

AUSTRALIA-INDIA STRATEGIC RESEARCH FUND (AISRF)

Guidelines for Round Four 2009/10

- *Indo-Australia Fund for Scientific and Technological Cooperation*

PART 1 - OVERVIEW

1.1 Background and objectives

The Australia-India Strategic Research Fund (AISRF) is a joint initiative between the Indian and Australian Governments.

The AISRF supports Indian researchers to collaborate with Australian partners on leading edge science and technology (S&T) in order to contribute to India's economic, social and environmental wellbeing.

The objectives of the AISRF are to:

- Increase the uptake of leading edge S&T through:
 - Supporting collaboration and participation by Indian researchers in strategically focussed, leading edge, scientific research and technology with Australian counterparts; and
 - Increased strategic alliances between Indian and Australian researchers.
- Facilitate India's access to the global S&T system by supporting bilateral relations with Australia.

1.2 Indo-Australian S&T Fund

The *Indo-Australian S&T Fund* is jointly managed by the Australian Government Department of Innovation, Industry, Science and Research (DIISR) and the Indian Government Department of Science and Technology (DST).

The priority areas of research for Round Four of the *Indo- Australian S&T Fund* are:

- Agricultural Research;
- Astronomy and Astrophysics;
- Environment Sciences (including climate change research);
- Micro-electronics Devices and Materials;
- Nanotechnology;
- Renewable Energy;
- Marine Sciences;
- Earth Sciences; and
- Information and Communication Technology.

1.3 Timeline for Round Four of the AISRF

The call for applications under Round Four of the AISRF will be open for 6 weeks. The round will open **on 16 November 2009**, and close at **5pm on 24 December 2009**.

The table below summarises the steps and indicative timing for the selection process for Round Four:

January – March 2010	Round 4 applications assessed and ranked by AISRF Advisory Panel
April 2010	Joint meeting between Indian and Australian Governments to negotiate on final set of projects to be supported
May 2010	Joint public announcements made by Indian and Australian Governments on successful applications

May – June 2010	Contract negotiations with successful applicants
June 2010	Projects commence

Please note that the timeline is subject to change. Please refer to the websites for notification of any changes for Round Four (www.dst.gov.in , www.innovation.gov.au/aisrf).

PART 2 - ELIGIBILITY REQUIREMENTS

2.1 Eligibility Criteria

To be eligible to apply for funding under the *Indo-Australian S&T Fund*, the Indian applicant must:

- Seek support for a bilateral collaborative research project or workshop in one of the priority areas of research;
- Have obtained the agreement of their proposed Australian research partner to undertake the project activities;
- Be one of the following 'eligible organisations' (or a consortium of eligible organisations):
 - Education institution;
 - UGC recognized Universities/ Deemed Universities
 - Academic Institutes and National Research & Development Laboratories/Institutes
 - public sector research agency; or
 - private, not for profit, research organisation
- Address each of the Assessment Criteria
- Seek funding for eligible expenses; and
- Not seek funding for activities funded under another Indian Government program.

Note: the Indian and Australian governments wish to increase the level of industry and other 'end user' engagement in publicly funded research. Participation by companies, industry and other end users in collaborative projects is encouraged, but funding from the Government of India will only be provided only to eligible organisations listed above.

2.2 Conditions relating to Eligibility Criteria

AISRF grants are not intended to duplicate support available from other Indian Government sources. Where an applicant already receives Indian Government funding for their core activities, the applicant will only be eligible if they can demonstrate that the activity for which funding is sought is additional to their core activities.

2.3 Eligible activities and expenses

Under the *Indo-Australian S&T Fund*, the Indian Government will support the direct costs of **bilateral collaborative research projects or workshops** in one of the priority areas of research

Indian side will provide for the following expenses:

- **International economy excursion class return airfares for Indian researchers travelling to Australia to participate in collaborative research projects and workshops** (*international airfares for Australian researchers travelling to India will be met by the Australian Government*);
- **Living expenses, including accommodation and meals, for Australian researchers travelling to India to participate in collaborative research projects and workshops. Indian side will contribute a maximum of Indian Rs. 1000/ per person per day or Indian**

Rs. 25,000/- per person per month whichever is the lesser amount and Guest House Accommodation Charges (*Living expenses, including accommodation and meals, for Indian researchers travelling to Australia will be met by the Australian Government, Australian side will contribute a maximum of AUD\$300 per person per day, or AUD\$4,000 per person per month, whichever is the lesser amount*).

- Manpower-Salaries and on-costs for Indian researchers employed specifically for the project (this includes JRF/SRF/PDF etc.) as per DST norms.
- Consumables, minor equipment;
- Workshop-specific expenses for bilateral workshops held in India or Australia
- In the case of projects that demonstrate an active 'end user' partner i.e. Industry, activities including prototyping, commercialisation, product design and testing, initial manufacture, and other translational activities; and
- Other project-specific expenses – subject to negotiation with the Department and considered in relation to the value of the projected benefit to India and Australia.

Please note that grants are intended to contribute towards the cost of eligible activities and are not intended to fully reimburse expenditure.

2.4 Costs not eligible for support

The following activities/costs will not be funded by the Indian Government:

- any cost incurred prior to the execution of a funding agreement with the Indian Government;
- costs that duplicate the in-kind support from the applicant or other participants in the project;
- capital expenditure for the purchase of assets such as office furniture, motor vehicles, computers, printers or photocopiers;
- costs involved in the purchase or upgrade/hire of software (including user licenses) and ICT hardware (unless it can be used only for the project);
- administration and infrastructure costs;
- Indian project manager's salary and salaries for existing staff, including salary related expenses;
- staff recruitment and relocation costs;
- international travel and living expenses for undergraduate and Masters students;
- costs associated with the protection or patenting of intellectual property;
- costs associated with the internal preparation of finance and audit statements; and
- debt financing.

2.5 Duration of projects

Projects may range from short bilateral collaborations to more complex projects spanning up to 3 years. Indian Government support will not be provided for activities undertaken or expenses incurred prior to the execution of a funding agreement.

2.6 Level of funding available

Both the Indian and Australian governments wish to increase the level of industry and other 'end user' engagement in publicly funded research for either commercial or public good outcomes.

For this round, the governments of India and Australia have agreed to consider providing some "additional funding" for projects that can demonstrate at least one active 'end user' partner. Examples of an 'end user' partner include industry bodies and companies, not-for-profit organisations, non-government organisations and public sector agencies.

For successful applications in which applicants demonstrate at least one active ‘end user’ partner to the satisfaction of both governments, project funding can also be used to support activities including: prototyping, pre-commercialisation/development, product design and testing, and initial manufacture.

2.7 Cash and in-kind support from other sources

Applicants will be assessed on the level of support that they can procure from both Indian and Australian organisations (including the applicant’s own organisation) for the collaborative research project and/or workshop

There is no requirement for applicants to demonstrate that the Indian contribution (cash and/or in-kind) to the project matches or is more than the funding sought from the Indian Government.

Indian contributions to the project may be in cash and/or in-kind. The contributions may be from the applicant’s own organisation, or other Indian sources, for example, collaborative participants, industry contributions or contributions from other Indian Government funding sources. Salaries for Project Managers may also be included as an in-kind contribution.

In-kind contributions will be required to be detailed and costed. In-kind costs must be directly related to costs of delivering the activities of the project and can include salaries of staff for the time they are involved and other costs incurred for the duration of these activities.

PART 3 - ASSESSMENT CRITERIA AND PROCESS

3.1 Notes on the Assessment Criteria

Provided that the Eligibility Criteria set out in *Part 2.1* have been met *Indo-Australian S&T Fund* will be assessed on a competitive basis against the following assessment criteria.

Responses to Criteria A, B and D require supporting documentation to be uploaded through the upload documents function of the application system. The supporting documentation to be provided is described under each criterion. Each supporting document can be provided as an individual file, or if necessary, titled appropriately to indicate that multiple criteria are addressed within the one document.

Apart from Criteria A and C, written claims against each assessment criterion must not exceed 300 words per criterion. Do not use overly technical jargon or refer to other sources such as websites for additional information. Acronyms or abbreviations must be spelt out in the first instance.

Criteria A, B and C are “shared criteria”, meaning they are equivalent in both the Indian and Australian applications. The claims addressing selection criteria A, B and C must therefore be equivalent to the information in the Australian partner’s application to the Government of Australia.

3.2 Assessment Criteria

Assessment Criteria:	Weighting:
<p>A. The scientific merit of the proposed activity including the potential of the anticipated outcomes to advance the knowledge base of the discipline; and the likely impact of the proposed research.</p> <p>In relation to workshop proposals, the potential of the workshop to generate collaborative research projects of sufficient merit to access support through subsequent competitive rounds of the AISRF</p>	<p>50%</p>
<p><i>Supporting documentation must be provided in support of this criterion:</i></p> <ul style="list-style-type: none"> ✓ A written proposal (no more than 10 A4 pages of Times New Roman, 11-point type), indicating the scientific merit of the research collaboration and addressing the 7 headings below. 	

<p>A1. Proposal title A2. Aims and background A3. Significance and Innovation A4. Approach and methodology A5. Expected outcomes and benefits A6. Role of personnel A7. References cited A8. End user</p> <p>Applications for workshops need not address all of the prescribed headings but should focus on the aims and background of the workshop; significance and innovation; expected outcomes; and key personnel expected to attend the workshop.</p> <p>✓ A letter from the Australian collaborator indicating that the proposal is jointly prepared and that the Indian collaborator agrees with the technical merit of the proposal and agrees to submit an equivalent proposal to the Australian Government.</p>	
<p>B. The leading-edge research capability of the project’s Indian and Indian partners and participants</p> <p><i>Supporting documentation must be provided against this criterion:</i></p> <p>✓ Curricula vitae of no more than 2 pages of key personnel identified</p>	20%
<p>C. Project plan and budget detailing project milestones, including milestone activities, expected outcomes, performance indicators, and an itemised budget for achieving each milestone</p> <p>To satisfy this criterion, applicants must complete the Project Plan and Budget pages of the application form.</p>	10%
<p>D. Level of support for the collaborative research project or workshop from Indian and Indian organisations (including the applicant’s own organisation)</p> <p><i>Supporting documentation must be provided against this criterion:</i></p> <p>✓ Letter of support from the applying organisation and any other Indian partner organisations, demonstrating and clearly articulating the organisation’s financial support (cash and/or in-kind) for the project and commitment to engage in the research collaboration or workshop. The letter must be prepared on official letterhead and be signed by a person who is authorised to commit such support.</p> <p>✓ Letter of support from the Australian partner organisation and any other international partner organisations, demonstrating and clearly articulating the organisation’s financial support (cash and/or in-kind) and commitment to engage in the research collaboration or workshop.</p> <p>✓ Letter of support from ‘end user’ partner, demonstrating and clearly articulating the organisation’s commitment to actively engage in the research collaboration. The letter must be prepared on official letterhead and be signed by a person who is authorised to commit such support.</p>	10%
<p>E. Details of governance arrangements, including intellectual property (IP) provisions</p> <p><i>Note: Criterion E is not applicable to applications for workshops.</i></p>	10%

Total	100%
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3.3 Conditions relating to Assessment Criteria

The above criteria provide the basis for assessment of an application. However applicants may be asked to provide additional information to clarify any issues raised during the assessment process. The Department may also seek the applicant's permission to obtain further advice from third parties if appropriate.

It is the applicant's responsibility to provide all relevant claims and documentation as required in the Assessment Criteria. **Applications that do not provide supporting documentation where required by the due date will be deemed ineligible.**

3.4 Eligibility checks and assessment of applications

All applications received by the notified closing date will be checked by the Department to determine whether they meet the eligibility criteria and relate to eligible activities and expenses as detailed. The application will then undergo a peer review process by an independent advisory panel against the assessment criteria.

The Indian and Australian Governments will negotiate on the final set of projects to be supported under the round and decisions will be final.

3.5 Discrepancies, ambiguities, inconsistencies, errors or omissions in an application

The Indian and Australian Governments will not accept responsibility for any misunderstanding arising from the failure by an applicant to comply with the guidelines, or arising from any ambiguity, discrepancy, error or omission contained in an application.

Applicants are responsible for ensuring the correctness, sufficiency and eligibility of their submitted application. If an applicant discovers any material discrepancy, ambiguity, inconsistency, error or omission in their application, they must **immediately** bring it to the attention of the Department by email to nvasishta@nic.in

The Department may request further information from an applicant or referee and allow an applicant to remedy any errors, omissions etc in an application at any time, including after the round closing date. The Department reserves the right to consider new information regarding matters referred to in the original application at any time, including after the round closing date.

The Department reserves the right to allow applicants to correct errors or omissions in submitted applications. On these matters the Department's decision will be final. No correspondence will be entered into in relation to the decision other than to inform the applicant of the decision.

Note: Giving false or misleading information is a serious offence.

4. Governance arrangements and intellectual property rights

Applicants must provide details of Intellectual Property (IP) issues in their applications. This includes both the use of IP in the project and the proposed ownership of rights to IP generated by the project as well as strategies for protecting India's interests. Protocols or contracts to protect IP rights will be signed in accordance with laws and regulations prevailing in India and India and will provide for:

- adequate and effective protection and equitable distribution of any benefits from IP rights created in or resulting directly from cooperative activities (foreground IP rights),
- ownership of foreground IP rights to be allocated on the basis of respective contribution and equitable interests,
- terms and conditions for the commercialisation and other forms of dissemination of the foreground IP rights, and

adequate and effective protection of IP rights provided by the organisations, enterprises and institutions prior to or in the course of such cooperative activities, for example the licensing or utilisation of such IP rights on equitable terms (background IP rights).

6. Submitting an application

Applicants for funding should submit this completed application form and all relevant, clearly labelled attachments in a single email in one MS word file to the email address: nvasishta@nic.in . An email acknowledging receipt of the application will be provided to the applicant. Applications will only be accepted during the open period for applications, and not at any other time. Applications close at 5 pm on 24th December 2009. Three hard copies are to be sent to Dr. Naveen Vasishtha, Scientist , International Division Department of Science & Technology, Government of India, Technology Bhavan, New Mehrauli Road, New Delhi 110016.

AUSTRALIA-INDIA STRATEGIC RESEARCH FUND (AISRF)

PROPOSAL FOR DST-DISR JOINT RESEARCH PROJECT FOR FY 2010

(to be used by the Indian Scientists/ Researchers)

Project Ref No. _____

(to be given by DST)

A. PROJECT IDENTIFICATION

1. AREA CODE (Please tick () the appropriate box):

1.	Agricultural Research;	(AGR)	
2.	Astronomy and Astrophysics;	(AA)	
3.	Environment Sciences (including climate change research);	(ENVS)	
4.	Micro-electronics Devices and Materials;	(MEDM)	
5.	Nanotechnology;	(NT)	
6.	Renewable Energy;	(RE)	
7.	Marine Sciences;	(MS)	
8.	Earth Sciences	(ES)	
9.	Information and Communication Technology.	(ICT)	

2. TITLE OF THE PROJECT :

3. PROPOSED DURATION OF THE PROJECT : _____ Months

4. PROJECT INVESTIGATORS & COLLABORATING INSTITUTIONS :

INDIAN PRINCIPAL INVESTIGATOR (PI)

Name	
Designation	
Department	
Institution	
Postal Address	
	Contact Phone No. (o) & (M) : _____ Fax: _____
E-mail	
Date of Birth	

AUSTRALIA PRINCIPAL INVESTIGATOR

Name	
Designation	
Department	
Institution	
E-mail	

5. INDIAN CO-PRINCIPAL INVESTIGATOR (CO-PI)

Name	
Designation	
Department	
Institution	
Postal Address	
	Contact Phone No. (o) & (M) : Fax:
E-mail	
Date of Birth	

6. OTHER MEMBERS OF THE INDIAN PROJECT TEAM :

S. No.	Name & Designation	Department & Institute	Academic Qualification & Specialization

7. OTHER MEMBERS OF THE AUSTRALIAESE PROJECT TEAM :

S. No.	Name & Designation	Department & Institute	Academic Qualification & Specialization

Brief Bio-data of Indian and Australiaese PIs and other Indian team members highlighting the expertise in the proposed field of work alongwith list of publications highlighting those relevant to the proposed project.

8. ONGOING / COMPLETED PROJECTS WITH THE INDIAN PRINCIPAL INVESTIGATOR :

National Projects:

S. No.	Project Title	Sponsoring Agency	Budget	Status

International Projects:

S. No.	Project Title	Name of the Colloborating Scientist & Institiute	Sponsoring Agency	Budget	Status

B. TECHNICAL INFORMATION

- Aims and Background

Describe the aims and background of the proposed activity. Include information about recent international progress in the field of the research, and the relationship of this proposed research collaboration to work in the field generally. Refer only to refereed papers that are widely available to national and international research communities.

- Significance and Innovation

Describe:

- o how the proposed activity is significant;
- o the need for the proposed activity to address an important problem; and
- o how the anticipated outcomes will advance the knowledge base of the discipline.

- Approach and Methodology

Outline the conceptual framework, design and methods and demonstrate that these are adequately developed, well integrated and appropriate to the aims of the proposed research collaboration.

- Expected outcomes and benefits

Describe the expected outcomes and the likely impact of the proposed research collaboration including the possible tangible benefits for the two sides, including:

- the extent to which the project addresses the objectives of the AISRF, including the agreed bilateral priorities as determined from time to time; and
- how the research collaboration might result in economic, environmental and/or social benefits for India and/or Australia.

- Role of personnel

Summarise:

- the role, responsibilities and contributions of each Principal Investigator, Fellow and Partner Investigator; and
- the roles and levels of involvement of other participants, such as technical staff, including the division of work between Indian and Australian investigators.

- References cited

Include a list of all references/documents cited in support of claims made against this criterion, within the page limit of 10 A4 pages.

– End user

To be eligible for an additional funding, describe how the project will use the research for either commercial or public good and how the 'end user' partner will be actively involved in the project.

A letter of support from the proposed end user demonstrating their involvement in the project is required

- The applicant to address in no more than 300 words the leading-edge research capability of the project's Indian and Indian partners and participants.
- **Supporting documentation must be provided to confirm and demonstrate claims.**
 - Leading-edge research capability may be demonstrated by, but not limited to, evidence of the Indian and Indian partner's academic awards and citations (as contained in submitted CVs), or other measures of research or innovation excellence.
 - Curricula vitae **of no more than 2 pages** of key personnel identified
 - Names of other key personnel in the project must be listed.

C. FINANCIAL AND ADMINISTRATIVE INFORMATION

TOTAL COST OF THE PROJECT :

1. List of equipment and other facilities available in the participating Institutes for implementation of the project :
(In case facilities of other institutes are utilised, a consent letter from the these institute(s) may be neclosed)
- 2.

Items of expenditure	I Year(Rs.)	II Year(Rs.)	III Year(Rs.)	Total (Rs.)
a)Manpower*				
b)Equipment\$				
c)Consumables#				
d) Visits by Indian scientists to Australia (Pl. indicate no. of visits & duration) International air-fare by economy excursion class including airport taxes and airport transfers in India				
e) Medical Insurance (silver class)				
f) Visa Fee				
g) Visits by Australian scientists to India (Pl. indicate no. of visits & duration) h) Accommodation Charges (Institution guest House as per actual) i) Rs.1000 / per day-per-diem				
C. Total				
Over-head 10%				
Grand total (Rs.)				

* Please indicate the designation of manpower like JRF, SRF, RA etc. including their monthly emoluments as per DST guidelines if any.

\$ Please indicate the name of the equipment if any

Details of consumables may be provided.

Note :i) The PI is to required to submit periodic reports and its continuation in the second year would depend upon its progress assessed by DST. At the end of each financial year .the PI is also required to submit the Utilisation Certificates and Statement of Expenditure in prescribed format.

ii) Visit of one person is to be counted as one visit.

3. Designation and address of the Authorised official in Institute/ University to receive the grant
4. A letter from the Australian Principal Investigator agreeing with the objectives, work plan including projected visits from both sides may be enclosed.

We hereby certify the statements above to be true and correct.

Signature with Date
Indian Principal Investigator

Signature with Date
Indian Co-Principal Investigator

CERTIFICATE OF HEAD OF THE INDIAN INSTITUTION

It is certified that

- 1) The institution agrees to participate in this joint research project;
- 2) In the event of the Indian Principal Investigator (PI) leaving the Institute due to retirement or otherwise, the Co-PI would become the PI and be responsible for completing the project and submitting the periodic progress report and financial statements;
- 3) The institution shall provide infrastructure & available facilities as mentioned above, for implementing the joint project;
- 4) The institution assumes to undertake financial & other management responsibilities for part of the project work to be carried out in this institution;
- 5) The breakup funding for manpower, consumables etc. is available to this project;
- 6) All necessary formalities as per our institution have been completed.

Signature and seal of the Head of the institution

**DEPARTMENT OF SCIENCE & TECHNOLOGY
INTERNATIONAL DIVISION
(Support for Joint Workshops/ Seminars/ Symposia/ Conferences/ Discussion Meetings
Under bilateral S&T Cooperation programmes)**

1. ACTIVITY (PLEASE TICK OUT THE APPROPRIATE ITEM) :
 Symposium : Seminar :
 Conference : Workshop :
 Discussion Meeting : Other
2. BROAD SUBJECT AREA :
3. TITLE OF CONFERENCE/ SEMINAR/ SYMPOSIUM/ WORKSHOP/ DISCUSSION MEETING:
4. DATES : FROM : TO: NO. OF DAYS:
5. VENUE :
6. NAME AND ADDRESS OF WORKSHOP/ SEMINAR COORDINATORS:

	INDIAN COORDINATOR	AUSTRALIAN COORDINATOR
NAME DESIGNATION: INSTITUTE CONTACT ADDRESS PINCODE CONTACT PHONE & FAX NOS E-MAIL:		

7. STATUS OF INDIAN ORGANISING INSTITUTE (PLEASE TICK OUT THE APPROPRIATE ITEM)
 Professional Body State Govt.
 Registered Society Central Govt.
 Pvt. Industry Pvt. College
 University Others
8. DESIGNATION OF OFFICIAL EMPOWERED TO RECEIVE FINANCIAL GRANTS (GRANTS WILL BE RELEASED ONLY IN FAVOUR OF HEAD/ REGISTRAR OF INSTITUTION OR SOCIETY) :
9. MAIN TOPICS TO BE COVERED AND PROPOSED PROGRAM SCHEDULE
10. EXPECTED OUTCOME:
11. BROAD DETAILS OF ESTIMATED EXPENDITURE (IN RUPEES)

Item of Expenditure	Estimated Expenditure	Grant being requested from DST
FOR WORKSHOPS BEING ORGANISED IN INDIA: TA for Indian Scientists/ Invited Speakers (No. of persons may also be indicated) Local Hospitality for Other Participants (No. of persons x days and rate for each item may also be indicated) Organizational Expenses including Food, Pre-conference Printing, Typing, Stationary, transport etc. Local Hospitality for Foreign Scientists -accommodation, per diem, local travel/ transport in India etc (No. of persons x days and rate for each item may also be indicated) Misc (please specify)		
FOR WORKSHOPS BEING ORGANISED ABROAD - International to & fro Airfare including airport taxes - related local travel in India - visa fee - Overseas medical insurance		
TOTAL		

12. DETAILS OF PARTICIPANTS IN THE EVENT :

- a) No. of Foreign scientists :
- b) No. of Indian scientists:

(A list of expected participants may be enclosed. A list of foreign participants along with their passport particulars - Name, Citizenship, Passport number, Date of issue, Place of issue, and Expiry date is to be sent at a later stage but about 2 months before the event)

13. IN CASE OF WORKSHOPS IN INDIA, INDICATE WHETHER CLEARANCE FOR PARTICIPATION OF FOREIGN SCIENTISTS HAVE BEEN OBTAINED FROM
(PLEASE TICK OUT THE APPROPRIATE ITEM)

Received

Applied

Administrative Ministry of the Organiser

External Affairs Ministry

Home Affairs Ministry

14. PURPOSE OF THE WORKSHOP/SEMINAR (PLEASE TICK OUT THE APPROPRIATE ITEM)

- a. Review state of art
- b. Formulate specific programme of action
- c. Bring out proceedings/papers in the subject
- d. Other (Please Specify)

15. BRIEF STATEMENT OF OBJECTIVE OF SEMINAR HIGHLIGHTING ITS IMPORTANCE IN NATIONAL CONTEXT

Signature of applicant/
Organising Secretary

Signature of Head of Institution or
President/ Secretary of Society

Place :
Date

