

**CERTIFICATION BY THE HEAD OF THE INSTITUTE**

- (i) Ms. ....the Principal Investigator of the project entitled ..... will assume full responsibility for implementing the project.
- (ii) The date of appointment starts from the date on which the University/ Institute receives the first sanction grant from the Department of Science and Technology.
- (iii) The investigator will be governed by the rules and regulations of the University/ Institute for the duration of the project.
- (iv) The University/ Institute will provide basic infrastructure and other required facilities to the Investigator for undertaking the research project.
- (v) The University/ Institute will take into its books all assets received under this sanction and its disposal would be at the discretion of the Department of Science and Technology.
- (vi) The research grant by the Department of Science and Technology will be used to meet the expenditure on the project and for the period for which the project has been sanctioned as indicated in the sanction order.
- (vii) The audited statement of accounts, utilization certificates, and other reports and documents as required under the scheme will be submitted to the department.

Signature of the Head of the Institution with seal

**UNDERTAKING**

I ..... daughter/ wife of Shri  
 ..... residing at .....  
 ..... have been offered a project entitled  
 “.....”  
 .....” under WISE Fellowship for Ph.D.  
 (hereinafter called WISE-PhD) for research work by the Department of Science and Technology, New  
 Delhi (hereinafter called DST). I accept the said project as ‘Principal Investigator (PI)’ and undertake  
 that:

- (i) During the entire tenure of the WISE-PhD Project, I shall abide by the rules and regulations of the DST. Any change in rules and regulations by the DST in future will be applicable to me.
- (ii) As a recipient of the DST’s WISE-PhD Project, I shall also abide by the rules, discipline of the institution where I have been given the facility of work.
- (iii) I shall devote full time to research during the tenure of the WISE-PhD Project and will not take any other assignment or job without prior permission of DST.
- (iv) I shall complete the study and research work assigned to me and submit a detailed consolidated Project Completion Report of research work through the competent authorities upon completion of the WISE-PhD Project.
- (v) I shall not leave the WISE-PhD Project before its completion without prior written approval of the DST.
- (vi) I also hereby declare that if the results of the research are such that can be exploited commercially by taking IPRs or otherwise commercial exploitation, the same shall be communicated to the DST.
- (vii) I also hereby declare that I will conduct SSR activities e.g. student internship, training/workshops, individual lectures, popular articles, reports in newspapers, web articles, etc. as per WISE-PhD guidelines during the tenure of my project.
- (viii) I have gone through DST's Terms & Conditions. I have clearly understood and have accepted all the Terms & Conditions in full effect.

Signature of PI with Date: .....

Address: .....

.....

**Signature with Seal**

**(Mentor)**

**(Head of the Institution)**

**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.

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# 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 # 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)**

**TDB-CNA Fund Allocation through Public Financial Management System (PFMS) under  
DST Vigyan Dhara Scheme (Scheme Code - 4305)**

**DETAILS OF ORGANIZATION**

1.	PFMS Unique Code	
2 (i)	Agency Name (Name of the University/ Institute/ College, etc.)	
2 (ii)	Agency Type (Statutory Bodies/Autonomous/NGO/Society etc.)	
2 (iii)	Hierarchy of Agency (Central/State/ District/Block/Tahsil/Panchayat/Village)	
<b>2 (iv)</b>	Act/registration No.	
<b>2 (v)</b>	Date of Registration	
<b>2 (vi)</b>	Registering Authority	
<b>2 (vii)</b>	State of Registration	
3 .	TIN No. (If available)	
4 .	TAN No.	
5.	Complete Contact Address of the Agency	
5 (i)	Block No./Building/Name of Premises	
5 (ii)	Road/Street/Post Office	
5 (iii)	Area/Locality	
<b>5 (iv)</b>	City/ District	
<b>5 (v)</b>	State	
<b>5 (vi)</b>	Pin code	
6.	Contact Person	
6 (i)	Designation	
6 (ii)	Phone Number (Land Line)	
6 (iii)	Alternate Phone No./Mobile No.	
<b>6 (iv)</b>	Official E-mail address	
7.	Bank Account details for Vigyan Dhara Scheme ( <b>Union Bank of India</b> )	
<b>7(i)</b>	Institution's Account Name (As per bank record)	
7 (ii)	Account No.	
<b>7(iii)</b>	IFSC Code	
7(iv)	Bank name (in full)	Union Bank of India
7 (v)	Branch Name	
<b>7 (vi)</b>	Complete Branch address	
<b>7 (vii)</b>	MICRNo.	
<b>7 (viii)</b>	Account Type	

Certified that the Institute's account is an RTGS/ECS/NEFT enabled branch. I hereby declare that the particulars given above are correct and complete. The above Agency's Account No. and bank details are registered/ mapped under PFMS.

Date:

Signature of the Competent Authority  
of the Agency with seal.

Certified that the particulars furnished above are correct as per our records.

Date:

Signature of the Authorized  
Bank Official with seal.

**Target and Timelines under WISE-PhD Project**

<b>S. No.</b>	<b>Targets to be Achieved</b>	<b>Timeline</b>
<b>1.</b>		01-12 months
<b>2.</b>		13-24 months
<b>3.</b>		25-36 months
<b>4.</b>		37-48 months
<b>5.</b>		49-60 months

PI (Signature and Name)

Mentor (Signature, Name and Stamp)

**Consent Letter from Mentor of WISE-PhD Project**

This is to certify that I, Dr./ Prof. ....  
agree to act as a mentor in the WISE-PhD project entitled  
“.....  
.....”.

I'll support and guide the PI of the project Ms.  
..... academically as well as  
administratively while implementation of her project during its whole tenure.

(Signature of Mentor)  
Name and stamp of Mentor



**Format for**  
**Detailed Bio-data of the Mentor**

1. Name, Address, Gender, Date of Birth, email, Institution's Address, etc.
2. Academic Qualifications (University/ College from where attained, year of passing, class, Thesis title etc.)
3. Publications list (Title of paper, authors, Journal details, pages, year, etc.)
4. Patent list, if any
5. List of Projects implemented

Declaration for House Rent Allowance

This is to certify that I, Ms. \_\_\_\_\_ am eligible for HRA as neither I nor my spouse is living in Government Accommodation.

The rate of HRA as per GoI norms based on class of cities is (please tick appropriate):

1. Class X (27%)
2. Class Y (18%)
3. Class Z (9%)
4. Not Applicable

Signature of PI

Signature of Mentor with stamp

Head of the Institution (Signature with stamp)

**General Information from the Host Institute**

- 1. Name of the WISE-PhD Fellow (PI): .....
- 2. DST File No.: .....
- 3. Mentor's Name & Designation: .....
- 4. Department/ Centre: .....
- 5. Is Ph.D. Registered (Yes/ No): .....
- 6. Date of Ph.D. Registration (if registered): .....
- 7. Email id and Mobile no. of Finance Officer: .....
- .....

Signature with Stamp/ Seal

(Mentor)

(Finance Officer)

(Head of the Institution)