

**NATIONAL GUIDELINES FOR BRICS CALL FOR
PROPOSALS
UNDER
BRICS STI Framework Programme**

**Response to COVID-19 pandemic coordinated call
for BRICS multilateral projects 2020**

Call is open until 18th August 2020, 15:00 Moscow Time (UTC+3) for JAF

Submission at

BRICS STI Framework Programme Application Management System (BRICS AMS) at

<http://ams.rfbr.ru/BRICS>

AND

DST/DBT National submission online: until 24th August 2020 at

www.onlinedst.gov.in

(One Joint Application Form (JAF) and National Application in the country specific format are mandatorily to be submitted in each partnering country)

India National Guidelines FOR BRICS STI Framework Programme Response to COVID-19 pandemic coordinated call for BRICS multilateral projects 2020

1. GOAL OF BRICS COORDINATED CALL:

The BRICS STI Framework Programme aims to support excellent research on priority areas which can best be addressed by a multinational approach. The initiative should facilitate cooperation among the researchers and institutions in the consortia which consist of partners from at least three of the BRICS countries.

2. FUNDING AGENCIES:

Following research funding organizations from the BRICS countries have agreed to support BRICS Call:

Brazil:

National Council for Scientific and Technological Development (CNPq)

Russia:

Foundation for Assistance to Small Innovative Enterprises (FASIE)

Russian Foundation for Basic Research (RFBR)

India:

Department of Biotechnology (DBT)

Department of Science and Technology (DST)

China:

Ministry of Science and Technology (MOST)

National Natural Science Foundation of China (NSFC)

South Africa:

South African Medical Research Council (SAMRC)

3. THEMATIC AREAS:

The COVID-19 pandemic caused by SARS-CoV-2 is one of the greatest global challenges, and as such warrants a global response. BRICS countries account for more than 25% of the world territory, more than 40% of the world population and play a vital role in the world economy. In response to the COVID-19 pandemic, the BRICS STI Framework Programme is launching a call for multilateral basic, applied and innovation research projects facilitating cooperation among the researchers and institutions in the consortia which consist of partners from at least three BRICS countries corresponding to the following thematic areas:

- 1. Research and development of new technologies/tools for diagnosing COVID-19.**
- 2. Research and development of COVID-19 vaccines and drugs, including repurposing of available drugs.**

3. **Genomic sequencing of SARS-CoV-2 and studies on the epidemiology and mathematical modelling of the COVID-19 pandemic.**
4. **AI, ICT and HPC oriented research for COVID-19 drugs design, vaccine development, treatment, clinical trials and public health infrastructures and systems.**
5. **Epidemiological studies and clinical trials to evaluate the overlap of SARS-CoV-2 and comorbidities, especially tuberculosis.**

4. ELIGIBILITY CRITERIA:

4.1 Indian Entities Eligible to Participate:

The participating entities/organisations from India have to be a legal entity as per Indian law (Indian applicants)

The Indian entities eligible to participate include:

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

4.1.1 Academic/Research Partners:

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

4.1.2 NGO(s)/VO(s)/Trust(s)/Research Foundations:

- The Indian private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research foundations should have experience of at least 3 years in scientific research, teaching, training and extension activities; and must follow research as one of the mandates.
- Proof of registration at 'NGO DARPAN' of NITI Aayog (<http://ngodarpan.gov.in/>), Certificate of registration under Society Registration Act, Firm's Memorandum of Association, Registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>), Valid SIRO certificate for firm's in-house R&D recognition and audited account statements for the past three years shall be obligatory;

4.1.3 Industry Partners:

- Should be an Indian Company registered under the Companies Act, wherein 51% (or more) of the ownership/shareholding/partnerships shall be held by resident Indian citizen(s); should be complying with General Financial Rules (GFR), 2017; and
- Submission of Certificate of Incorporation issued under Companies Act, Valid SIRO certificate for firm's in-house R&D recognition, Exemption Certificate (as applicable), Firm's Memorandum of Association, registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>) and Audited Account Statements for the past three years shall be obligatory.

4.1.4 Ineligible Organisations:

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

4.1.5 Consortium:

A joint project will comprise of at least one PI from each of the participating countries, and a project coordinator or the leading PI acting as the project coordinator. Project consortia should consist of partners from at least three BRICS countries.

Note: All applicants must fulfil their respective national eligibility rules for research grant applications (please refer to the National Guidelines/Annex document and consult with national research funding organization participating in the call).

¹<http://www.dsir.gov.in/#files/tpdup/irdpp/SIRO-revised-guidelines.html>

¹The Department of Scientific and Industrial Research (DSIR), Government of India is the nodal government department for granting recognition to non-commercial Scientific & Industrial Research Organisations (SIROs). The functional SIROs having clearly stated objectives of undertaking scientific research, broad based Governing Council, Research Advisory Committee, research personnel, infrastructure facilities for research, well defined, time bound research programs and clearly stated objectives of undertaking scientific research are considered eligible for recognition by DSIR.

5. FUNDING SUPPORT BY DST/DBT:

DST/ DBT will fund the Indian consortium members as per requirement of the project, for the project duration up to 2 years. Budget should be commensurate with the essentiality of participation, workload, objectives of the project and cost of participation.

5.1 Eligibility for Funding:

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

5.1.1 Support (Grant-in-aid) to the following two categories of organizations:

- a) Government of India supported or recognised public or private academic institutions or research organisation, and urban or other local bodies;
- b) Indian private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research Foundations, having research as one of the imperative mandates

Funding Instruments/Items

Head	Year 1	Year 2	Total
A. Non-recurring			
Equipment			
Total A			
B. Recurring			
1. Consumables			
2. Manpower (JRF/SRF/ RA/ TA)			
3. Travel (both Domestic and International for project purpose)			
4. Contingency			
5. Overheads – as per DST/ DBT norms			
TOTAL B			
TOTAL (A+B)			

Important Notice: This budget table should be made for each Indian participating/applicant partner. Details and Justification should be provided for each head. Equipment cost should not exceed 30 per cent of total project cost.

5.1.2 Grant-in-aid to Industry:

- a) Support to Industry shall not exceed 50% of the total cost (up to maximum of Rs. 1.5 Crore) proposed by the Industry participant, 50% of the contribution shall mandatorily come from the Industry.

- b) The cost breakup for the DST/ DBT component of the proposal shall be: Capital (equipment) and Manpower costs each not exceeding 30% of the DST/DBT supported project cost; and balance will cover consumables and travel costs. Contingency & overhead costs will not be permissible)

Funding instruments/items:

Head	Contribution from Industry			Contribution from DST/ DBT		
	Year 1	Year 2	Total	Year 1	Year2	Total
A. Non-recurring						
Equipment						
Total A						
B. Recurring						
1. Consumables						
2. Manpower JRF, SRF, RA, TA						
3. Travel						
TOTAL B						
TOTAL (A+B)						

5.1.3 Non-Admissible Cost:

- i. Regulatory approval fees;
- ii. Prosecution/litigation costs;
- iii. Insurance coverage;
- iv. Salary of investigators;
- v. Capital expenditure for the purchase of assets such as office furniture, motor vehicles, Office equipment viz. desktops, laptops, tablets, cell phones, scanners, printers, photocopy machines, and renovation or extension of facilities such as buildings and laboratories;
- vi. Capital expenditure toward technology(ies), demonstration plants and associated field equipment(s), hardware, software etc. for test and analysis from consortium partner(s) from abroad;
- vii. Expenditure toward rental and utilities;
- viii. International travel to countries other than the one participating within the consortia in a particular call;
- ix. Mere attendance at conferences/ symposiums/ congresses

6. REGULATORY, ETHICAL, SAFETY & STATUTORY CONSIDERATIONS (IF APPLICABLE)

6.1 Research Using Hazardous Microorganisms, Genetically Engineered (GE) Organisms & Products thereof for R&D Purpose:

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

Further guidance on regulatory considerations can be obtained from:

- Guidelines and Handbook for IBSCs, 2011
http://www.dbtindia.nic.in/wp-content/uploads/9.-Guidelines- Handbook_2011.pdf
- Regulations and Guidelines on Biosafety of Recombinant DNA Research & Biocontainment, 2017 <http://www.dbtindia.nic.in/wp-content/uploads/Draft-Biosafety-Regulations-andBiocontainment-Guidelines-2017-FF.pdf>
- Recommendations for Streamlining the Current Regulatory Framework, 2005
http://www.moef.nic.in/divisions/csurv/geac/draftreport_rpharma.pdf

6.2 Human and Animal Subjects Research:

BRICS member states are committed to ensure that projects involving human or animal subjects are protected from research risks in compliance with the rules and policies in respective countries (ICMR/DBT/DST policies).

All projects recommended for award that involve human or animal subjects will undergo review by the Indian Bioethics Committees prior to award request. For information on ICMR policies, please consult

- National Ethical Guidelines for Biomedical and Health Research Involving Human Participants, 2017 http://www.icmr.nic.in/guidelines/ICMR_Ethical_Guidelines_2017.pdf
- India PIs of the consortium should apply to their institutional review boards (IRBs)/ institutional ethics committees (IECs) at the time of submission of proposal to obtain necessary bioethics approvals from all involved institutions. If selected, Indian PIs are required to submit proof of their institution's IRB/IECs approval to DST/ DBT by before start of project.

6.3 Authorizations for Pre-Clinical and/or Human Clinical Trials:

While exploring pre-clinical and/or human clinical trial studies in India, Investigators must satisfy regulatory and ethical provisions adopted under:

- Drugs and Cosmetics Rules, 1945 (as amended from time to time) of Drugs and Cosmetics Act, 1940
- Committee for the purpose of Control and Supervision of Experiments on Animals. (<http://cpcsea.nic.in/Auth/index.aspx>)
- Schedule 'Y' of Drugs and Cosmetics Rules, 1945 || Requirements and Guidelines for Permission to Import and/or Manufacture of New Drugs for Sale or to undertake Clinical Trials: (http://cdsco.nic.in/html/D&C_Rules_Schedule_Y.pdf)
- Guidance for Industry on Preparation of Common Technical Document for import/Manufacture and Marketing Approval of New Drugs for Human Use (New Drug Application-NDA): (<http://www.cdsco.nic.in/writereaddata/CDSCO-Guidance For Industry.pdf>)
- Handbook: Good Laboratory Practice (GLP). Quality practices for regulated non-clinical research and development, 2nd ed. Geneva, World Health Organization, 2009 || (<http://www.who.int/tdr/publications/documents/glp-handbook.pdf>)
- Clinical Trials Registry of India (CTRI) – India (<http://ctri.nic.in/Clinicaltrials/login.php>)

6.4 Other Documents:

PI, whose project is recommended by Expert Committee after peer review for funding, will have to submit necessary documents such as check list, IPR arrangement, approvals of necessary authority such as ICMR, National Biodiversity authority, DBT, NBPGR etc as the case may, and any other documents required by DST/DBT

7. GENERAL GUIDELINES FOR BUILDING BRICS MULTILATERAL PROJECTS-BRICS CALL 2020:

- a) The applicants may clearly define project goals that could be achieved within 2 years.
- b) The applicants need to provide short account of on-going bilateral/multilateral projects with BRICS Member States and BRICS countries at large, if any. This is required to determine the essentiality/redundancy of India-BRICS countries and the genuine need for applying for grants under the present coordinated Call for BRICS.
- c) The proposals should clearly bring out novelty and innovation component vis-à-vis global
- d) Scientific and technological benchmarks.
- e) The proposal should elaborate linkages proposed to be developed amongst various project consortium partners for optimization of time and achievement of deliverables.

- f) The project managements, milestones, quantitative parameters for monitoring and internal monitoring systems/ procedures need to be spelt out
- g) The proposal should bring out industrial partner's commitment for taking forward successful solution for wider applications.
- h) The proposal should clearly demonstrate a balanced participation of BRICS partners with properly integrated research activities and complementary roles.
- i) The IPR sharing will be governed by national domestic laws and under the framework of BRICS STI MoU and/or India bilateral S&T Agreement with BRICS Countries as applicable. The Indian PI along with other BRICS partner will have to submit an IPR sharing arrangement, technical annex document and Coordination Agreement ,in case, the proposal is finally selected for funding support.
- j) Selected PROJECT PI will have to submit necessary documents such as check list, IPR arrangement, approvals of necessary authority such as ICMR, National Biodiversity authority, DBT, NBPGR etc as the case may, and any other documents required by DST/DBT

8. PROCESS FOR SUBMISSION OF JOINT PROJECT PROPOSALS:

8.1 There are Two Levels of Online Submission Systems to Submit the Joint R&D Proposal:

- I. Online Submission of **Joint Application Form (JAF)** by one of the Project Coordinator to centralized Call Secretariat **BRICS STI Framework Programme Application Management System (BRICS AMS)** at <http://ams.rfbr.ru/BRICS>. **(Closing date 18th August 2020)**
- II. Submission of **National Application** by main PI in their own country to their funding agency in the prescribed Format on or before closing date. **In India single National Application must be submitted online at www.onlinedst.gov.in until 24th August 2020**

8.2 Submission of Joint Application Forms (JAF) by Project Coordinator:

A **Joint Application Form (JAF)** must be submitted by one of the Project Coordinator to centralized Call Secretariat RFBR (Russia) through the online submission. To submit Joint Application Form an online-submission form should be completed through **BRICS STI Framework Programme Application Management System (BRICS AMS)** at <http://ams.rfbr.ru/BRICS>. The project coordinator should register in AMS, log in and create a proposal for the BRICS Call 2020. Project coordinator must fill in all the required fields, attach completed JAF to the online submission form and submit an application. The online submission form fields are identical to the information provided in JAF, however the completed JAF as attachment to the online form must be provided (should be uploaded in the respective section of online submission form).

Note: Applications submitted to the Call Secretariat by any method other than through online submission form at <http://ams.rfbr.ru/BRICS> such as post, fax or telex will be rejected.

8.3 Submission of Online Application to national funding agency (DST/DBT):

Indian Principal Investigator should submit the project proposal online through DST's Electronic Project Management System (e-PMS) on portal www.onlinedst.gov.in the given format along with necessary documents in Word and pdf file format.

Note: This is additional requirement in each participating countries. Please ensure that your collaborators have also submitted the national document in their respective countries.

9. INSTRUCTIONS FOR FILLING ONLINE APPLICATION:

- i. Log on onlinedst.gov.in to access the homepage of the "DST e-PMS Portal", register, log in and submit the BRICS project proposal in prescribed Format.
- ii. Before filling up the form candidates are advised to carefully go through the Relevant Advertisement published at the DST Website (www.dst.gov.in)/DBT website (www.dbt.gov.in) and also available under Proposal Formats in the e-PMS Portal after logging in the portal site.
- iii. To save your time and avoid data loss please download the appropriate proposal format and fill all the information required as per the format as a Word and PDF file and then keep it ready for upload during submission of mandatory documents.
- iv. Click on "Submit proposals" link which would take you to a page seeking multiple information starting with – General information, Principal investigator etc. **Please note for BRICS Program you do not need to fill – Suggested referees and Current Ongoing Project.** Fill all the mandatory information sought against each menu except (**Suggested referees and Current Ongoing Project**).
- v. After filling all above particulars there is provision for previewing your detail before final submission of application form on clicking on "Preview" button. Preview page will display all facts/particulars that you have mentioned on entry time if you are sure with filled details then click on "Submit" button to finally push data into server.
- vi. Candidates are advised to carefully fill and verify the details filled in the online application themselves as no change will be possible/ entertained after clicking the FINAL SUBMIT BUTTON.

Last date for Receipt of Applications:

Online National Application must be submitted by 24th August 2020 after which the web-link will be AUTOMATICALLY disabled FOR ANY USAGE.

No hard copy will be accepted or submitted by any other means will be accepted

Attention: Closing Date for Joint Application Form (JAF) is 18th August 2020

PLEASE NOTE:

- i. Applications submitted to the Call Secretariat by any method other than through online submission form such post, fax or telex will be rejected
- ii. Incomplete or wrongly filled up application format or application lacking essential documents will be summarily rejected. Any legal proceedings in respect to any matter of claim or dispute arising out of this advertisement and / or application can be lodged only in delhi courts/ tribunals/ forums and Delhi courts / tribunal/ forums only shall have the sole and exclusive jurisdiction to try any case / dispute.
- iii. Proposal submitted through e-mail will not be entertained. Submission of proposal other than the prescribed format shall summarily be rejected without any further processing as per program norms.

Contact Information

Department of Science & Technology (DST)

Dr. Arvind Kumar

Principal Scientific Officer Scientist 'F'
Room No. 14 D
Technology Bhavan
Department of Science and Technology
New Mehrauli Road-110016
Email: arvind.kumar71@nic.in

Department of Biotechnology (DBT)

Dr. Manish Rana,

Scientist 'E'
Department of Biotechnology,
Ministry of Science & Technology Govt. of India
Room No. 612, 6th Floor, Block- 2, CGO Complex
Lodhi Road, New Delhi - 110003
Email: manish.rana@nic.in

List of Documents Required for Online Submission:

The followings documents may be prepared by Indian PI and uploaded on the DST Portal- www.onlinedst.gov.in . The requisite formats are listed below.

- a) Biodata (Max Size 800KB)
- b) Certificate from Investigator(s) (Max Size 800KB)
- c) Endorsement from the Head of Institution (on letter head) (Max Size800KB)
- d) Conflict of Interest(Max Size 800KB)
- e) Complete Proposal (1pdf file and 1Doc file) as indicated in online portal (Max Size 5 MB)

FORMAT FOR BRICS CALL FOR PROPOSAL APPLICATION

JAF No. _____

1. Title/Name of the Project:
2. Thematic Area:
3. Duration of the Project:
4. Project Partners' and Co-Investigators details (Name/Designation and Contact Details)

India	Brazil	Russia	China	South Africa

5. Aims/objectives of the project:
6. State of the Art of knowledge, process, technology, product, services.
7. Relevance of the project proposal in BRICS and global context.
8. Harmony of project proposal with India 'National Missions program in related areas or inter-disciplinary areas.
9. Methodology
10. Deliverables:
11. Target via-a-vis Technological Benchmark:
12. Potential application areas:
13. Roles and responsibilities of each BRICS partnering institutions
14. Gain or Value addition from International collaboration in terms of technology and expertise expected from BRICS partners
15. (a) Budget requirement from Indian side:

Head	Year 1	Year 2	Total
A. Non-recurring			
Equipment			
Total A			
B. Recurring			
1. Consumables			
2. Manpower JRF, SRF, RA, TA			
3. Travel			
4. Contingency			
5. Indirect cost (Overheads) – as per DST/ DBT norms			
TOTAL B			
TOTAL (A+B)			

Important Notice: This budget table should be made for each Indian participating/applicant partner. Details and Justification should be provided for each head. Equipment cost should not exceed 30 per cent of total project cost.

15. (b) Details of Industry wise & year wise budget proposed:

Head	Contribution from Industry			Contribution from DST/ DBT		
	Year 1	Year 2	Total	Year 1	Year 2	Total
A. Non-recurring						
Equipment						
Total A						
B. Recurring						
1. Consumables						
2. Manpower JRF, SRF, RA, TA						
3. Travel						
TOTAL B						
TOTAL (A+B)						

Please Note: Capital (equipment) and Manpower costs each not exceeding 30% of the DBT supported project cost; and balance will cover consumables and travel costs. Contingency & overhead costs will not be permissible.

16. While submitting this grant proposal, you are requested to note the following and upload/enclose relevant information

a) In case of Academia (Public and/or private universities and research organisations) submission of proof of establishment under Indian statute; recognition documents and registration at Government of India's Public Finance Management System (PFMS) - <https://pfms.nic.in> shall be obligatory. (Kindly enclose relevant documents)

b) In case of Indian private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research foundations;

- Should have experience of at least 3 years in scientific research, teaching, training and extension activities; and must follow research as one of the mandates.
- Submission of proof of registration at 'NGO DARPAN' of NITI Aayog (<http://ngodarpan.gov.in/>), Certificate of registration under Society Registration Act, Firm's Memorandum of Association, Registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>), Valid SIRO certificate for firm's in-house R&D recognition and audited account statements for the past three years shall be obligatory; (Kindly enclose relevant documents)

c) In case of Public or Private Industry;

- The firm should be an Indian Company registered under the Companies Act, wherein 51% (or more) of the ownership/shareholding/partnerships shall be held by resident Indian citizen(s); should be complying with General Financial Rules (GFR), 2017; and
- Submission of Certificate of Incorporation issued under Companies Act, Valid SIRO certificate for firm's in-house R&D recognition, Exemption Certificate (as applicable), Firm's Memorandum of Association, registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>) and Audited Account Statements for the past three years shall be obligatory. (Kindly enclose relevant documents)

17. Ethical, Safety & Statutory Requirements

17.1 Is there any possibility of use of information (in any form) resulting from the proposed work, which may impinge on India's national prestige and/ or security? If yes, the nature of such a use should be indicated (not more than 50 words)

17.1.1 Will any sensitive source material be referred to during the course of the research? [-YES/NO --] If yes, provide explicit details of the same. [not more than 70 words]

17.1.2 Does this collaboration involve

- a) Use of endangered fauna and/or flora and/or protected areas? [-- YES/NO --]
- b) Transnational exchange of biological resource(s) and/or material(s)?: [-- YES/NO -]
- c) Use of radioactive materials? [-- YES/NO --]
- d) Use of elements that may cause harm to the environment, to humans (including research staff), to animals or plants? [-- YES/NO --]
- e) Use of Genetically Engineered Organisms? [-- YES/NO --]
- f) Field trials or testing? [-- YES/NO --]
- g) Pre-clinical and/ or Clinical trials or testing? [-- YES/NO --]
- h) Ethical considerations? [-- YES/NO --]
- i) Considerations related to Intellectual Property Rights (IPR)? [-- YES/NO --]
- j) Collection and/or processing of new and/or previously collected personal data? [-- YES/NO --]

If answer to the one or more of the above questions is YES;

Are the investigator(s) aware of the relevant regulations (such as CPCB/ IBSC/ IASC/ IAEC/ IEC/ NBA/ IC - SCR/ CTRI etc.) and have they agreed to abide by them? [-- YES/NO --]

If Yes, provide explicit details of it [not more than 150 words]

If No, provide valid reason(s) to it [not more than 150 words]

18. Describe the following [in not more than 500 words || Kindly note that the IPR issues will be governed by the national domestic laws and under the framework of BRICS STI MoU and/or India bilateral S&T Agreement with BRICS Countries as applicable.]
- a) If-&-how the project results should be protected
 - b) Details of knowhow 'within the consortium' already generated so far
 - c) IPR barriers or relations to others' intellectual properties
 - d) Brief summary of your freedom to operate these IPs during the tenure and beyond the tenure of the project
 - e) Whether methods/interventions chosen give rise to intellectual property disputes or opportunities? If yes, clarify the same explicitly.
 - f) How & what level of "freedom to operate" will be made available for the knowhow and IPs already generated/ existing and to be generated through this grant, to the scientific fraternity in India & world over
19. List of facilities being extended by parent institution(s) for the project implementation
- a) Infrastructural Facilities
 - b) Equipment available with the Institute/ Group/ Department/ Other Institutes for the project
20. One page CV of all Lead Principal Investigators of BRICS countries including list of recent publications relevant to topic of the project proposal submitted.

* End of the Application Format *

DEPARTMENT OF SCIENCE AND TECHNOLOGY

POLICY ON CONFLICT OF INTEREST

FOR REVIEWER & COMMITTEE MEMBER or APPLICANT or DST/DBT OFFICER ASSOCIATED/ DEALING WITH THE SCHEME/ PROGRAM OF DST/DBT

Issues of Conflicts of Interest and ethics in scientific research and research management have assumed greater prominence, given the larger share of Government funding in the country's R & D scenario. The following policy pertaining to general aspects of Conflicts of Interest and code of ethics, are objective measures that is intended to protect the integrity of the decision making processes and minimize biasness. The policy aims to sustain transparency, increase accountability in funding mechanisms and provide assurance to the general public that processes followed in award of grants are fair and non-discriminatory. The Policy aims to avoid all forms of bias by following a system that is fair, transparent and free from all influence/ unprejudiced dealings, prior to, during and subsequent to the currency of the programme to be entered into with a view to enable public to abstain from bribing or any corrupt practice in order to secure the award by providing assurance to them that their competitors will also refrain from bribing and other corrupt practice and the decision makers will commit to prevent corruption, in any form, by their officials by following transparent procedures. This will also ensure a global acceptance of the decision making process adopted by DST/DBT.

Definition of Conflict of Interest:

Conflict of Interest means "any interest which could significantly prejudice an individual's objectivity in the decision making process, thereby creating an unfair competitive advantage for the individual or to the organization which he/she represents". The Conflict of Interest also encompasses situations where an individual, in contravention to the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

1. Coverage of the Policy:

- a) The provisions of the policy shall be followed by persons applying for and receiving funding from DST/DBT, Reviewers of the proposal and Members of Expert Committees and Programme Advisory Committees. The provisions of the policy will also be applicable on all individuals including Officers of DST/DBT connected directly or indirectly or through intermediaries and Committees involved in evaluation of proposals and subsequent decision making process.
- b) This policy aims to minimize aspects that may constitute actual Conflict of Interests, apparent Conflict of Interests and potential Conflict of Interests in the funding mechanisms that are presently being operated by DST/DBT. The policy also aims to cover, although not limited to, Conflict of interests that are Financial (gains from the outcomes of the proposal or award), Personal (association of relative / Family members) and Institutional (Colleagues, Collaborators, Employer, persons associated in a professional career of an individual such as Ph.D. supervisor etc.)

2. Specifications as to what constitutes Conflict of Interest.

Any of the following specifications (non-exhaustive list) imply Conflict of Interest if,

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a directly relative# or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision making process or alternatively, if any relative of an Officer directly involved in any decision making process / has influenced interest/ stake in the applicant's form etc.
- (iii) The applicant for the grant/award is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer-employee relationship in the past three years with that individual.
- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.
- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant (such as Ph.D. supervisor, Mentor, present Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

The Term "Relative" for this purpose would be referred in section 6 of Companies Act , 1956.

3. Regulation:

The DST shall strive to avoid conflict of interest in its funding mechanisms to the maximum extent possible. Self-regulatory mode is however recommended for stake holders involved in scientific research and research management, on issues pertaining to Conflict of Interest and scientific ethics. Any disclosure pertaining to the same must be made voluntarily by the applicant/Reviewer/Committee Member.

4. Confidentiality:

The Reviewers and the Members of the Committee shall safeguard the confidentiality of all discussions and decisions taken during the process and shall refrain from discussing the same with

any applicant or a third party, unless the Committee recommends otherwise and records for doing so.

5. Code of Conduct

5.1 To be followed by Reviewers/Committee Members:

- (a) All reviewers shall submit a conflict of interest statement, declaring the presence or absence of any form of conflict of interest.
- (b) The reviewers shall refrain from evaluating the proposals if the conflict of interest is established or if it is apparent.
- (c) All discussions and decisions pertaining to conflict of interest shall be recorded in the minutes of the meeting.
- (d) The Chairman of the Committee shall decide on all aspects pertaining to conflict of interests.
- (e) The Chairman of the Committee shall request that all members disclose if they have any conflict of interest in the items of the agenda scheduled for discussion.
- (f) The Committee Members shall refrain from participating in the decision making process and leave the room with respect to the specific item where the conflict of interest is established or is apparent.
- (g) If the Chairman himself/herself has conflict of interest, the Committee may choose a Chairman from among the remaining members, and the decision shall be made in consultation with Member Secretary of the Committee.
- (h) It is expected that a Committee member including the Chair-person will not seek funding from a Committee in which he/she is a member. If any member applies for grant, such proposals will be evaluated separately outside the Committee in which he/she is a member.

5.2 To be followed by the Applicant to the Grant/Award:

- (a) The applicant must refrain from suggesting referees with potential Conflict of Interest that may arise due to the factors mentioned in the specifications described above in Point No. 2.
- (b) The applicant may mention the names of individuals to whom the submitted proposal should not be sent for refereeing, clearly indicating the reasons for the same.

5.3 To be followed by the Officers dealing with Programs in DST/DBT:

While it is mandatory for the program officers to maintain confidentiality as detailed in point no. 6 above, they should declare, in advance, if they are dealing with grant applications of a relative or family member (including but not limited to spouse, child, sibling, parent) or thesis/ post-doctoral mentor or stands to benefit financially if the applicant proposal is funded. In such cases, DST/DBT will allot the grant applications to the other program officer.

6. Sanction for violation

6.1 For a) Reviewers / Committee Members and b) Applicant

Any breach of the code of conduct will invite action as decided by the Committee.

6.2 For Officers dealing with Program in DST

Any breach of the code of conduct will invite action under present provision of CCS (conduct Rules), 1964.

7. **Final Appellate authority:**

Secretary, DST/DBT shall be the appellate authority in issues pertaining to conflict of interest and issues concerning the decision making process. The decision of Secretary, DST/DBT in these issues shall be final and binding.

8. **Declaration**

I have read the above “Policy on Conflict of Interest” of the DST/DBT applicable to the Reviewer/ Committee Member/ Applicant/ DST/DBT Scheme or Program Officer # and agree to abide by provisions thereof.

I hereby declare that I have no conflict of interest of any form pertaining to the proposed grant *

I hereby declare that I have conflict of interest of any form pertaining to the proposed grant *

* & # (Tick whichever is applicable)

Name of the Reviewer/ Committee Member or Applicant or DST/DBT Officer

(Strike out whichever is not applicable)

(Signature with date)

Endorsement from the Head of Institution

(To be given on letter head)

Project Title :

1. Certified that the Institute welcomes participation of Dr _____ as the Principal Investigator and Dr _____ as the Principal Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project (with due information to DST/DBT).
2. Certified that the equipment and other basic facilities as enumerated at Point 16 and such other administrative facilities as per terms and conditions of the grant, will be extended to the investigator(s) throughout the duration of the project.
3. Institute assumes to undertake the financial and other management responsibilities of the project.

Date:

Name and Signature of Head of Institution

Place:

Certificate from the Investigator

Project Title:

1. I/ We agree to abide by the terms and conditions of the DST/DBT research grant.
2. I/ We did not submit the project proposal elsewhere for financial support.
3. I/ We have explored and ensured that equipment and basic facilities (enumerated at Point 16) will actually be available as and when required for the purpose of the projects. I/We shall not request financial support under this project, for procurement of these items.
4. I/ We undertake that spare time on permanent equipment made available to other users.
5. I/We have enclosed the following documents uploaded online portal.
 - f) Biodata of all Lead PIs.
 - g) Certificate from Investigator(s)
 - h) Endorsement from the Head of Institution (on letter head)
 - i) Conflict of Interest
 - j) Complete Proposal.(1pdf file and 1Doc file)

Name of PI and Signature

Date:

Place: