



Networking Pilot Programme – 2nd Call for Proposals On Water Related Research

Guidelines for Applicants

The following text will give you information to prepare and submit your application to the Call for Proposals within the Networking Pilot Programme (NPP) of New INDIGO. For further elaboration you may additionally consider the FAQ on www.newindigo.eu/npp/.

If questions arise or you want to check the eligibility of your consortium, please contact the NPP Secretariat or your National Contact Point.

1. Motivation/Introduction to the Call

Promoting research cooperation with India is a priority in the bilateral research policies of most European countries and in the international science and technology (S&T) policy of the European Union (EU). The fundamental observation is that India has become a prominent country in Asia, not only from an economic point of view, but likewise from a scientific point of view. In EU context India has been quoted a strategic target country due to the rapid expansion of its research and development expertise.

In 2010 the first NPP Networking Call was implemented in the field of Biotechnology and Health. The number of applications showed a vast interest in Indo-European multilateral cooperation amongst researchers in the thematic areas addressed by the call. As of September 2010 13 newly formed consortia started their work. This positive experience led to the organisation of a second networking call in a different scientific area. This second NPP Call serves a two-fold goal: a) to identify and support high quality networks of researchers working on collaborative projects; and b) to further improve the mechanism for extended programmes and actions directed towards Euro-Indian cooperation.

The primary aim of the NPP is to reinforce the EU-India cooperation in thematic areas of mutual interest. Due to its high impact on society; human, animal and environmental health; as well as economic and agricultural development, Europe and India share a major interest in water related research. Furthermore, the India Pilot Initiative of the Strategic Forum for International Cooperation (SFIC) and the Indian Department of Science and Technology (DST) explicitly

identified “Water Related Challenges” as a common priority. The Joint Statement for a 'Partnership for a Strategic Roadmap in Research and Innovation' between the EU, its Member States, and India states that “the solutions for water and bio-resources related challenges have been identified by all partners as one of the priorities for the development of a strategic roadmap in research and innovation cooperation” .¹

Due to the fact that water related topics have a large bandwidth and are in parts extensively covered and funded - either in bilateral programmes or through the EU Framework Programme - it was decided to restrict the broad, superordinate research area to specified topics. This approach also helps avoiding duplication and attracting excellent researchers. The discussions held during New INDIGO Steering Committee in November 2010, via electronic means and through a physical meeting in India of WP3 and WP4 in January 2011 resulted in focusing on the following two topics.

2. Topic of the 2nd NPP Call

Proposals are invited in two fields of research:

A) Wastewater Management including applications in Industry and Agriculture

Wastewater management is concerned with monitoring the amount of biological and chemical wastes that enter water systems to keep quality at acceptable levels. It also includes ensuring the proper method of disposal of wastewater. Wastewater management plays a vital part in ensuring environmental security and public health.

B) Green Chemistry applied to Water Purification including Drinking Water Purification

Green or sustainable chemistry aims at minimising the use and generation of hazardous substances in the design of products and processes. This is accomplished through approaches like minimising waste material, usage of harmless substances and the development of energy friendly processes.

Water purification describes the process of removing hazardous chemicals, materials, and biological impurities from contaminated water. Its objective is to produce water for a specific purpose, commonly drinking water. The usage of purified water can nevertheless include a variety of other purposes, e.g. medical, pharmacological, chemical and industrial applications

3. What can be applied for:

Funding can be applied for multilateral networking research projects with duration of two years. Projects will start in January 2012.

Multilateral project consortia can apply for a maximum of € 50.000 of eligible costs from each funding country represented in the consortium. In case more than one of the participating project partners comes from one funding country, the maximum is divided amongst them.

¹ <http://www.newindigo.eu/attach/JointConferenceChairpersonsStatementDelhiNov2010.pdf>

Within the framework of an NPP multilateral networking project funding can be applied for:

- **Mobility:** research visits by European and Indian scientists between Europe and India, of which the maximum duration for the stay is according to national regulations. Travel costs and living expenses of scientists are eligible for funding.

Please note that in case of inter-European travel these costs are paid for by partners in the sending country. In case of Indo-European exchange the travel costs are paid for by the partner in the sending country while the living expenses are paid for by the partner in the hosting country.

- **Workshops:** organisation costs, including the invitation of external experts.
- **Other costs:**
 - o European participating partners can apply for a maximum of 10 % (depending on national regulations) of the budget in a flexible mode as “other costs”. These costs could consist of small equipment, consumables and other project related miscellaneous expenses.
 - o Indian participating partners can apply for a non-fixed maximum of personnel and minor equipment costs, as long as the funding for internationalisation of research is not diminished.

Table 1: Summary table of costs included in the budget of project partners

	(International) travel	Subsistence (incl. meals & local travel)	Accommodation
From India to EU (workshop and exchange)	paid by Indian sending organization	paid by EU host	paid by EU host
Exchange from EU to India (workshop and exchange)	paid by EU sending organization	paid by Indian host	paid by Indian host
Inter-European (workshop and exchange)	Paid by the sending organization	Paid by the sending organization	Paid by the sending organization
For any workshop additionally to be paid by the host:			
- Costs for organization			
- Travel, accommodation and living costs for external guests			

It is not possible to apply for individual exchanges or single workshops.

The NPP follows the “juste retour” principle, which means national funding will be assigned to participants of that respective country. Researchers participating in a multinational project therefore receive funding from their national representative, in accordance with the national regulations.

4. Project partners

Applications may be submitted by public research and technology entities (universities, higher education institutions and/or non-university research establishments). National regulations regarding eligibility and covered costs are applied. For detailed information you should contact your National Contact Point (for contact details see Annex 1 of the Call Text).

Private entities, SMEs and industry are excluded from participation in this NPP Call.

5. Project team

Only trans-national projects will be funded. Each proposal must involve eligible researchers/research institutes from a minimum of two different European New INDIGO funding members, as well as one or more eligible partners from India.

Research groups from non-funding New INDIGO partner countries may participate in projects if they secure their own funding. Their participation and their secured funding need to be confirmed through a binding Letter of Commitment uploaded as PDF with the full proposal application.

The number of project partners should be appropriate for the aims of the research project and reasonably balanced in terms of national participation. Each collaborative project should clearly demonstrate the added value from working together.

6. Participating countries

The following partners have agreed to participate in this Call for Proposals on Water Related Research:

Belgium/Flanders	-	Research Foundation Flanders (FWO)
Finland	-	Academy of Finland (AKA)
France	-	National Center for Scientific research (CNRS)
Germany	-	Federal Ministry of Education and Research (BMBF)
India	-	Department of Science and Technology (DST)
The Netherlands	-	Netherlands Organisation for Scientific Research (NWO)
Spain	-	Ministry for Science and Innovation (MICINN)

7. Project Coordinators

There should be one project coordinator on the European side and one project coordinator on the Indian side. The project coordinators have to be eligible to New INDIGO funding countries. Both project coordinators represent the project externally and they are jointly responsible for its internal management. For technical purposes only one project coordinator, called the principal coordinator, can submit the proposal. Within a joint proposal, each researcher/research group leader will act as contact person for the relevant national funding agency.

The project coordinators, who represent the research network/project, will be responsible for its internal management. Although they bear the overall responsibility for the project, each researcher/research group leader is fully responsible for the research outcome towards the respective funding organisation.

8. Application

Pre-registration

18 April 2011 – 20 June 2011; 12:00 (noon) CET

The first step in the submission procedure for this Call is the pre-registration. Pre-registration is only possible by using the PT-Outline web tool, accessible via www.newindigo.eu/npp/. Proposals must be pre-registered in order to be invited to submit a full project proposal. All communication is in English.

The pre-registration document is prepared by the designated partners of the joint trans-national research network and should be endorsed by the project coordinators on both European and Indian side. It must be submitted electronically to the NPP Secretariat by its principal coordinator by 20 June 2011; 12:00 o'clock Central European time (15:30 Indian standard time).

The **pre-registration form** includes:

- Topic of the proposal
- Title of the proposal
- Short publishable abstract (1/2 page)
- Free key-words
- Names and contact details of European and Indian project coordinators
- Names and contact details of project partners
- Short presentation of participating organisations
- Estimated budget per partner (in €)

The principal coordinator receives notice of eligibility of the application within four weeks after the deadline. In case of eligibility this is accompanied by an invitation to submit a full project proposal. In case of ineligibility the principal coordinator is either advised not to submit a full project proposal, or to adjust the proposal accordingly in the full project proposal.

Aspects of eligibility and formal requirements to take into account:

- Research teams can consist of any number of partners. The minimum number is two European and one Indian eligible partner. In choosing extra partners it is wise to remember that the composition of the team is an important element of the proposal. Extra partners ideally – in combination with the other partners – add value to the group or its objectives.
- Project partners can be from any country. However, project partners from non-funding countries will have to secure their own funding. Such partners can not act as project coordinator, only as project partner.
- Each application has two project coordinators (PC), one Indian and one European. The PCs represent the project externally and are responsible for the internal management. Due to technical reasons preventing different versions, only one of the two PCs is able to submit the proposal and have access to the electronic web tool. This PC is called principal coordinator. Both PCs have to be located in one of the funding countries.
- Project coordinators and project partners can take part in more than one consortium. A principal coordinator can only act once as such.
- In case several project partners from the same country participate in a consortium, the country specific budget has to be shared.
- After the deadline of pre-registration, the eligibility of all pre-registered networks will be assessed by the National Contact Points. Notification of eligibility is sent to the principal coordinator by the NPP Secretariat. This notification can contain the following:
 1. All project partners are eligible: the network is invited to submit a full project proposal.
 2. One or more of the project partners is not eligible: the network is invited to submit a full project proposal with the condition that the non-eligible partner(s) is (are) replaced. Ineligible principal - or project coordinators can be replaced as well. Please note: Eligibility of the new partner will be assessed in full after the next deadline. If this partner also turns out to be ineligible, the application will be declined immediately. As eligibility is subject to national regulations, it is advised to contact your National Contact Point in advance. The eligibility check of the pre-registration is on administrative grounds and does not contain a judgement on the merit of the proposal.

Full Project Proposals

18 July 2011 – 7 September 2011, 12:00 (noon) CET

Only pre-registered proposals invited by the NPP Secretariat are allowed to submit a full project proposal. Data inserted for pre-registration may be re-used and, if necessary, altered when submitting the full project proposal.

Like pre-registration, the full project proposal is prepared by the partners of the joint multilateral research network and is endorsed by the project coordinators on both the European and the Indian side. It must be submitted electronically to the NPP Secretariat by the principal coordinator by 7 September 2011 at 12:00 o'clock Central European time (15:30 Indian standard time).

Full project proposals must include the following information:

Basic project data:

- Theme, title and abstract of the proposal
- Names and contact details of the project coordinators
- Names and contact details of the project partners (researchers; CV and publication list annexed)

Detailed information:

- Description of project proposal, including:
 - o Objectives
 - o Scientific excellence
 - o Trans-nationality and cooperation
 - o Potential impact and expected outcomes
- Financial plan per partner, per calendar year, including justification, in Euro
- Signature of the Indian head of research institutions (to be sent to the Indian NCP)
- Annexes
 - o If applicable: a binding Letter of Commitment securing willingness to collaborate and funding by partners from countries not funding the NPP Call.

All information is entered through a set of online forms within the PT Outline web tool.

Aspects of eligibility and application procedures to take into account:

- A full project proposal is only accepted if the project has been pre-registered in the period of 18 April – 20 June 2011 and was invited to submit a full project proposal. Full project proposals are submitted electronically through the PT Outline web tool which is accessible via www.newindigo.eu/npp/
- In order to prevent having to fill out data twice, all data inserted into the pre-registration form is already inserted in the full project proposal form. This information can be adapted. The applicant is responsible for the correctness of the data.

- For Indian partners it is obligatory to send in the full project proposal to the National Contact Point, duly forwarded by the head of the institution. Advanced copies of the full project proposal will be accepted.
- It is allowed to replace pre-registered and eligible project partners, or add project partners to the network. Again it is advised to check eligibility with your National Contact Point before submission. Please keep in mind the network has to consist of at least two eligible European partners from different European participating countries and at least one eligible Indian partner.
- If one of the partners in the full project proposal is found ineligible the proposal will be rejected.
- New INDIGO is funded by national research budgets, which means that each partner will apply its own national regulations when it comes to funding. Therefore, please fill in the budget form in the electronic submission system, and be prepared to meet the requirements of the respective national funding agencies participating in the NPP Call. It is strongly advised to contact your National Contact Point before submission of the proposal for further information.

9. Eligibility and Evaluation

Independent scientific experts in the thematic research fields of the eligible full project proposals will carry out the anonymous peer review of full proposals according to the evaluation criteria. Each full project proposal will be evaluated by Indian and international evaluators that are nominated by the NPP participating partners. The evaluation process includes several steps which are described in the following.

Eligibility of all **pre-registered proposals** is assessed by the NPP Secretariat on the basis of respective national regulations. The eligibility rules of the participating funding countries are accessible at the New INDIGO website. The following elements of each pre-registered project will be checked:

- 1.) Eligibility of the project coordinators of the project
- 2.) Eligibility of participating partners
- 3.) Eligibility of research team composition
- 4.) Thematic focus.

The NPP Secretariat will inform the principal coordinator of teams permitted to submit a full proposal as well as those of teams that are declined within 4 weeks after the deadline (20 June 2011).

- In case one or more partner(s) of the consortium is (are) rejected, the principal coordinator of the research consortium is invited by the NPP Secretariat to make adjustments in the full project proposal.

- In case one or more of the project coordinators is ineligible, the proposal will be rejected.

Eligibility of full project proposals is assessed by the NPP Secretariat on the basis of respective national regulations, taking into account the same elements as during the pre-registration check.

The NPP Secretariat will inform the principal coordinators about the eligibility of the full project proposal within 2 weeks after the deadline (7 September 2011). In case the consortium or the thematic focus is not eligible, the application will be rejected.

Independent scientific experts in the thematic research fields of the eligible full project proposals will carry out the **peer review**.

European procedure

A minimum of two scientific experts in the thematic research fields addressed in the call will carry out the (anonymous) peer review of full project proposals according to specified evaluation criteria. Evaluators need not be from countries participating in the NPP.

Evaluators will have six weeks to submit their review: 20 September – 30 October 2011.

European evaluators will use the evaluation form incorporated in the online web tool. Each of the evaluators should not review more than 5 proposals.

Indian procedure

The Indian evaluators will conduct their evaluation by establishing an ad hoc Evaluation Committee, which will assess all eligible proposals within four weeks after the deadline for submission of full proposals. Proposals are presented to the Committee by the Indian project coordinator.

The results of both evaluation procedures will be submitted to the Scientific Council.

In both procedures the evaluation is based on the following evaluation criteria:

1. Scientific excellence

- Innovativeness of the project idea
- Quality and effectiveness of the scientific methodology
- Academic excellence of applicants (e.g. previous scientific track record, publications in scientific journals, reputation of the institute the applicant belongs to etc.)
- Contribution to the development of the respective research field

2. Trans-nationality and Cooperation

- Added value through trans-nationality of project: to link up with existing transnational and bilateral cooperation
- Appropriate allocation and justification of the resources to be committed (budget, staff, equipment)

3. Potential impact and expected outcomes of the project

- Prospects for establishing efficient and sustainable partnership within the network, including transfer of know-how and experience;

Scientific Council

Based on the results of the peer review the members of the Scientific Council (SC) will discuss and formulate their funding advice consisting of three categories:

- Proposals that are proposed to be funded
- Proposals that are good, but not have no funding priority
- Proposals that should not be funded.

The guidelines for the Scientific Council will be provided by the NPP Secretariat coordinator. The number of proposals in the three categories will be decided by Scientific Council. Generally, proposals reaching a certain threshold will be ranked.

Programme Funding Committee

On the basis of the motivated funding advice by the Scientific Council the **Programme Funding Committee** (PFC) decides on the projects to be funded. In taking this decision the PFC will take into account the wish to fund the largest number of projects possible, given the number of qualified proposals recommended and the available budget. If the number of selected proposals is smaller than what the budget can support, the PFC can decide not to allocate all of the funds for the call.

10. Project Output and Acknowledgements

Project output

- Whether or not New INDIGO specifically asks for the information, the project coordinators must report to New INDIGO on any academic publication or other form of output resulting from the research for which grant is awarded. A copy of the publication must also be sent to the NPP Secretariat.

Acknowledgements

- In any publication of results of the research for which grant is awarded, mention must be made of the support received from New INDIGO.
- The project coordinators, or alternatively the management of the host institution, must ensure the inclusion of the New INDIGO logo in publications relating to the project.

11. Legal clauses

NB: By receiving NPP funding you accept the following basic regulations. Modifications are possible by signing a Consortium Agreement to that effect.

Intellectual Property Rights

General principles

- Each party shall bear sole responsibility for ensuring that its acts within the project do not infringe third party property rights.
- The parties shall inform the other party as soon as possible of any limitation to access rights to background or of any other restriction which might substantially affect access rights.
- Equipment procured via grant funding will become the property of the institution at which the research is conducted.
- The project coordinator, or alternatively the management of the host institution, shares the use of the equipment within the New INDIGO scheme.

Foreground (= results generated under the project)

- Foreground shall be the property of the beneficiary carrying out the work generating that foreground and any resulting new patents shall only be registered in the name, and at the expense, of said party and at its sole initiative. In the event that foreground were to be created by the staff of two or several parties in an indissociable way, this foreground, referred to as the “Joint foreground”, shall be jointly owned by these parties, referred to as the “Co-Owner Parties”, proportionally to their intellectual, human, material and financial contribution (or equally) unless said parties were to contractually agree to the related property rights being transferred to one of them.
- Use of the Joint Foreground:
The co-owner parties of the joint foreground shall specify the terms and conditions for its use pursuant to an enhancement agreement prior to any and all industrial and commercial use or, for new patents subject to joint ownership, pursuant to rules of co-ownership.
- As of now, the parties agree that any direct and/or indirect use by a co-owner party of the joint foreground shall be subject to financial compensation being paid to the other co-owner parties according to terms and conditions set forth subsequently in the above mentioned enhancement agreement or in the rules of co-ownership.
- When the joint foreground consists of software, the prior agreement of the other co-owner parties shall be required if the planned use shall lead to communication of the source codes.

Dissemination

- Each beneficiary shall ensure that the foreground of which it has ownership is disseminated as swiftly as possible.
- Dissemination activities shall be compatible with the protection of intellectual property rights, confidentiality obligations, and the legitimate interests of the owner(s) of the foreground.
- At least 45 days prior notice of any dissemination activity shall be given to the other beneficiaries concerned, including sufficient information concerning the planned

dissemination activity and the data envisaged to be disseminated. Following notification, any of those beneficiaries may object within 30 days of the notification to the envisaged dissemination activity if it considers that its legitimate interests in relation to its foreground or background could suffer disproportionately great harm. In such cases, the dissemination activity may not take place unless appropriate steps are taken to safeguard these legitimate interests.

- The beneficiaries may agree in writing on different time-limits to those set out in this paragraph, which may include a deadline for determining the appropriate steps to be taken.
- All publications or any other dissemination relating to foreground shall include the following statement:
 - **The research leading to these results has received funding from New INDIGO - NPP.**

Access rights to background (= existing knowledge)

- Any Access Rights granted expressly exclude any rights to sublicense unless expressly stated otherwise.
- Access Rights shall be free of any administrative transfer costs.
- Access Rights are granted on a non-exclusive basis, if not otherwise agreed in writing by all the Parties.
- Foreground and Background shall be used only for the purposes for which Access Rights to it have been granted.
- All requests for Access Rights shall be made in writing.

Exchange of biomaterials

- For non-substantive exchange of such materials a general waive is issued by all participating countries. In case a substantive exchange is foreseen, standard regulations are applied [*e.g. Convention on research on biological materials of human origin (Rec(2006)4)* and Directive 2001/23/EC of the European Parliament and the Council of 31 March 2004 on Setting Standards of Quality and Safety for the Donation, Procurement, Testing, Processing, Preservation, Storage and Distribution of Human Tissues and Cell]
- If in any project research on biological material of human origin occurs, the rules of the country where such research is conducted have to be applied.