant documents*)

9) Details of Consolidated budget proposed:

(Rs. In lakhs)

Heads	Year I	Year II	Year III	Year IV	Year V	Total
Equipment(s)						
Manpower						
Consumables						
Travel (Domestic International)						
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, etc. under expenditure based on the requirement of the project.)

10) Details of Investigator wise and/or Institute 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	Year IV	Year V	Total
Equipment(s)						
Manpower						
Consumables						
Travel (Domestic International)						
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, etc. under expenditure based on the requirement of the project.)

11) Details of Industry wise & year wise final budget proposed (*As per the agreed grant policy, DBT's support to Industry shall not exceed 50% of the total project cost, 50% of the contribution shall mandatorily come from the Industry. The cost breakup for the DBT component of the proposal shall be: Capital and Manpower costs each not exceeding 30% of the DBT supported project cost; and balance will cover consumables and travel costs. Contingency & overhead costs will not be permissible*)

(Rs. In lakhs)

Heads	Contribution from DBT						Contribution from Industry					
	Year I	Year II	Year III	Year IV	Year V	Total	Year I	Year II	Year III	Year IV	Year V	Total
Equipment (s)												
Manpower												
Consumables												
Travel (Domestic International)												
Total												

12) Details of Investigator wise and/or Institute wise equipment proposed:

(Rs. In lakhs)

Sr. No.	Name of the Proposed Equipment	Justification of the Proposed Equipment	Proposed Cost
1			
2			
3...			

a) Provide a list of equipment(s) available in your laboratory (*To be submitted for each participant investigator*)

13) Manpower details: [NMT 80 words]

a) Provide the desired qualification, experience and emoluments of the manpower proposed in the project. *(Justification for the need of each proposed project position must also be given)*

b) In case of desired qualification, experience and emoluments of the manpower proposed in the project is not as per DST guidelines, then provide details of the same and compulsorily enclosed the copies of relevant approved guidelines. *(E.g. ICAR/ ICMR/ Institutional guidelines/ Wage norms of State Govt. Labour Department etc).*

14) **Explicit justification for the consumables budget proposed:** *[NMT 100 words]*

15) **Justification for the contingency budget proposed:** *[NMT 50 words]*

16) **Explicit justification for the travel budget proposed.** *(Domestic and international travel should be limited for project purposes only. In case of field visit etc. which are required for collection of samples and/or visit of patients etc, it should be separately mentioned and justified.*

Explicitly clarify the frequency & number of visits to be made by investigator(s) and/or project staff(s) to EU counterparts (and vice versa) each year along with the basis for the proposed cost). [NMT 110 words]

17) **Whether any outsourcing of work (like genome sequencing, bioinformatics analysis etc.) is involved in the project?** [-- YES/NO --]

If yes, please provide the details of the same [NMT 60 words]

18) **Explicit justification for budget proposed under ‘Other’ category:** *[NMT 100 words]*

19) **Endorsement by the Head of the Organization** *(To be submitted on letter head in support of all participating investigators of the concerned organization(s) as per the proforma placed below)*

Endorsement by the Head of the Organization

To be submitted on letter head in support of participating Investigator(s)

Project Title:

I. Certified that the Institute 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 and financial requirements has been made towards participation of this organization through this project beforehand.

Date:

Name & Signature with stamp of Head of the Organization

Place:

Annex 2: How to use Horizon 2020 participant Portal

1. How to Participate:

<https://ec.europa.eu/research/participants/portal/desktop/en/funding/index.html>

By selecting the “How to Participate” tab on the Participate Portal “Home” page, researchers and innovators are directed to a page that provides easy access and instructions for using key parts of the portal (see screen shot below):

- Create an Account
- Register an Organization
- Find Partners
- Find a Call for Proposals
- Submit a Proposal

How to participate H2020 ONLINE MANUAL

The first steps to prepare your proposal and apply for EU research funding. Learn how to find a suitable Call for proposals or project partners and how to submit your proposal.

The following guidance services facilitate your participation:

- **H2020 Online Manual:** step-by-step online guide through the Portal processes from proposal preparation and submission to reporting on your on-going project
- **Reference documents:** library of legal documents, guidance notes, and additional reference material for H2020 and FP7
- search for already registered organisations and their **PICs**
- **H2020 Financial viability self-check tool** allows you simulating the financial viability check of your organisation
- **SME participation:** dedicated H2020 guidance page for SME

FIND a call **FIND partners** **CREATE your account** **REGISTER your organisation** **SUBMIT a proposal**

1 2 3 4 5

2. Online Manual and Reference Documents

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

From the page below, researchers and innovators can access the comprehensive user-friendly Online Manual (see screen shot below) and reference documents for all parts of Horizon 2020.

RESEARCH & INNOVATION
Participant Portal H2020 Online Manual

My Area - User accounts & roles

H2020 Online Manual

- My Area - User accounts & roles
- My login
- Roles & access rights
- Terms and Conditions of Use
- Grants
 - Applying for funding
 - Find a call
 - Horizon 2020 structure and budget
 - What you need to know about Horizon 2020 calls
 - Find partners to apply as individual
 - Required in the Participant Portal
 - Registration of your organisation
 - ICAR Assessment
 - Notification of interest notification
 - Financial viability check
 - Call system
 - Certifications
 - Submit a proposal
 - Get interested
 - Decision process submission
 - From evaluation to grant signature
 - Administrability and eligibility check
 - Evaluation of proposals
 - Evaluation criteria
 - Notification process and results
 - Grant preparation
 - Call & submit grant data
 - Grant review
 - Security scrutiny
 - Grant signature

Applying for funding

Find a call → Find partners → Register an organisation → Submit a proposal

Evaluation & Grant signature

Eligibility check → Evaluation of proposals → Grant preparation → Grant signature

Grant management

Keeping records | Amendments | Reports & payment requests | Deliverables

Dissemination & exploitation | Communicating your project | Acknowledgement of EU funding | Checks, audits, reviews & investigations

Working as an expert

Expert registration | Contracting & payment | Expert roles & tasks

Cross-cutting priorities & issues

International cooperation | Social Sciences & Humanities | Open Access & Data management | Climate Action & Sustainable development

Ethics | Gender | SMEs | ERA-METs

Links to regional policy | Intellectual property | Innovation procurement

Financial instruments

Press

3. Support

The “Support” tab on the Participant Portal “Home” page provides access to the Horizon 2020 Helpdesk, the IT Helpdesk, a Glossary of Terms and FAQs as well as links to support organizations such as Horizon 2020 National Contact Points (NCPs) and the Enterprise Europe Network (EEN).

4. Opening an Account

A. Individuals: European Commission Authentication Service (ECAS)

<https://webgate.ec.europa.eu/cas/eim/external/register.cgi>

To enter the secure area in the Participant Portal, a person must first open an account with the European Commission Authentication Service (ECAS). The service acts as a firewall for the Participant Portal. Anyone may establish an account with ECAS and enter the Participant Portal. There is no limit on the number of individual accounts that can be affiliated with a given organization.

To open an ECAS account, select “Register” on the home page of the Participant Portal (see screen shot above) and enter the information required (username and email address). A password will be sent to your email address within minutes. Return to the home page of the Participant Portal and select “Login.” You will be directed to the page in the screen shot below. When prompted to indicate a user “Domain,” select “External” to indicate that you are not a Commission employee. Use the new password to gain access to the Participant Portal. This is the main gateway for registered people and organizations to the Portal.

Create an account

[Help for external users](#)

First name

Last name

E-mail

Confirm e-mail

E-mail language
English (en) ▼

Enter the code

Navigation buttons: Refresh, Play, CAPTCHA image

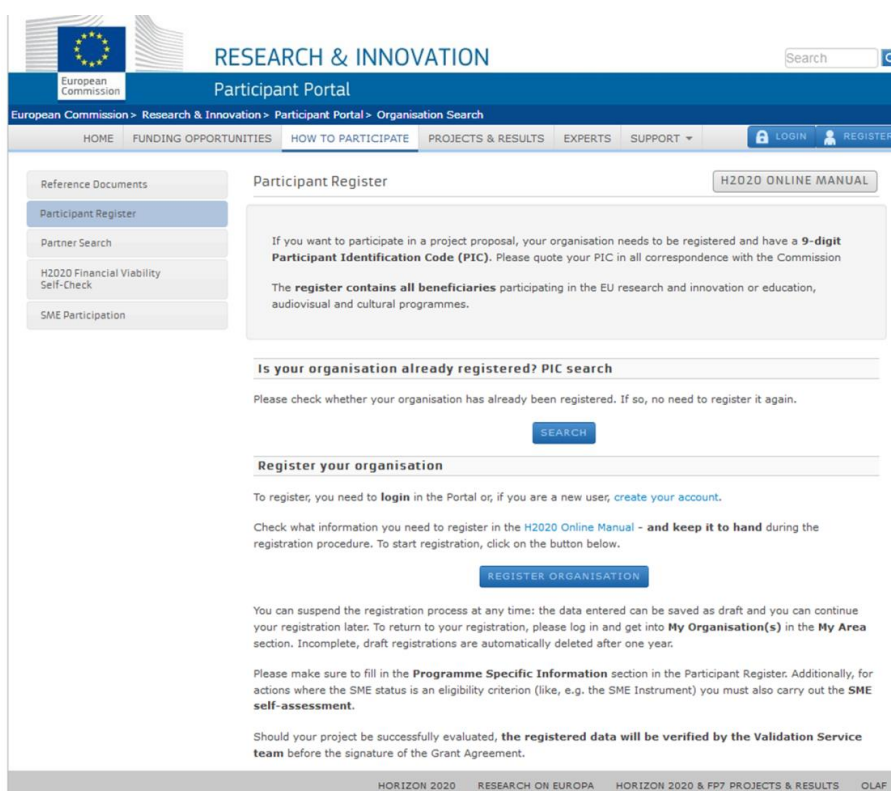
Once logged into the Participant Portal, one should complete the user account by identifying the organizations and/or proposals and projects with which they are associated and then establishing their role or roles in these.

B. Registering an Organization (Legal Entity) || Participant Information Code (PIC)

https://ec.europa.eu/research/participants/portal4/desktop/en/organisations/register_sec.html

To participate in a Horizon 2020 project, a researcher must be registered as legal entity at the Participant Portal of the European Commission. Once registered, organizations receive a unique nine digit “Participant Identification Code” (PIC) that is required for any organisation to submit a proposal. The Commission will use the PIC in all interactions with the organization and associated researchers.

If an organization has previously signed an EU Framework Programme Grant Agreement, it already has a PIC. If this is the case, then a researcher should contact the appropriate person or office within the organization (e.g. Office of Research Services, Office of International Research) to obtain the PIC. Alternatively, they can query the online PIC database by selecting the “Beneficiary Register” in the Participant Portal (highlighted in blue on the left side in the screen shot below) or by following the link above.



The screenshot displays the 'Participant Register' page on the European Commission's Participant Portal. The page header includes the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. A navigation menu at the top lists 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'PROJECTS & RESULTS', 'EXPERTS', and 'SUPPORT', along with 'LOGIN' and 'REGISTER' buttons. A left sidebar contains a menu with 'Participant Register' highlighted in blue, along with 'Reference Documents', 'Partner Search', 'H2020 Financial Viability Self-Check', and 'SME Participation'. The main content area is titled 'Participant Register' and includes a search bar for 'H2020 ONLINE MANUAL'. The text explains that organizations need a 9-digit Participant Identification Code (PIC) and that the register contains all beneficiaries. It provides a search function for existing registrations and a 'REGISTER ORGANISATION' button. Additional instructions cover account creation, saving drafts, and the verification process by the Validation Service team.

If an organization does not have a PIC, it must obtain one by registering in the Organization Register. It is hosted within the Participant Portal and can be accessed by selecting “Beneficiary Register.” To complete the registration, information regarding the legal status

and finances of the organization will be required. If it is not possible to complete the registration in one session, the information may be saved and re-opened by selecting “My Organizations” in the Participant Portal (highlighted in dark blue on the left side in the screenshot above). Once complete, a provisional PIC will be provided electronically within 48 hours.

Please note that, only if a proposal is successful, the European Commission will proceed with the validation of all information in the Organization Register, and provide a definitive PIC. Once validated, the organization will be required to designate a person to serve as its “Legal Entity Appointed Representative” (LEAR) who is authorized to sign legal documents for the organization. The European Commission will also proceed with a financial viability check at that time. These steps are taken regardless of the age, size or reputation of an organization.

Annex 3: Finding partners

The starting point is to consider partners with whom you already have direct or indirect connections. As participation in a Horizon 2020 call requires an interdisciplinary and/or inter-sectoral approach for a challenge to be addressed appropriately, it may become necessary to look for partners outside the usual circle of contacts.

Hereunder you will find a list of European services that assist in finding the right partners:

Partner search tools	
Expressed Interest	H2020 – Participant Portal: search by call topics where organisations have participated or expressed interest in participating in the future.
euMatch 2.0	Partner Search and Matchmaking platform to find partners and project initiatives to participate in H2020 supported health related projects.
Participant portal partner search platform	Search among partners of existing projects.
Enterprise Europe Network cooperation opportunities database	Includes both business and technology offers and requests
Social media	
LinkedIn group "Environment projects & partner search – EASME"	In particular for applicants for Horizon 2020 and LIFE projects
Partnering events	
Information Days calls 2019	DG RTD occasionally organises information and networking days in Europe. Details of these events will be available online and will be

	distributed through the National Contact Point Network of the countries having appointed such contact pint (India has no NCPs). Info about the last Info Day webinar is available here
Information days & networking events in India	DBT and the Delegation of the European Union to India will be organising networking events in a number of cities in India. Details of these events will be available online and distributed in Europe through the NCP network(s). DBT: http://www.dbtindia.nic.in/events/ EU DEL: https://eeas.europa.eu/delegations/india_en .
Brokerage events organised by the Enterprise Europe Network	Often back-to-back with key trade fairs and conferences.
National Contact Points	
National Contact Points	Personalised support & assistance in partner search in applicants' respective countries.
Euraxess India	Partnering tools for Horizon 2020 calls.
Databases of previous and ongoing projects	
CORDIS project database	Projects funded under Horizon 2020 as well as previous research framework programmes.
Horizon 2020 SME Instrument	Innovation by small and medium-sized companies in the fields of eco-innovation & sustainable supply of raw materials, and environment & climate action.