

**DEPARTMENT OF SCIENCE AND TECHNOLOGY**  
**(POLICY ON CONFLICT OF INTEREST)**

**FOR APPLICANT**

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 biasness 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.
- (xi) 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**

### **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 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~~<sup>#</sup> 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 Applicant**  
*(Strike out whichever is not applicable)*

**(Signature with date)**

**CERTIFICATE FROM THE INVESTIGATOR**

**Project Title**

1. I/We agree to abide by the terms and conditions of the R&D grant.
2. I/We did not submit the same project proposal elsewhere for financial support.
3. I/We have explored and ensured that equipment and basic facilities (enumerated in the proposal) 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 (listed in the proposal) will be made available to other users.
5. I/We have enclosed the Endorsement from the Head of Institution.
6. I have no any ongoing project under Technology Mission Division programme, DST.

Name and Signature of Investigator

Date.....

Place.....

**ENDORSEMENT FROM THE HEAD OF THE INSTITUTION**

(To be given on Letter Head)

**Project Title:**

1. Certified that the Institute welcomes the participation of Shri/Smt..... as the Principal Investigator and Shri/Smt.....as the other investigator (s) for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the other investigator (s) will assume the responsibility of the fruitful completion of the project.
  
2. Certified that the equipment and other basic facilities as enumerated in Section II – Part B 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.

Name and signature of the  
Head of the Institution

Date:  
Place:

**PROJECT SUMMARY**  
*(Not more than 1 and half page)*

**Project Title:**

**Name of Prototype/Device proposed to develop:**

**Technology Readiness Level (TRL\*):**

**Regulator Readiness Level (RRL\*):**

**Market Readiness Level (MRL\*):**

\*Please see the below chart for readiness level

TRL		RRL		MRL	
TRL 1	Basic principles observed and reported	RRL 1	Understanding of applicable regulatory processes and their transitions (global and domestic)	MRL 1	Market need formulation and access to market base (domestic and global)
TRL 2	Technology concept and/or application formulated			MRL 2	Consumer Utility (utility to customers)
TRL 3	Analytical and experimental critical function and/or characteristic proof-of-concept			MRL 3	Market Cost Competitive and Profitable (cost or utility advantage for capturing market)
TRL 4	Technology validated in lab			MRL 4	Manufacturing Capability (pace of production to meet demand – supply chain and scale of production)
TRL 5	Technology validated in relevant environment			MRL 5	Security of Financial Capital (demonstration cases prove their viability and showcase their expected performance to institutions that finance and regulate the market)
TRL 6	Technology demonstrated in relevant environment	RRL 2	Policy Stability and effectiveness		
TRL 7	Pre-commercial scale up/ pilot plant	RRL 3	Social Acceptability		
TRL 8	Technology system in its final form (manufacturing issues solved)	RRL 4	Political Acceptability		
TRL 9	Full commercial application (tech available to consumers)	RRL 5	Compliance to regularity processes to bring product to market		

**Use of proposed device and Potential User (One line):**

**PI Name:**

**Age:**

**Contact No. Mobile & Office:**

**Email ID:**

**Co- PI's:**

**Total Cost:**

**Duration:**

**Manpower:**

**Equipment proposed:**

**Industry Partner (if any):**

**Industry' financial Contribution (if any):**

**Objectives:**

**Methodology (in brief 150 words):**

**Deliverables:**

**Budget Details:**

Sr. No.	Items	Budget( in Lakhs)			
		1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total
1.	Equipment's				
2.	Salaries/ Fellowships (Name & No.)				
3.	Consumables				
4.	Travel				
5.	Contingencies				
6.	Overhead Expenses*				
	<b>Total</b>				

**Any other relevant information including Novelty /Details of Proof of Concept/Prototype developed by Investigator/Team: - (maximum 150 words):-**



## **FORMAT FOR SUBMISSION OF PROJECT PROPOSALS**

### **PART – A**

**1. PROJECT TITLE:**

**2. BROAD AREA:**

**3. TOTAL COST OF THE PROJECT:**

**4. PROJECT DURATION :**

**5. INSTITUTION / ORGANIZATION:**

**6. OTHER PARTICIPATING / INTERACTING AGENCIES:**

(Please enclose their letter regarding their willingness to participate in the project)

**7. PRINCIPAL INVESTIGATOR:**

Name:

Designation :

Institution :

Address :

Email:

Mobile:

**8. OTHER INVESTIGATOR(S)**

i. Name :

Designation:

Institution:

Address:

Email:

Mobile:

ii. Name :

Designation:

Institution:

Address:

Email:

Mobile:

**9. NAME, ADDRESS, EMAIL ID AND MOBILE NUMBER OF EXPERTS  
WORKING IN THE SUBJECT/AREA(S): (UPTO10)**

**10. NAMES AND ADDRESSES OF PERSONS/INSTITUTIONS  
(UPTO 10) INTERESTED IN THE OUTCOME OF THE PROJECT:**

## **PART – B**

- 1. OBJECTIVES OF THE PROJECT:**
- 2. APPLICATIONS OF THE MATERIAL/ PROTOTYPE/ DEVICE TO BE TAKEN UP FOR DEVELOPMENT.**
- 3. USERS / USERS AGENCIES:**
- 4. ESTIMATED REQUIREMENT (NO. OF PIECE / KG PER YEAR) OF THE PROPOSED MATERIAL/ PROTOTYPE/ DEVICE:**  
(Please mention how the estimated requirement is worked out, i.e. through interaction with users; market survey etc.)
- 5. ESTIMATED COST OF THE MATERIAL/ PROTOTYPE/ DEVICE AFTER DEVELOPMENT:**  
(Please indicate the cost of the components required for making one unit and indicate estimated cost at which device will be available to users after development).
- 6. THE COST OF SIMILAR IMPORTED MATERIAL/ PROTOTYPE/ DEVICE:**
- 7. PRODUCTION AGENCY / INDUSTRY:**  
(Please see page 3 of General Information. Please annex willingness/commitment from the production agency to undertake production of material/prototype/device after development and commitment for their contribution for the project).
- 8. REVIEW OF STATUS AND TECHNOLOGY TRENDS IN RESPECT OF MATERIAL/PROTOTYPE/DEVICE TO BE TAKEN UP FOR DEVELOPMENT:**
  - a) International status of development.
  - b) Current status in our country.
  - c) Status in your organization/Review of expertise available with proposed investigating group in the subject of the project.
  - d) Gaps to be covered through proposed work with special reference to the proposal.
- 9. TECHNICAL DETAILS:**
  - a) Features of the materials/prototype/device proposed to be taken up for development.
  - b) Specifications.

- c) Please make a comparison of the materials/prototype/device taken up for development with similar products if available in international market indicating similarities of differences.
- d) Description of various techniques and reasons for choosing the particular technique of measurement.
- e) Principle or operation.
- f) Engineering Design of device/material processing/modeling
- g) Block/schematic/diagram.
- h) Description of various sub-systems etc.
- i) How characterization, calibration, standardization, testing etc. will be achieved?  
(Please describe in brief procedures/methods for these).  
(Please give references wherever applicable).

#### **10. WORKPLAN:**

##### **a) Methodology:**

Please describe how the work (various steps/activities involved) will be carried out including linkages with production agency & users. How the materials/prototype/device is developed successfully and transferred to the production agency (s)?

##### **b) Time schedule of activities:**

Please give bar chart indicating important activities and time duration from start to end:

#### **11. FACILITIES AVAILABLE AT YOUR ORGANISATION WHICH ARE RELEVANT / USEFUL IN IMPLEMENTING THE PROJECT AND WILL BE AVAILABLE TO YOU DURING THE IMPLEMENTATION OF THE PROJECT:**

**A. Infrastructural facilities** (Tick the appropriate box)

Item	Yes	No	NR*	Item	Yes	No	NR*
a) Workshop				g)Transportation			
b) Water & Electricity				h) Administrative &Secretarial support			
c) Standby power supply				i) Library facilities			
d) Laboratory Space & Furniture				j) Computational facilities			
e) Air Conditioned room for equipment				k) Any other (Please mention)			
f) Telecommunication							

\* NR : Not Required.

**B. Available equipment** (including test & measuring, calibration etc.) and accessories relevant to the project:

S.No.	Name of equipment and accessories	Model and Make	Remarks
1.			
2.			
3.			

NOTE: Please make sure that the aforesaid facilities and equipment will be available for the project.

**C. Available manpower**

S. No.	Name & Designation	Area of specialization
1.		
2.		
3.		

**12. A. BUDGET ESTIMATES:**

Sr. No.	Items	Budget			
		1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total
1.	Equipment				
2.	Salaries / Wages				
3.	Consumables				
4.	Travel				
5.	Contingencies				
6.	Overhead expenses*				
	Total				

\* For the organization of the PI towards meeting their costs for overhead expenses on the project including infra-structural facilities etc.

**12. B. BUDGET FOR SALARY /WAGES:**

(As per OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and SR/S9/Z-05/2019 dated 21.08.2019)

Sr. No.	Designation	Scale of pay	Monthly emoluments	Number	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	Total

**Justification for manpower required**

**12.C BUDGET FOREQUIPMENT:**

Sr. No.	Equipment / Accessories	Make & Model	Imported / Indigenous	Estimated Cost	F.E. Component
<b>TOTAL</b>					

**Justification for equipment proposed**

**12.D BUDGET FOR CONSUMABLES MATERIALS:**

(In Lakhs)

Sr. No.	Items	Quality	Budget			
			1 <sup>st</sup> Yr	2 <sup>nd</sup> Yr	3 <sup>rd</sup> Yr	TOTAL

**Justification for consumable materials giving estimated requirement of consumable for each prototype.**

**12. E BUDGET FOR TRAVEL:**

Please provide estimated number of visits related to the project work and cost per visit along with justification.

**13. Research projects with the investigator(s):**

Please give the following details for each project: -

Sr. No.	Project Title	Duration	Date of commencement/ Completion	Status (Ongoing/ Completed)	Total Cost	Funding agency

**14. Industrial R&D Project experience/ Industrial Collaborations details.**

**BIODATA OF PI/ Co-PIs: -**

- a) Name
- b) Date of Birth
- c) Academic qualifications
- d) Areas of expertise
- e) Experience

<b>Sr. No.</b>	<b>Position held (Designation)</b>	<b>Place of work</b>	<b>Duration</b>	<b>Areas of work</b>

- f) Awards received, if any
- g) Publications (Nos.)
  - Books
  - Research papers
  - Patents
- h) List of publications (Paper published during last 10years)
- i) List of project completed indicating briefly title, sponsoring agency, duration and outcome of project.
- j) Details of materials/prototype/device already developed in past.

