SECTION-III

PROFORMA FOR SUBMISSION OF PROJECT PROPOSALS UNDER SEED DIVISION OF DST

INSTRUCTIONS FOR FILLING UP THE PROFORMA*

1.   Use paper of A4 size

2.   Print as per the layout given in the format.

3.   Do not skip reproduction of any section even if the answer is "nil" or given elsewhere.

4.   Project title should be within two lines e.g. "To develop appropriate <u>spinning</u> equipment for <u>processing</u> of local <u>wool</u>" related to objectives proposed. (underline key words)

5.   If project is to be executed by more than one institution and/ or requires regular inputs from other scientists, names of collaborating institutions/ scientists may be recorded.

6.   **Objectives (4-5 only) should be focused and sharp to be achieved in 2-3 years duration of the project.** Work plan, methodology, expected outcome, etc. should be clearly spelt out.

*Proposals copied from other sources will be summarily rejected.

For official use only		
Project Ref. No.	Scheme	Date of receipt

Part I: General Information

1. Project Title (should be focused not exceeding 15 words):

2. i. Name of PI:

   ii. Name of Co-I:

3. Name of organization & place:

4. a. Type of organization:

Academic institution	
Research organization	
S&T Council	
Voluntary Organization	
Panchayati Raj Institution (PRI)	
Krishi Vigyan Kendra	
Other (please specify)	

   * Joint proposals with academic and/or research institutions will be encouraged.

   b. Collaboration if any, give details of institution(s)…..

   1. Whether your organization has been sanctioned DST projects or by other central/state govt. deptt. or from foreign funding agencies in the past (up to 10 years)? If yes, provide details of completed and ongoing projects **(Copy of sanction letter to be annexed):**

SN	Title of the project	File No.	Name of Division and funding agency (DST/DBT…..)	Date of completion/ status	Amount (Rs lakh)	Whether final UC/SE & project completion report has been submitted (if yes, mention date)

6. a. Whether, your organization is receiving core support from SEED, DST? *Yes/No*
   b. If yes, indicate whether activities of the present proposal are covered   under the approved activities of core support provided to your organization by SEED, DST? Please also give a list of approved activities under Core Support.

i.
ii.
iii.

(**Note:** Core supported groups must ensure to avoid duplication of activities approved under core. However, proposed intervention /objectives as a new proposal for identified core activity towards innovative interventions may be considered).

7. Whether project activities require any clearance from relevant authorities in respect of any environmental/legal/ethical issues?   Yes/No

8. Duration (months):

9. Cost (Rs. in Lakhs): Recurring _____ ; Non-recurring _____

10. Draft/Cheque to be made in favour of _____ payable at _____
    (As per approval of governing/executive body of the organization/institution)
****

CHECKLIST FOR SEED PROJECT APPLICATIONS

Before submitting the application, please ensure that the proposal is complete in all respects as per the following list (Mark √ in the box if included in the proposal):

Duly filled application form (complete with all Annexures)- 10 hard copies plus 1 soft copy on a CD	
Bio-data of the PI & Co-I -**10 copies**	
Annual reports & audited accounts of the organization for previous 3 years- **1 set only**	
Copy of **valid** registration certificate, Article & MOU with Bye Laws/Trust Deed-**1 set only**	

* Proposal not completes in all respects and without supporting documents will not be entertained.

Part II: Proposal Summary (Restricted to 3-4 pages only)

1.   Project Title (Short & focused not exceeding 15 words):

2.   Nature of project:
(Pl. tick one or more boxes, as applicable)

Technology development (new product/process or up/down scaling of existing systems)	
Technology development & transfer (development of product/process followed by field adaptation trials, demonstrations & transfer of technology)	
Technology dissemination (dissemination of available technology for solution of identified problem)	
technology adaptation/optimization, demo and training	
Other (Please specify)	

3.   Implementing Organization (s):

	Role & responsibility
a. Implementing Org.	
b. Collaborator(s)	

4.   Name of PI, Co-I and Affiliation (Please enclose copies of certificate of highest Qualification):

i. PI	
Name	
Organization	
City (with pin code)	
Highest qualification & subject	
ii. Co-I	
Name	
Organization	
City (with pin code)	
Highest qualification & subject	

5.   Objectives (**Only 4-5 focused one that can be observed, measured or clearly assessable):**

i.
ii.
iii.

6.   Methodology and Work Plan (Max. 250 words):
   i.   State the methodology in a sequence of clearly defined steps leading to achievement of the stated objectives

   ii. Phase wise Work plan of action with time line and deliverables in **tabular form**

7.   Project Area:

Project Area: ☐ Rural   ☐ Urban   ☐ Both
Geographical Focus Area:
Village(s)/urban locality:_____
Block/Taluka: _____

District: _____ ; State: _____	
Project Area Profile (Give following details along with a neatly drawn location map):	
I. Geographical area covered, climate, land use pattern, crops & cropping patterns, availability of natural resources & raw materials, availability of special skills/trades, etc.	
II. a. Socio-economic status (such as conditions and occupations of the target beneficiaries, availability of basic amenities and facilities such as water & sanitation, health centers, communication, roads, marketing facilities. b. Baseline data sheet which may be assessed annually with respect to results and deliverables during implementation of the project activities (if it is to improve livelihood opportunities through improved agriculture practices, what are the present status in terms of soil conditions, crop productivity and disease management etc.)	

8. Target Beneficiaries (**For ST /or SC beneficiaries, please annex list of beneficiaries with village and address details)**:

Type of Target Beneficiaries:	**No. of Beneficiaries**
☐ SC population	
☐ ST population	
☐ Economically weaker section	
☐ Farmers	
☐ Labourers	
☐ Artisans	
☐ Women	
☐ Youth	
☐ Children	
☐ Disabled/senior citizens	
☐ Industrial workers	
☐ Any other: _____	
Total Size of Target Group(s) indicating % of women/SC/ST of total population in project area:	
Present average income level at the household level:	

9. **Total Budget (Rs. in Lakhs):**
   i. Recurring Cost (Rs):
   ii. Non-Recurring Cost (Rs):

S. No.	Item	Budget			
		1st Yr	2nd Yr	3rd Yr	Total
A	**Recurring** 1. Manpower 2. Consumables 3. Travel 4. Field testing, Demo/ Training expenses (if applicable) 5. Contingencies/Other costs 6. Institutional Overheads* 7. Any other item				
B	**Non-Recurring** Permanent equipment Construction of work shed/structures Fabrication of prototype equipment				
	Grand Total (A+B)				

10. Project Duration: _____ months

11. Deliverables (the list below must correspond with and be derived from # 5 & # 6):

Deliverable	Mark √	Brief description
Product development/adaptation		
Process development/adaptation		
Technology package for development of the project area and local community		
Technology capability development, training & documentation (e.g. reports, papers, articles, technology manuals, patents)		
Scientific knowledge and/or data generation leading to technology development in future		
Other (Please specify)		

Part III - Technical Details

1. **Title** (Short & Focused not exceeding 15 words) :

2. I. **Statement of the problem** (200 words)
    i. State the main problem you seek to address:
    ii. Who has this problem, where does it occur?
    iii. How did you come to know of this, did the people who have problem approach you or you visualized it yourself?
    iv. Why is it important to solve it?

    II. **Technology gaps & Suggested solution** (150 words):
    (Describe how the proposal will lead to a novel and effective solution, **based on a scientifically and technically sound concept** and keeping in view the user needs and local availability of resources)
    i. Outline your idea or solution you plan to develop:
    ii Did you think up the technological solution within your team or was it thought up in consultation with others (who):

3. **Review of Status** - (100 words): Are you aware of any other initiative related to proposed activities to solve this problem? What were the outcomes?
    (Mention importance of the project in context of the current status, and demonstrate how the project will progress beyond the "state-of-art" or the best initiative tried by others in providing new innovative technological solution to the identified problem and user needs)

4. **Objectives** (Only 4-5 focused that can be observed, measured or clearly assessable**):**

i.
ii.
iii.

5. **Methodology** (100 words):
    (Describe how the project will leverage livelihood/economic opportunities and solve societal challenges in a sustainable way. Also explain how, and in what way, the project will contribute to the advancement of knowledge in the subject/topic. Support with defined steps/relevant process details, e.g. flow chart, model, survey procedures, protocols, engineering design/schematic/layout plan - as applicable to achieve the stated objectives)

6. **Work Plan** (150 words - Please also provide activities schedule – Pert Diagram):

    i. **Phase wise work plan of action with time line and deliverables in tabular form** (Describe how the proposal includes a plan for pilot application or trial in a realistic user environment of the technology/product, where the expected impacts to meet end user needs may be demonstrated to the fullest feasible extent).

    ii. **Technology Selection** (State the criteria used for selection of technology for addressing key problem(s) and the assessment of available technologies related to the project)

    iii. **Technology Development/Adoption/Modification/Capacity Buiding** – as applicable
    (Provide information on the new R&D/adapted R & D to be carried out for technology development/adoption/ modification and brief description of the technology or training package(s) to be used. Information should be provided on the scale of operation, minimum economic viable scale, estimated cost and likely benefits of the proposed technological intervention):

iv. Institutions/places where detailed lab/field testing or experiments will be carried out:

v. **Source of Technology**:

Source	Name of agency/institution/individual expert
Generated in-house by staff	
Generated in-house by employing outside experts	
Borrowed from an outside institution/expert	
Modification of technlogy/know-how being used by the beneficiaries	
Any other (please specify):	

vi. **Mechanisms for Beneficiaries mobilization & Involvement:**
(Please indicate how mobilization & participation of beneficiaries in the project work will be ensured)

☐ Formation of new SHGs/technology user group or beneficiaries' group for project implementation
☐ Involvement of existing SHGs
☐ Through demonstration of usefulness of technology or training package
☐ Involvement of beneficiaries through formation of enterprises
☐ Provision of certificates for participation/proficiency for beneficiaries
☐ Involvement of the beneficiaries as trainers and/or trainees
☐ Financial contribution by beneficiaries in project execution
☐ Material contribution (tools/raw material, labour, etc.) by beneficiaries in project execution
☐ handholding through local panchayats/welfare organizations
☐ Any others (please specify):_____

7. **Environmental, Legal and Ethical Issues:**
   (Explain any environmental, legal and ethical compliance issues. Please mention how these will be addressed & enclose clearance certificate from concerned authorities if required)

8. **Deliverables** (the list below must correspond with and be derived from # 4, # 5 & # 6. Please also indicate affordability of deliverables to the target beneficiaries):

Deliverable	Mark √	Brief description
Product development/adaptation		
Process development/adaptation		
Technology package for development of the project area		
Technology capability development, training & documentation (e.g. reports, papers, articles, technology manuals, patents)		
Scientific knowledge and/or data generation leading to technology development in future		
Other (Please specify)		

9. **Estimated Benefits** (100 words):

Benefit	Mark √	Brief description
Economic (Cost-benefit analysis)		
Employment generation		
Social		
Environmental including potential for CDM benefits		
Others (Please specify)		

Note: Please also comments on the possible benefit sharing mechanism of project outcome by different stakeholders.

10. Self- sustainability of the project after SEED's project support is over (30 words):

11. Possibility of replication of project in similar areas (after the proposed technological solution is proven, how it will be distributed? Involving state govt. for large scale technology dissemination or via market or any other means - any entrepreneur or business person involved in the work in any manner?):

12. Suggest measurable indicators (**10-12 tangible as well as non-tangible along with means of verification)** for monitoring effectiveness of project interventions in respect to the stated objectives and deliverables. The indices you choose must permit objective measurement and determination *vis-à-vis* time line during project cycle comparing with base line data/control-list in the table is only indicative:

S. No.	Indicators (as applicable)
1	Increase in crop production
2	Increase in land productivity
3	Change in land use pattern
4	Increase in irrigated area and/or drinking water coverage
5	Increase in family income
6	Increased availability of resources (natural and/or physical) and assets
7	No. of beneficiaries using facilities created under the project
8	Increase in livelihood/ employment opportunities
9	Diversification of livelihood activities with description
10	Improved linkages with banking/ financing institutions
11	Improved linkages with Distt. authorities/State Govt/ PRIs
12	No. of SHGs/technology user groups/cooperatives and/or enterprises formed
13	Improved linkages with market/ enterprises
14	Improved health of beneficiaries/ sanitation/ Less drudgery in work
15	Improved access to energy sources
16	No. of skilled/non skilled workers trained
17	No. of new technologies/products/processes/ services developed/adapted
18	Adoption of newly developed product indicated by number of adopters
19	No. of organizations motivated and mobilized for replication of project achievements
20	No. of publications produced (Title, Journal, issue, yr.)

Part IV.   Budget Details

BUDGET ESTIMATES: SUMMARY

(Rs. in lakhs)

Sl.No.	Item	Budget			
		1st Yr	2nd Yr	3rd Yr	Total
A	**Recurring** 1. Manpower 2. Consumables 3. Travel 4. Demo/Training programmes (if applicable) 5. Contingencies/Other costs 6. Institutional Overheads*				
B	**Non-Recurring** Permanent equipment Construction of work shed/structures Fabrication of prototype equipment				
	Grand Total (A+B)				

2.   Financial Year : April to March
3.   It is essential to provide brief & adequate justification for each item of expenditure.

A. Recurring:

1. BUDGET FOR MANPOWER

Sl.No.	Designation	No.	Qualification & experience	Monthly emolument (Rs)	Budget (Rs. in lakhs)			
					1st Yr	2nd Yr	3rd Yr	Total

  i.   Only NET/GATE qualified candidates can be appointed as Res. Associate/SRF/JRF.
  ii. DST would not entertain any request for hike in emolument of project staff during the project period.
 iii. Limited funds may be allowed as 'Honorarium to Experts' for need-specific consultancy.

2. BUDGET FOR CONSUMABLES*

Sl.No.	Description of consumable	Qty./Yr	Budget (Rs. in lakhs)			
			1st Yr	2nd Yr	3rd Yr	Total

* Includes items like chemicals, glasswares, supplies, seed, pesticides, fertilizers, raw materials for fabrication, stationery, etc.

3. BUDGET FOR TRAVEL

Sl.No.	Purpose	Budget (Rs. in lakhs)			
		1st Yr	2nd Yr	3rd Yr	Total
1	Project logistics				
2	Field activities				
3	DST review meetings				

i.   International travel is not permitted

ii. The project personnel shall exercise utmost austerity while traveling.
iii. Please provide detailed justification for budget proposed under first two headings.

4. FIELD TESTING/DEMO/TRAININGS*

Sl.No.	Description of field testing/demos /trainings	No/Yr	Budget (Rs. in lakhs)			
			1st Yr	2nd Yr	3rd Yr	Total

* Include material for technology field testing/demo, training manuals, training expenses for beneficiaries. **Note:** For training give details about the subject of training(s), no. of beneficiaries/training, duration of training days, cost /training).

5. BUDGET FOR CONTINGENCIES*

Sl.No.	Item	Qty./Yr	Budget (Rs. in lakhs)			
			1st Yr	2nd Yr	3rd Yr	Total

* Includes items like computer time, secretarial assistance, documentation, cost of technology transfers/acquisitions (intellectual fees), lab/field trials, maintenance/servicing of equipment, incidental expenses, etc.

B. Non-Recurring:

BUDGET FOR PERMANENT EQUIPMENT/WORKSHED/STRUCTURES

Sl.No.	Equipment/Item details	Qty	Budget (Rs. in lakhs)
1			
2			
3			
4			

i. Include installation charges, transport, taxes/duties/levies, etc. Please try to avail tax/duty exemptions as applicable to your institution/organization.
ii. Budgetary quotations will be required for permanent equipment (estimates, if the equipment is to be fabricated locally for prototype testing etc) and other items under non-recurring head, once project is approved for financial support.
iii. Drawings/layouts, etc. prepared by authorized professionals/agencies should be submitted for proposed work shed/structures, if applicable, and supported by documents showing availability of required land along with consent letter from the owner (Panchayat/individual/Govt./etc.).
iv. Proper record should be maintained for the items procured under this Head.

Part V. Project Team

a. Team Members:

	PI	Co-1	Co-I-2/ RA/Tech. or project Asst.	Field worker
Name				
Designation				
Organization				
Sex (M/F)				
Date of birth				
Address				
Phone, fax, email, mobile				
Whether drawing salary from any other source				

b. Implementing Organization (& collaborators):

Name of the organization:			
Address:			
District:	State:		Pin:
Telephone with STD code:		Fax:	
Email:			
Website:			

Details of Organization	
Year of Establishment:	
Registration No & Date:	Valid upto:
FCRA Registration No & Date:	Valid upto:
PAN #: Bank Account #:	
Chief Functionary:	
Annual budget in last financial year:	
Operational area (State, Dist.):	
Details of branch/unit offices:	
Total staff (Administrative & technical):	
Main science-society achievements during last three years:	
Years of association with DST:	

c. Nature of Implementing Organization (Mark √ in the box):

Academic institution	
Research organization	
S&T Council or State established autonomous organization	
Voluntary Organization, registered under Societies Registration Act (1860) or a State amendment thereof Indian Trust Act (1882) or Religious and Charitable Institutions Registration Act (1920)	
Institutions incorporated under the Companies Act, setup for non-profit objectives (e.g. under Section 25)	
Professional & industry Associations	
Private R&D centre (recognized by DSIR)	
Panchayati Raj Institution (PRI)	
Krishi Vigyan Kendra	
Other (please specify)	

d. Capability of the Organization(s):

I. Expertise available

	Impl. Org.
No. of full-time staff with professional qualifications	
No. of persons available as professional consultants	

II. Facilities/Assets/Equipments available

	Impl. Org.

III. Links with Outside Agencies:
(Please provide information on the linkages envisaged with outside agencies to solicit necessary inputs for project implementation)

a. Links with local bodies (Panchayats/RWAs/BDO/local cooperatives):

Name	Purpose & inputs expected

b. Links with voluntary organizations:

Name	Purpose & inputs expected

c. Links with S&T institutions/subject consultants:

Name	Purpose & inputs expected

d. Links with industry, banks/other financial institutions:

Name	Purpose & inputs expected

IV. Any Other Capability (please specify):

e. Whether the implementing organization and/or collaborators have previously worked in the proposed project area? If yes, please give details (project/activities and highlights, availability of any local office, infrastructure, etc.). If no, please mention strategy for working in this area.

f.   Role & responsibility of collaborators:

	Role	Responsibility
Implementing Org.		
Collaborator		

ENDORSEMENT FROM THE HEAD OF INSTITUTION
(TO BE GIVEN ON LETTER HEAD)

PROJECT   TITLE: _____

_____

1. Certified that the Institute welcomes participation of Dr./Shri/Smt./Km. _____ as the Principal Investigator and Dr./Shri/Smt./Km. _____ as the Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Co-Investigator will assume the responsibility for the fruitful completion of the project (after obtaining consent in advance from DST).

2. Certified that the equipment, other basic facilities and such other administrative facilities as per terms and conditions of the grant, will be extended to investigator (s) throughout the duration of the project.

3. Institute assures financial and other managerial responsibilities of the project.

4. Certified that the organization has never been blacklisted by any department of the State Government or Central Government.

Name and Signature of Head of Institution

Date: ………………

Place:………………

REMARKS

      In regard to research proposals emanating from scientific institutions/laboratories under various scientific departments the Head of the institution is required to provide a justification indicating clearly whether the research proposals falls in line with the normal research activities of the institution or not and if not, the scientific reasons which merit its consideration by DST.

CERTIFICATE FROM THE INVESTIGATOR

PROJECT TITLE: _____

_____

_____

1.   We agree to abide by the terms and conditions of the DST grant.

2.   We did not submit this or a similar project proposal elsewhere for financial support.

3.   We have explored and ensured that equipment and basic facilities will actually be available as and when required for the purpose of the project. We shall not request financial support under this project, for procurement of these items.

4.   We undertake that spare time on permanent equipment will be made available to other users.

5.   We have enclosed the following materials:

ITEMS		NUMBER OF COPIES
(a)	Endorsement from the Head of the Institution (on letter head)	One
(b)	Copies of the proposals	10
(c)	Registration certificate, Memorandum of association, rules and regulations of the institution, Audited Balance Sheet and annual report of previous three years.	One

Date : ………………   Name & Signature of   Name & Signature
                        Principal Investigator   of Co-Investigator(s)
Place:………………..

PROFORMA FOR BIODATA OF INVESTIGATORS (P.I. & CO-I.)

A.   Name   B.   Date of Birth

C.   Institution   D.   Whether belongs to SC/ST

E.   Academic and professional career:

Academic career (From Graduation to highest qualification level indicating subject and area of specialization – Enclose copy of certificate of highest qualification):

Professional career:

F.   Award/Prize/Certificate etc. won by the investigator:

G.   Publication (Numbers only)

Books   Research Papers, reports   General articles
Patents   Others (please specify)

H. (1)   List of completed and on going projects

Sl. No.	Title of Project	Duration From to	Total Cost	Funding Agency

(2) List of projects submitted

Sl. No.	Title of the project	Name of Organization	Status

GUIDELINES FOR THE ACTION RESEARCH PROJECTS

1. Identify the project area and project site based on a preliminary assessment of the areas as well as the people , using the following criteria:

(i)   Minimum level of infrastructural facilities particularly roads, electricity and potential for irrigation.
(ii)   Presence of local organizations like Panchayats or cooperative or voluntary groups.
(iii)   Certain numbers of homogenous villages are preferable in terms of their social structure.
(iv)   Consultation with the concerned official in the area is desirable.

2. Identify the common resources in the village and the way the people utilize them or envisage utilizing them and the type of supervisory function exercised by the village community on these resources. If available, use remote sensing data for resource mapping.

3. (i) Identify any of the regular development programmes being implemented in the project area, agencies involved and beneficiaries covered. Identify sources of funds for these schemes in operation by Government sponsored programmes so that where possible, their efforts could be integrated into the experimental projects.
(ii) Assess the impact of the ongoing programmes.

4. Building up rapport with the identified people at project sites by frequent informal visits, meeting with all sections of the people, discussion with leaders culminating in organizing gram sabha meetings.

5. Involve the local panchayat /organization in

(i)   Identification of the beneficiaries
(ii)   Identification of technology intervention need and schemes for the beneficiaries in consultation with them
(iii)   Providing local supervision in the implementation of the programme

Attempt should be made to develop the project management of the local panchayat/ organization and they should be educated to handle the project on a continuous basis. This will be one of the measures of the success of the action research project.