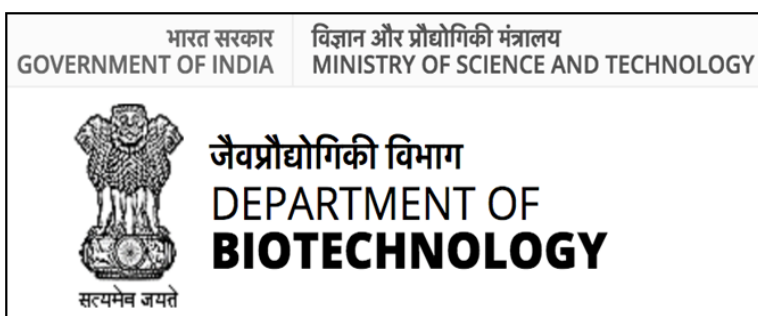




India National Annex

2023 BRICS Calls for Proposals for Multilateral R&D Projects

Part-1

NATIONAL GUIDELINES FOR 2023 BRICS CALL FOR PROPOSALS

**BRICS STI Framework Programme
6th Coordinated call for BRICS multilateral projects 2023**

National Annexure

1. GOAL OF BRICS COORDINATED CALL:

The BRICS STI Framework Programme aims to support excellent research on priority areas that 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:**
Ministry of Science and Higher Education (MSHE)
- **India:**
Department of Science and Technology (DST), Ministry of Science and Technology
Department of Biotechnology (DBT), Ministry of Science and Technology
- **China:**
Ministry of Science and Technology (MOST)
National Natural Science Foundation of China (NSFC)
- **South Africa:**
National Research Foundation (NRF)
Water Research Commission (WRC)

3. Aim of the Joint Call and Thematic area for DBT

To support collaborative multilateral basic, applied or innovation research projects in the following thematic areas can be submitted in response to the call

- 1) Systematic response - Using WEF (water, energy, food) nexus approach for a cross-sectoral management of climate change;**

4. ELIGIBILITY CRITERIA:

Eligible Indian partners can be Legal Scientific research entities from public/private academic institutions, national R&D laboratories, R&D entities having recognition as a Scientific and Industrial Research Organisation (SIRO) by the Department of Scientific and Industrial Research under the scheme on Recognition of Scientific and Industrial Research Organisations (SIRO), 1988. The scientific R&D performing Indian industry may participate voluntarily in this call with participating Indian industry investing its own resources or come in collaboration with research/academic organization, but by investing their own resources.

Consortium: A joint proposal will comprise of at least one PI from each of the participating countries, and a project coordinator or the leading PI acting as the overall project coordinator. Project consortia should consist of partners from at least three BRICS countries. All applicants must fulfil their respective national eligibility rules for research grant applications.

5. Funding Support (DBT)

5.1 Maximum Indian support for each Project: Upto Indian Rupees ₹2.0 crore approx. with full justification of budget heads for 2/3 years duration subject to obligatory fulfilment of eligibility criteria. The project duration should match-up with the durations of all partner countries.

5.2 Funding instruments (as per DBT guidelines)

Head	Year 1	Year 2	Year 3 (in case the project is of three-year duration)	Total
Equipment (maximum limit upto 30% of budget) (list of proposed equipment should be given with due justification)				
Consumables Cost: (as essential for collaborative work DBT will fund such requirement of Indian project partners only)				
Manpower Cost: Junior Research Fellow (JRF)/ Senior Research Fellow(SRF)/ Research Associate (RA)/any other post (Emoluments will be as per DST guidelines)				
Mobility of scientists /research fellows (for one to two weeks as per project requirement): (Visits of Indian Scientist to BRICS countries' collaborating institutes for project work and national travel for project related work) (overseas travel cost includes cheapest international economic class fare through shortest route, boarding & lodging), Visa fees, overseas medical insurance premium for the duration of stay				

(Break-up of Domestic & International travel to be provided separately)				
Contingency as per DBT norms				
Overhead Charges (as per DBT norms): Overhead expenses payable to institute for Indian partners				
Total Cost				
Admissible Cost requested from DBT				

Important Notice: This budget table should be made for each Indian participating/applicant partner. Details and justification should be provided for each head.

5.3 Non-Admissible Cost:

- i. Regulatory approval fees;
- ii. Prosecution/litigation costs;
- iii. Any kind of 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 other than project work

6. Other Documents:

PI, whose project is recommended by Expert Committee after peer review for funding, will have to submit necessary documents such as Checklist, IPR arrangement, approvals of necessary authority such as ICMR, National Biodiversity Authority, Institutional Ethical Committee (IEC), Institutional Biosafety Committee (IBSC) Review Committee on Genetic Manipulation (RCGM), Genetic Engineering Appraisal Committee (GEAC) and approval for pre-clinical and or human clinical trials etc. as the case may be, and any other documents required by DBT.

7. GENERAL GUIDELINES FOR BUILDING BRICS MULTILATERAL PROJECTS-BRICS CALL 2023:

- a) The applicants to clearly define project goals along with timelines that could be achieved within project duration (i.e. 2/3 years).
- b) Outcome/deliverables need to be specified
- c) 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.

- d) The proposals should clearly bring out novelty and innovation component vis-à-vis global scenario
- e) Scientific and technological benchmarks.
- f) The proposal should elaborate linkages proposed to be developed amongst various project consortium partners for optimization of time and achievement of deliverables
- g) The project managements, milestones, quantitative parameters for monitoring and internal monitoring systems/ procedures need to be spelt out
- h) The proposal should bring out industrial partner's (if any) commitment for taking forward successful solution for wider applications.
- i) The proposal should clearly demonstrate a balanced participation of BRICS partners with properly integrated research activities and complementary roles.
- j) 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 Consortium Agreement, in case, the proposal is finally selected for funding support.
- k) 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, Institutional Ethical Committee (IEC), Institutional Biosafety Committee (IBSC) Review Committee on Genetic Manipulation (RCGM), Genetic Engineering Appraisal Committee (GEAC) and approval for pre-clinical and or human clinical trials etc as the case may, and any other documents required by DBT

8. PROCESS FOR SUBMISSION OF National application of JOINT R&D PROJECT PROPOSALS to national funding agency:

8.1 Submission of National Application by the Lead Project Investigator has to be through the National Application to their funding agency in their respective country in the prescribed Format on or before closing date. **Please note that the closing date in different BRICS country may vary.** In India single National Application must be submitted online ONLY at DST's Electronic Project Management System (e-PMS) <https://onlinedst.gov.in> until **31th October, 2023** in the prescribed format along with other necessary documents. *No hard copy will be accepted.*

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

Last date for Receipt of Applications:

Online National Application must be submitted by 31st October, 2023 after which the web-link will be AUTOMATICALLY disabled.

PLEASE NOTE:

- i. Applications submitted to the Call Secretariat by any method other than through online submission form such as post, fax or telex will be rejected.
- ii. Incomplete or wrongly filled up application format 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 proposals other than the prescribed format shall summarily be rejected without any further processing as per program norms.

Contact Information

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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
- b) Certificate from Investigator(s) [annexure I]
- c) Endorsement from the Head of Institution (on letter head) [annexure II]
- d) Conflict of Interest [annexure III]
- e) Complete Proposal (1pdf file and 1Doc file) as indicated in online portal

FORMAT FOR BRICS CALL FOR PROPOSAL APPLICATION

JAF No. _____

1. **Title/Name of the Project (Acronym):**
2. **Thematic Area:**
3. **Duration of the Project:**
4. **Project Partners' and Co-Investigators details (Name/Designation and Contact Details including Mobile no. and email id.) India Brazil Russia China South Africa**
5. **Aims/objectives of the project (in bullets):**
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 the project proposal with India's National Missions program in related areas or inter-disciplinary areas.**
9. **Methodology**
10. **Deliverables (quarterly):**
11. **Target vis-a-vis Technological Benchmark:**
12. **Potential application areas:**
13. **Roles and responsibilities of each BRICS partnering institution (please indicate objective wise distribution of work)**
14. **Gain or Value addition from International collaboration in terms of technology and expertise expected from BRICS partners**
15. **Budget requirement from the Indian side (Maximum Indian support for each Project: up to Indian Rupees ₹2.0 crore approx. for 2/ 3 years duration):**

Head	Year 1	Year 2	Year 3 (in case the project is of three-year duration)	Total
Equipment (maximum limit upto 30% of budget) (list of proposed equipment should be given with due justification)				

Consumables Cost: (as essential for collaborative work DBT will fund such requirement of Indian project partners only)				
Manpower Cost: Junior Research Fellow (JRF)/ Senior Research Fellow(SRF)/ Research Associate (RA)/any other post (Emoluments will be as per DST guidelines)				
Mobility of scientists /research fellows (for one to two weeks as per project requirement): (Visits of Indian Scientist to BRICS countries' collaborating institutes for project work and national travel for project related work) (overseas travel cost includes cheapest international economic class fare through shortest route, boarding & lodging), Visa fees, overseas medical insurance premium for the duration of stay (Break-up of Domestic & International travel to be provided separately)				
Contingency as per DBT norms				
Overhead Charges (as per DBT norms): Overhead expenses payable to institute for Indian partners				
Total Cost				
Admissible Cost requested from DBT				

Important Notice: This budget table should be made for each Indian participating/applicant partner. Details and Justification should be provided for each head

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 organizations) 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 in house R&D recognition and audited account statements for the past three years shall be obligatory; (Kindly enclose relevant documents)

17. Checklist for Ethical, Safety & Statutory Requirements

- 17.1 Is there any possibility of the 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 use should be indicated (not more than 50 words)
- 17.1.1 Will any sensitive source material be referred to during 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 the answer to 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/ CTIRI 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 a 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) summary of your freedom to operate these IPs during the tenure and beyond the tenure of the project
- e) Whether methods/interventions chosen to 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 & the 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 a list of recent publications relevant to the topic of the project proposal submitted (Indian Partners to indicate the date of superannuation also).
21. Brief layman summary and technical summary in not more than 3-4 lines each with infographics if possible.
22. Budget requested from DBT

*End of the Application Format *

Annexure I

Certificate from the Investigator

Project Title:

1. I/ We agree to abide by the terms and conditions of the DBT research grant.
2. I/ We did not submit the project proposal under consideration 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.
 - i) Biodata of all Lead PIs.
 - ii) Certificate from Investigator(s)
 - iii) Endorsement from the Head of Institution (on letter head)
 - iv) Conflict of Interest
 - v) Complete Proposal (1pdf file and 1Doc file)

Name of PI and Signature

Date:

Place:

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 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.

Name and Signature of Head of Institution

Date:

Place:

POLICY ON CONFLICT OF INTEREST FOR REVIEWER & COMMITTEE MEMBER or APPLICANT or DBT OFFICER ASSOCIATED/ DEALING WITH THE SCHEME/ PROGRAM OF 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 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 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 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 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 DBT 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 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, 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 DBT

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

7. Final Appellate authority:

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

8. Declaration

I have read the above “Policy on Conflict of Interest” of the DBT applicable to the Reviewer/ Committee Member/ Applicant/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 DBT Officer
(Strike out whichever is not applicable)**

(Signature with date)

Please refer to the following pages for more information on Full Proposals

submission: <http://brics-sti.org/?p=new/35>