Ministry of Science & Technology
Department of Science & Technology
R&D Infrastructure Division
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"Sophisticated Analytical and Technical Help Institutes (SATHI) Program – 2022"

(Through Networking and Cluster Approach)

Proposals are invited through online for consideration of support under the Scheme "Sophisticated Analytical and Technical Help Institutes (SATHI)" of the Department of Science & Technology (DST), Government of India. SATHI Scheme is largely aiming at: (a) acquiring of high-end equipment and research infrastructure **(RI)** / facilities necessary for research/ testing/ manufacturing/ fabrication and to cater service by understanding the demands of researchers, scientists, students, start-ups, manufacturing units, industries and R&D Labs, (b) to provide access and sharing of scientific equipment and research infrastructure (RI), (c) Capacity building of scientific & technical manpower d) Monitoring of usage of expensive scientific research facilities for its maximum utilization and to be a part of 'Atmanirbhar Bharat Abhiyan' (Self Reliant India Campaign).

Inclusive purpose of SATHI is generation/ creation of knowledge adopting best practices of such facility, to promote translational research in thematic areas and to take forward to next stage to gain better societal outreach. Predominantly it would emphasize on testing, designing, prototyping, proof-of concept, manufacturing, insertion of business planner, start-ups, MSME, related engineering industries and their back & forth connectivity from R&D to industry and to boost indigenous presence comprising all level together at local and global scale. Noticeably, this would encourage & ensure to establish a National Network of Laboratories and testing facilities, tightly linked to global standards. Hence higher efficacy of SATHI through focused approach of viz: Technology, Testing, Certification & Compliance (T2C2) model will boost-up the clusters of academia as well as industries.

To promote networking among grantee agencies at local levels and to avoid duplication of research infrastructure (RI), **a consortium mode of approach with academia, research institutes, non-government organizations, S&T councils and industries** belonging to the same domain that lie in close vicinity on mutually agreeable terms of conditions of DST are encouraged to participate. A collection of grantee agencies (**minimum of 5 organizations or more, forming a cluster**) may propose to establish a SATHI facility. While heading to form a cluster one has to be acknowledged as lead organization, which will **host all equipment under one roof** among the grantee agencies and others may be co-opted as partner organization. This would not only reduce redundancy of sophisticated equipment / RI within a cluster, but also help to acquire more varieties of RI, thereby benefiting the whole cluster and that region at optimum level.

Nature of Support: The Scheme will provide optimal national level infrastructure facilities through networking / cluster mode. Prominently it will provide a shared, professionally managed services and strong Science and Technology RI / facilities, with efficiency, accessibility and transparency of highest order **under one roof** to service the demands of faculty, researchers, scientist and students of Host and User institutes / organizations (including other academic institutes, universities, national laboratories, start-ups, manufacturing and engineering industries, SMEs, R&D Labs/organization) to enable them to carry out R&D activities. While implementing the plan of self-sustainable model, the usage of the SATHI facility will be guided by the basic principle of maximum and effective utilization and accessibility to all through I-STEM portal (https://www.istem.gov.in/). SATHI facility will have dedicated sections for fabrication work,

rapid prototyping, material testing, characterization, new device fabrication, smart manufacturing and characterization facilities etc. If required on a round-the-clock basis with minimum down-time will also be adopted for SATHI activities. Proposal towards individual institute/ organization/ departmental R&D support would not be accepted under this scheme. The synergy and focus of research under this scheme may preferably be aligned to National Missions/ priorities approaching through thematic areas of research.

Duration: The duration of support for SATHI Project will be **for a period not exceeding 4 years**.

Eligibility: Both Government and Non-Government academic Institutions / DSIR recognized R&D centres / Organizations are eligible to apply in cluster, while fulfilling other criteria as mentioned in the format & check-list of SATHI. For University / Degree awarding Academic Institutions / DSIR recognized R&D centres / organizations, the support will be considered for that region in a cluster approach (atnational level, if supported). The Government and Non-Government Academic Institutions / Organization enjoying the previous support of SAIF/ PURSE grant of DST, has to either merge those facilities with SATHI project or forgo the SAIF/ PURSE grant, if recommended recently, before implementing the SATHI grant. PRIVATE Academic University/ Institution / Organization under Not-for-Profit status would be considered as Academic Institutions (Private) option during the process of online submission of proposal.

Criteria for proposals to be considered for support under SATHI Program: -

For the host institute(s) / R&D Centre(s) / Organization(s) irrespective of their status, as Government / Non- Government, the funding pattern & its mode will be maintained at 75:25 ratio, i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D center would need to bear 25% of the total sanctioned cost of the project through networking and cluster approach. Aiming for the sharing mode {matching-funding basis} at 75:25 ratio, {DST Share-75% and selected cluster share -25%} the upper limit of share of DST would be of Rs.60.0 crores (including both Recurring + Non-recurring). The share of 25% (of total sanctioned amount) needs to be contributed by the grantee agencies from its own income sources and not from diverting the funds available under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI. The lead organization should be in a place to provide the **one roof area facility** and partner organization may participate on sharing mode of matching fund basis, while targeting to share the 25% of total sanctioned amount including both Recurring & Non-recurring heads.

Type of Support: Currently, following funding support will be provided: -
(1) Proposals from well established, internationally competitive S&T host institute(s) / R&D Centre(s) / Organization(s) irrespective of their status, as Government / Non- Government, from State/ Central Universities are invited through networking and a cluster approach. The upper limit of funding support from DST would be Rs 60.0 crores (including both Non-recurring & recurring grant) for 4 years duration, for acquiring only state-of-the-art national facility, **i.e., SATHI facility (For understanding of other norms/ guidelines/ clauses anyone should refer "Terms & Condition" document of SATHI comprises of ~14 pages)**. The recurring cost would be of ~07% to 10% of the total cost of Non-recurring head. A not-for-profit Section-8 company as well as Governing Body (GB) formation is compulsory in consortium mode before the support of granting agency.

Selection: The selection will be through a peer review mechanism and on-spot visit to the Host Institute / University / R&D institute / Centre / Organization, if necessary. A National Steering Committee (NSC) at apex level will assist the DST in making the final selection of any cluster to establish SATHI facility of that region, if required.

INSTRUCTIONS FOR FILLING ONLINE APPLICATION (SATHI)

1. Log on onlinedst.gov.in to access the home page of the "DST e-PMS Portal".

2. Before filling up the form organisations are advised to carefully go through the Relevant Advertisement published at the DST Website (www.dst.gov.in) and also available under Proposal Formats in the e-PMS Portal (www.onlinedst.gov.in) after logging in the portal site.

3. To save your time and avoid data loss please download the appropriate proposal format as suitable for you to the Host Institute / University / R&D institute / Centre / Organization, fill all the information required as per the format (Word and PDF) file (**max. size 5Mb**) and then keep it ready for upload during submission of mandatory documents.

4. Click on "Submit proposals" link which would take you to a page seeking multiple information starting with – General information, as Head / Director of the Lead Organization will act as Principal investigator etc. **Please note for SATHI 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**).

5. After filling all above particulars there is provision for preview 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.

6. 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 Application must be submitted by 30th September 2022 (up to 17.00 hours), after which the web-link will be AUTOMATICALLY disabled FOR ANY USAGE. For any enquiry, contact: Dr. Pravakar Mohanty; Email id: pravakar.mohanty@gov.in

PLEASE NOTE

1. IT IS MANDATORY TO SUBMIT THE PROPOSALS ONLY THROUGH **ONLINE MODE** (www.onlinedst.gov.in) BY THE LEAD ORGANISATION AFTER COLLECTING THE SIGNED COPIES OF T&C AND OTHER DOCUMENTS FROM EACH CO-OPTED ORGANISATIONS, AS SPECIFIED IN THIS CALL FOR SATHI PROPOSAL.

2. THE LEAD ORGANISATION / INSTITUTE / R&D CENTRES ARE REQUIRED TO SEE THE COMPLETENESS OF THE APPLICATION BEFORE IT IS SUBMITTED FINALLY. SINCE THREE (3) CHANCES ARE AVAILABLE FOR SUBMISSION OF A PROPOSAL FROM THE SAME ORGANISATION / INSTITUTE / R&D CENTRES, **THE LAST PROPOSAL SUBMITTED WOULD BE CONSIDERED FOR EVALUATION**. THE ORGANISATION / INSTITUTE / R&D CENTRES SHALL KEEP A COPY OF THE SUBMITTED PROPOSAL FOR THEIR REFERENCE. THERE WILL BE **NO NEED TO SUBMIT HARD COPY OF THE PROPOSAL AT DST**.

3. INCOMPLETE OR WRONGLY FILLED UP APPLICATION FORMAT OR APPLICATION WITH LACK OF ESSENTIAL INFORMATION/ 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.

4. 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.

Mandatory Documents to be uploaded with the Online Proposal:

➢ *Endorsement from Registrar of the University/Head of the Institute/ Vice-Chancellor of University / Director of Each Organization participating in cluster mode of approach (minimum 5 organizations).*

➢ *Signed copy of Terms and Conditions of "SATHI" program from Each Organization participating in cluster mode of approach (minimum 5 organizations).*

➢ *Project Implementation Group (PIG) of SATHI by networking / involving other organizations while forming a Cluster.*

➢ *Brief Summary of the SATHI Support*

➢ *Department of Science and Technology - Policy on Conflict of Interest*

➢ *Check-list pertaining to proposal submission to set-up (SATHI) facility*

Please note that incomplete Proposal/ Proposal not in the prescribed Format would summarily be rejected and no correspondence in such cases would be made in this respect. The name of the successful departments shall be displayed in the Website after completion of the evaluation process.

MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF SCIENCE AND TECHNOLOGY
(R&D Infrastructure – Division)

FORMAT FOR SUBMISSION OF PROPOSAL TO SET UP SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTE (SATHI) FACILITY
ON SHARING & CLUSTER MODE
(sharing of fund at 75:25 ratio)

1.	Name and Background of the Host Institute / Lead Organization
2.	DSIR recognized R&D institute / Centre / Host Institute / Organization. If available, the overall NIRF Ranking and Institute of Eminence (IoE) status of the Institute or University, as declared by MHRD recently.
3.	(a) Name & address of the Host Institute / University / R&D institute / Centre / Lead Organization with Contact Details (Head of the Lead organization)
	(b) Name & address of the 1st Co-opted partner Institute / University / R&D institute / Centre / Organization with Contact Details (Head of the Co-opted partner organization)
	(c) Name & address of the 2nd Co-opted partner Institute / University / R&D institute / Centre / Organization with Contact Details (Head of the Co-opted partner organization)
	(d) Name & address of the 3rd Co-opted partner Institute / University / R&D institute / Centre / Organization with Contact Details (Head of the Co-opted partner organization)
	(e) Name & address of the 4th Co-opted partner Institute / University / R&D institute / Centre / Organization with Contact Details (Head of the Co-opted partner organization), as minimum 5 organization participation is required and so on.
4.	Objective of the SATHI Proposal request to establish under one roof
5.	Relevant strengths and proven track record of the Host Institute / lead / partner organization justifying the setting up SATHI center under one roof
6.	Potential academic user organizations including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres indicating details on domains of research publication and patents
7.	List of Individual User with expected requirement of Equipment / Facility (within and outside the lead / partner organization / Institute including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres)
8.	Proposed Equipment / Facilities with justifications
9.	Budget As per below tabular format

Non-Recurring Items (A) & its justification:			
Sr. No.	Proposed Equipment / Facility	Expected / Tentative Cost (Rs. In Crores, from DST @ 75%)	Expected / Tentative Cost (Rs. In Crores, on sharing mode from the cluster @ 25%)
i. ii. iii.			
Sub Total of A (Rs. In Crores)			

Recurring Items (B) for 4 years (with year-wise distribution & justification):			
i.	Manpower Cost		
ii.	Consumables		
iii.	Repair / Maintenance		
iv.	Infrastructure (no new construction activities)		
v.	Any other item		
Sub Total of B (Rs. In Crores)			

Grand Total (A + B) = Rs….. in Crores

10.	Details of Manpower to be Employed and commitment from Host Institute(s) / Lead Organization(s) to work in a team under one roof.
11.	Equipment / infrastructure available at the Host Institute and willingness to be Networked (physically) with co-opted organization(s) those situated in close vicinity as partner organization and willing to establish SATHI facility of that region.
12.	Management Structure of the proposed SATHI facility (including organizational setup / arrangements of day to day functioning, as per the "Terms and Conditions" document pertaining to SATHI program of DST, to incorporate a Section-8 company at the level of Central registration Centre of Ministry of Corporate Affairs, GoI)
13.	Provision of available space (~ 20000 Sq. ft.) along with provision for future expansion to a total of 30,000 sq. ft. appropriate Lab infrastructure at one place under one roof by the lead organization (although minimum of 5 organizations or more, forming a cluster from that region). Actual Photographs of the site/ design plans of the building to confirm the readiness, if any.
14.	Details of Research activities at the Host Institute(s) / Lead Organization/ partner organization(s), at neighboring associated Institutes including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres, justifying proposed Equipment / Facilities going to be beneficial towards those thrust areas and SATHI self-sustainability.
15.	Prior experience of Lead Organization/ partner organization(s), in running shared equipment central facilities, if any with its document proof.
16.	Any other special points may be mentioned by the Lead Organization/ partner organization(s), specifying about the matching grant to be provided by the organization(s) in a cluster mode, towards both the non-recurring (**excluding the building space, new equipment already available, utility expenses**) and recurring part (viz: manpower, consumables, utilities etc.). As (75:25) funding mode is applicable in cluster mode, i.e., DST share would be 75% and the management of the Government / Non-Government Grantee organization(s) / Institute / R&D center (HI) in a cluster approach share would be 25% of the total sanctioned cost of the project (As upper limit of funding support from DST would be upto Rs 60.0 crores).
17.	Team of faculties of the host institute(s) / R&D Centre / Lead / partner organization(s) responsible for the smooth execution of tabulated targets and its commitments to facilitate at the proposed

	SATHI center.
18.	Availability of suitable infrastructure, such as uninterrupted supply of utility like electricity, water, sanitation, internet connection etc and availability of guest house to host visiting national users to utilize the facilities, if any.
19.	Plan for a skill development and capacity building including involvement of research scholar, post-doctoral fellows, start-ups, MSMEs and if necessary to ensure that such Facilities would be available at least 80% of the operational hours (Working Time of 24 x 7 basis in three shifts daily) to the External Users and remaining 20% of the Time would be made available for Internal Users.
20.	Earlier trend and present stages of planning to have dedicated sections for fabrication work, rapid prototyping, material testing, characterization, new device fabrication, smart manufacturing and characterization facilities etc., to attract and help R&D labs, industrial R&D, MSME, Incubators and Start-ups, etc.
21.	Trend and practices of the Lead / partner organization(s) to interact with various industry associations such as PHD Chamber of Commerce, CII, FICCI, ISBA, MSME associations etc., to sensitize and foster the overall growth and usage of available facilities by different Industries, MSME, Start-ups, Incubators etc.
22.	Willingness and strong assertion to formulate / incorporate a Section 8 company, aiming for self-sustainable model, involvement/ recruitment of technical experts, earning structure, operational flexibility will have one operational head/ Managing head. The Operational Head / Managing head (non-faculty appointee) of SATHI facility, a few scientists and other technical staffs for running the SATHI would be appointed through a separate identity created in form of Section-8 company.

Information submitted as above are true and correct. ***The above proposal to set-up SATHI center at the Lead organization / institute (<u>Name of the Lead Institute / University</u>) is fully aware of and understood the "Terms and Conditions" of SATHI -DST and these <u>"terms and conditions"</u> are being endorsed by the Governing council or Senate of the Lead Institute / University/ R&D Organization***. Lead / Host institute / R&D Centre /partner organization is fully aware of the funding as well networking /cluster mode of application / SATHI proposal implementation i.e., the funding pattern & its mode will be maintained at 75:25 ratio. DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D center / lead & partner organization(s) share would be 25% of the total sanctioned cost of SATHI project for four years. The share of 25% (of total sanctioned amount) will be contributed by the Lead / partner organization(s) from its own income sources and not from diverting the funds available with HI under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI. In case these are found otherwise, the proposal and the claim thereof would be withdrawn by the sponsoring agency.
(a)

Signature of the Head of the Lead organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of *Lead organization*

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*Chairman of Trust/ Board/ Management

Encl: Endorsement Letter both from the Head of the Lead organization / Institution / R&D centre (Director / Vice-Chancellor), as well as from the partner organization is mandatory.

(b)

Signature of the Head of the partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

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*Chairman of Trust/ Board/ Management

(c)

Signature of the Head of the partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

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*Chairman of Trust/ Board/ Management

(d)

Signature of the Head of the partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

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*Chairman of Trust/ Board/ Management

(e)

Signature of the Head of the partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

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*Chairman of Trust/ Board/ Management

Endorsement Letter from the Registrar of the University/Head of the Institute/ Vice-Chancellor of University / Director of Lead Organization

(Statement on the Letter Head, strictly)

TO SET UP SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTE (SATHI) FACILITY

This is to certify that:

I.   Prof. / Dr. …………………………………….., the Head of the institute / Vice-Chancellor of the University / R&D centre, nominating the Dean/ Head/ Coordinator, of the Department/ School/ Centre …………………… , who will assume full responsibility for implementing this project proposed under SATHI Program of the Department of Science and Technology, New Delhi during…………………………. .

II.   The date of starts of the Project from the date on which the University/Institute receives the bank draft/cheque/RTGS from the Department of Science & Technology. It will happen only after signing and submitting the "Terms and Conditions" document pertaining to SATHI program of DST.

III.   The Head or Coordinator will be governed by the rules and regulations of the University/Institute and will be under administrative control of the University/ Institute for the duration of the SATHI project and also as per the "Terms and Conditions" document pertaining to SATHI program.

IV.   The grant-in-aid by the Department of Science & Technology will be used to meet the expenditure on the SATHI project and for the period for which the project has been sanctioned as indicated in the sanction letter/ order.

V.   No administrative or other liability will be attached to the Department of Science & Technology at the end of the SATHI project.

VI.   The University/ Institute will provide basic infrastructure and other required facilities to the investigator for implementing the SATHI project.

VII.   The University/ Institute will take into its books all assets received under this sanction and its disposal would be at the discretion of Department of Science & Technology.

VIII. Institute assumes to undertake the financial and other management responsibilities of the SATHI project. Host institute / University / R&D Centre is fully aware of the funding mode (75:25), i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D centre / organization share would be 25% of the total sanctioned cost of the project (through networking and cluster approach).

IX.   Aiming at 25% fund share, the lead organization / institute will not derive / include / divert / utilize any grant-in-aid from consolidated fund of India (CFI), Government of India, available

to them from any means. The 25% fund share will be contributed by the HI from its own income sources at the time of each release (in a cluster approach & with proper understanding with Co-opted organizations) and not from diverting the funds available with HI, under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI.

X.   The audited statement of accounts, utilization certificates, other reports and documents as required under the scheme will be submitted to the department.

XI.   Organizing institute will participate in the monitoring/ reviewing of the SATHI Project whenever they were asked to do so.

Seal of University/Institute

Signature of Vice-Chancellor / Head of Institute / R&D Centre/ **Lead Organization**

Registrar or Head of Finance

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*Chairman of Trust/ Board/ Management

Endorsement Letter from the Registrar of the University/Head of the Institute/ Vice-Chancellor of University / Director of partner Organization

(Statement on the Letter Head, strictly)

TO SET UP SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTE (SATHI) FACILITY

This is to certify that:

I.   Prof. / Dr. …………………………………….., the Head of the institute / Vice-Chancellor of the University / R&D centre, nominating the Dean/ Head/ Coordinator, of the Department/ School/ Centre …………………… , who will assume full responsibility for implementing this project proposed under SATHI Program of the Department of Science and Technology, New Delhi during…………………………. .

II.   The date of starts of the Project from the date on which the University/Institute receives the bank draft/cheque/RTGS from the Department of Science & Technology. It will happen only after signing and submitting the "Terms and Conditions" document pertaining to SATHI program of DST.

III.   The Head or Coordinator will be governed by the rules and regulations of the University/Institute and will be under administrative control of the University/ Institute for the duration of the SATHI project and also as per the "Terms and Conditions" document pertaining to SATHI program.

IV.   The grant-in-aid by the Department of Science & Technology will be used to meet the expenditure on the SATHI project and for the period for which the project has been sanctioned as indicated in the sanction letter/ order.

V.   No administrative or other liability will be attached to the Department of Science & Technology at the end of the SATHI project.

VI.   The University/ Institute will provide basic infrastructure and other required facilities to the investigator for implementing the SATHI project.

VII.   The University/ Institute will take into its books all assets received under this sanction and its disposal would be at the discretion of Department of Science & Technology.

VIII.   Institute assumes to undertake the financial and other management responsibilities of the SATHI project. Host institute / University / R&D Centre is fully aware of the funding mode (75:25), i.e., DST share would be 75% and the management of the Government / Non-

Government Grantee Institute / R&D centre / organization (HI) share would be 25% of the total sanctioned cost of the project.

IX.   Aiming at 25% fund share, the organization / institute will not derive / include / divert / utilize any grant-in-aid from consolidated fund of India (CFI), Government of India, available to them from any means. The 25% fund share will be contributed by the HI from its own income sources at the time of each release (in a cluster approach & with proper understanding with Co-opted organizations) and not from diverting the funds available with HI, under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI.

X.   The audited statement of accounts, utilization certificates, other reports and documents as required under the scheme will be submitted to the department.

XI.   Organizing institute will participate in the monitoring/ reviewing of the SATHI Project whenever they were asked to do so.

Seal of University/Institute

Signature Vice-Chancellor / Head of Institute / R&D Centre / **Partner Organization**

Registrar or Head of Finance

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*Chairman of Trust/ Board/ Management

Department of Science and Technology
Policy on Conflict of Interest

For Reviewer & Committee Member or Applicant or DST Officer associated/ dealing with the Scheme/ Program of DST

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.

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, 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 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. 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:

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 will allot the grant applications to the other program officer.

6. Sanction for violation

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

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

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

8. Declaration

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

(**Signature with date**)

SATHI - PROJECT IMPLEMENTATION GROUP

The Project Implementation Group (PIG) is constituted with the following faculty/ Scientist members who will be responsible and accountable for the smooth implementation of the DST SATHI Project in a cluster mode (through networking arrangement).

S. No.	Name of Faculty / Scientist Member	Designation, Affiliation, Phone, Mobile no & Email IDs of the **Head / Director of Lead /partner Organization**	Designation, Affiliation, Phone, Mobile no & Email IDs of **the faculties from the Lead /partner Organization**
1			
2			
3			
4			
5			

(a)

Signature of the Head of the **Lead organization**
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of **Lead organization**

(b)

Signature of the Head of **partner organization**
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of **partner organization**

(c)

Signature of the Head of partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

(d)

Signature of the Head of partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization

(e)

Signature of the Head of partner organization
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance of partner organization