



Ministry of Earth Sciences
Government of India

Cooperation on Climate Change and Polar Research between



European Union

Ministry of Earth Sciences and the European Union under the R&I programme 'HORIZON 2020'

In the framework of the India-EU Science and Technology Cooperation Agreement, the Ministry of Earth Sciences (MoES) and the European Commission (EC) have agreed to establish a co-funding mechanism (CFM) for certain India–EU collaborative research and innovation actions, related to climate change and polar research.

Indian researchers, research institutions and universities working in the area of science, technology and innovation on climate change and polar research, will be able to team up with their European partners to participate in calls for proposals under the EU's Research and Innovation Framework Programme '[Horizon 2020](#)', and make the best use of Europe's excellent opportunities in research and innovation. Through participation in 'Horizon 2020', beneficiaries can gain great benefits from access to excellent talent, knowledge, data, infrastructures, connection to world-leading scientific networks and research teams.

I. PARTICIPATION AND FUNDING SUPPORT

While Indian participants (institutions/teams) can fully participate in the collaborative projects in 'Horizon 2020', they are not automatically funded by the EU.

The MoES and the EC have therefore agreed to set up a Co-Funding Mechanism (CFM) to support the successful Indian participants in the projects between European and Indian partners (and as the case may be, other countries in the world), in the area of climate change and polar research. For the modalities of the CFM, see Section II hereunder.

The CFM will apply to pre-identified calls for proposals only: see in Section III hereunder the calls of proposals, extracted from the Horizon 2020 Work programmes 2018-2020, which the MoES has agreed to co-fund. The areas selected are in line with MoES's portfolio/areas of responsibility.

The calls identified by the MoES do encourage the international participation, in particular the call "*LC-CLA-07-2019: The changing cryosphere: uncertainties, risks and opportunities*", targets the countries which attended the first Arctic Science Ministerial meeting in 2016 which includes India.

II. CO-FUNDING MODALITIES: HOW IT WORKS

Where to find the call text?

The EC publishes all its call for proposals on the 'Horizon 2020' [Participant Portal](#).

For the calls which MoES has agreed to co-fund, clickable links to the call text are included (see Section III). The call text is also published on the Website of the MoES. The call text is the same for the EU and Indian applicants.

Who can apply?

In order to get a grant from MoES, a joint proposal for a collaborative research and innovation called a Research and Innovation Action (RIA)¹, requires the formation of a consortium which includes at least **three legal entities** from Europe and **one legal entity** from India. Above the minimum required number of participants (3+1), more European and Indian partners may take part in the proposals (or participants from any country in the world).

To ensure adequate participation of all project partners and effective implementation, the project description should clearly describe the role of each partner and their contribution and collaboration in the project.

Eligibility from India:

Eligible Indian participants are researchers from recognised public/private funded academic or research institutions, national R&D laboratories; R&D entities having recognition as a Scientific and Industrial Research Organisation (SIRO) by the Department of Scientific and Industrial Research (DSIR) under the Scheme on Recognition of Scientific and Industrial Research Organisations (SIROs) of 1988.

The Indian private R&D institutions, Indian NGOs/VOs should be registered in DARPAN Portal of NITI Aayog (<http://ngodarpan.gov.in/>) and registered to Government of India's Public Finance Management System (PFMS)- <https://pfms.nic.in/>.

Eligibility from European Union:

- **Member States of the European Union**, including their overseas departments and outermost regions^{2 3 4}.
- **Countries Associated to 'Horizon 2020'**⁵;

jointly called hereafter '**Europe**'.

At least **three legal entities** from Europe shall participate in an action. Each of the three legal European entities shall be established in a different Member State or country associated to

¹ http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-d-ria_en.pdf

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 For British applicants: Please note that 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. Please be aware however that 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.

⁵ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

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

Any national or legal person can take part in 'Horizon 2020', for instance companies/SMEs, research organisations, and universities, non-governmental organisations – regardless of their place of establishment or residence in Europe. They must possess the operational and financial viability to carry out the research tasks that they propose⁶.

Composition of the consortia

- Collaborative Research & Innovation Actions (RIA) will be carried out by consortia of organisations working together on a specific research & innovation area identified in the call text.
- In order to avail funding from MoES, consortium submitting a proposal must include at least **three legal entities from Europe and one legal entity from India**.
- In addition to the mandatory participants, the consortia may involve as many partners as necessary from Europe, India or any other country of the world.
- There is no restriction on additional number of participating organizations from India, Europe and any other country.
- The participating organization from India and Europe has to be a legal entity as per law of the country.
- There is one call coordinator per consortium.
- In addition, in case there is more than one Indian participant in a consortium, a 'scientific coordinator' should be nominated among the Indian participants to represent the Indian participants.
- The proposals have to be led by qualified researchers/ professionals from Science, Technology, Engineering and Management disciplines working in regular position at Indian institutions.
- Gender balance in research teams: applicants are encouraged to promote equal opportunities in the implementation of the action and to ensure a balanced participation of women and men at all levels in research and innovation teams and in management structures.

Overall amount of funding for India participants

Maximum of **one and a half crore rupees (Rs. 1,50,00,000/-) per project** will be made available by MoES to the successful Indian participant(s) in a collaborative project with European partners under 'Horizon 2020'. Final number of funded projects will be decided by MoES.

The duration of the project is determined by the consortium and could be for more than three years. MoES will fund the successful Indian participants for the duration of the project.

⁶ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/find-partners_en.htm

Budget: what types of activities are eligible for funding?

Indian side:

- Direct costs: manpower (JRF, SRF, RA, TA etc.), consumables, travel cost (domestic and international), fieldwork, laboratory equipment, training and awareness.
- Indirect costs – overhead charges: as per MoES norms.

European side:

- Direct and Indirect costs as per the 'Horizon 2020' rules of participation for the Research and Innovation Actions (RIA).

The budget estimations should be realistic and within the scope and timeframe of the project and the overall budget limitations.

Indian participant(s) **MUST** submit additional detailed **financial plan in Part B of the 'Horizon 2020'** Application form, according to the **format given in Annex**. The budget information should clearly identify the planned expenditures (in Rupees) for all Indian partners. In case there is more than one Indian participating Institute, the budget requirement should be provided separately for each participating Indian Institute. This part is very important to allow MoES for a proper evaluation of the proposal.

Application Procedure

Content of a Proposal:

The proposal itself consists of 2 main parts:

- PART A relating to administrative forms (structured information of the basic administrative data, declarations of partners, organisations and contact persons, etc.), and
- PART B containing the technical specifications, the detailed description of the planned research and innovation project; outlining work packages, budget and costs, etc..

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

Submission of proposal on 'Horizon 2020' Participant Portal⁷:

All proposals must be submitted electronically using the electronic submission system of the 'Horizon 2020' Participant Portal. Access to the electronic submission system is available after selecting a call topic and the type of action of the call.

The two calls which MoES have pre-selected are under the so-called two-stage submission scheme. Therefore, the consortium must submit first a 'short outline proposal' by the deadline for the first stage. Only if successful in the first-stage evaluation, an invitation to submit a full proposal, in time for the deadline of the second stage, will be made. The full proposal must be consistent with the short outline proposal submitted in stage one and may not differ substantially from it.

Proposals must be created and submitted by a representative/contact person of the coordinating organisation/call coordinator.

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

The electronic submission system is an online tool that guides you step-by-step through the preparation of your proposal.

Formalities required submitting a proposal electronically:

To be able to use the Participant Portal Submission Service, it is **mandatory** (also for Indian partners) to register yourself through the European Commission Authentication Service (ECAS) in order to access the IT tools of the Participant Portal <https://webgate.ec.europa.eu/cas/eim/external/register.cgi>

If you want to participate in a project proposal, your organisation needs to be registered in the Beneficiary Register of the Participant Portal and have a **9-digit Participant Identification Code (PIC)**. To access the register link: <https://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html>

You can verify whether your organisation is already registered and has a PIC on the Participant Portal 'Beneficiary Register' page. If not, you can start the registration process on the same page and, once completed, get the PIC to be quoted in your proposal and in any correspondence with the Commission.

Submission of proposals to MoES:

The Indian applicants are required to submit the hard copy and soft copy (PDF and Doc) of the proposal to MoES and must include:

- 1) Part A and Part B of the final joint proposal which has been submitted on the 'Horizon 2020' Participant Portal.
- 2) Budget **in the prescribed MoES format (see Annex)**, identifying the planned expenditures (in Rupees) for all Indian partners.
- 3) **Certificates from the Investigator(s) and Head of Institute(s)**: the text of the certificates is available on http://moes.gov.in/writereaddata/files/Certificates_rev_2.pdf.

The complete proposal has to be submitted both electronically (e-mail) and by hard copy, by one Indian participant (“*Indian project coordinator*”) on behalf of all Indian participants (if there are more than one Indian participants).

Evaluation procedure

The proposals submitted in accordance with the guidelines, and submitted electronically by the project coordinator within the deadline, will be evaluated by Expert panels according to peer review principles. Following the peer review, MoES will go through an eligibility check and review scientifically the successful Indian participants.

For proposals positively evaluated by both EU and MoES, the MoES will provide funding for the successful Indian researchers, while the EU will fund the European participants according to their rules.

Contracts and collaboration agreements

After reviewing project proposal and a positive evaluation, consortium will be invited to prepare the Grant Agreement (GA) by the EC. The coordinator has to provide the input and text for the GA, which is based on the written proposal. The GA will be signed between the Coordinator and all the Beneficiaries (including India entities) and the European Commission.

In addition, each successful Indian entity will be invited by the MoES to sign a financial grant agreement as per the national regulation on national funding.

In some cases, project participants can be required to sign an additional Consortium Agreement before the start of the project.

III. CALLS PRE-IDENTIFIED ON POLAR SCIENCES FOR 2018-2020

MoES has agreed to fund successful Indian participants in the following calls for proposals (two stage scheme). The calls are listed in the order of the call deadlines for the first stage:

Topic	Details	Type of Action	Opening and Closing date
LC-CLA-08-2018: Addressing knowledge gaps in climate science, in support of IPCC reports	<p>Actions should address <u>only one</u> of the following sub-topics:</p> <p>a) Improving the understanding of key climate processes for reducing uncertainty in climate projections and predictions</p> <p>b) Tipping points: Actions should result in better understanding of abrupt climate change</p> <p>c) Ice-core drilling in East Antarctica</p>	RIA- Research and Innovation action	<p>Opening date: 07 November 2017</p> <p>Deadline: 27 February 2018</p> <p>2nd stage Deadline: 04 September 2018</p>
LC-CLA-07-2019: The changing cryosphere: uncertainties, risks and opportunities (targeted towards India)	<p>RIA should aim at developing innovative approaches to address only one of the following sub-topics:</p> <p>a) Sea-level changes</p> <p>b) Changes in Arctic biodiversity</p> <p>c) Sustainable opportunities in a changing Arctic</p>	RIA- Research and Innovation action	<p>Opening date: 14 November 2018</p> <p>Deadline: 19 February 2019</p> <p>2nd stage Deadline: 04 September 2019</p>

NOTES:

- Two-stage submission scheme: The two-stage submission schemes require that you submit a 'short outline proposal (7 or 15 pages) for the first stage and you will be invited to submit your 'full proposal' (up to 70 pages) for the second stage, only if you pass the first-stage evaluation. The full proposal must be consistent with the short outline proposal and may not differ substantially.
- Research and Innovation Action (RIA): Description: Action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment. Projects may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment.

IV. FURTHER INFORMATION

INDIA

<p>MoES: Dr. Vijay KUMAR Scientist-G vijay.kumar66@nic.in</p> <p>Ministry of Earth Sciences, Government of India, Prithvi Bhavan, Opp. India Habitat Centre, Lodhi Road, New Delhi - 110003 Phone : +91-11-24669518</p>	<p>Dr. P.G. Dastidar Scientist -F Prabir.gd@nic.in</p> <p>Ministry of Earth Sciences, Government of India, Prithvi Bhavan, Opp. India Habitat Centre, Lodhi Road, New Delhi - 110003 Phone : +91-11-24669578</p>
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EUROPE

<p>European Commission's "<i>Research Enquiry Service</i>": http://ec.europa.eu/research/index.cfm?pg=enquiries</p>
<p>EU Delegation to India: DELEGATION-INDIA-RI@eeas.europa.eu</p>
<p>'Horizon 2020' Participant Portal: http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/index.html</p>

ANNEX

Indian participant MUST submit additional detailed financial plan in Part B of the 'Horizon 2020' Application form, according to the format hereunder:

Budget format

Name of the Investigator:

Name of the Institution:

Type of Organisation:

(amount in Rs.)

Head	Year 1	Year 2	Year 3	Total
A. Non-recurring				
1. Equipment				
Total A				
B. Recurring				
1. Consumables				
2. Manpower JRF, SRF, RA, TA				
3. Travel				
a. Domestic (including field work)				
b. International travel				
c. Local hospitality for visiting scientist.				
4. Training and Awareness				
5. Review meeting:				
6. Contingency				
7. Other expenses (Specify)				
8. Indirect cost (Overheads) – as per MoES norms				
TOTAL B (1+2+3+4+5+6+7+8)				
TOTAL (A+B)				

Important notice:

- This budget table should be made for each Indian participating/applicant partner.
- In case of projects longer than 3 years, information should be provided by Year 4; Year 5 as appropriate.
- Details and Justification should be provided for each head.
- For equipment head, provide the following additional information:
 - Detailed specifications of the equipment proposed,
 - Details of such equipment, if any, in the Institute and the need for additional facility,
 - Cost estimate (notional quotations)
 - For major equipment, please indicate as to how the instrument will be maintained after the project completion.