

Guidelines for Implementing Research Projects

Under

WIDUSHI

**(Women's Instinct for Developing and Ushering in
Scientific Heights & Innovation)**



**GOVERNMENT OF INDIA
MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF SCIENCE AND TECHNOLOGY
TECHNOLOGY BHAVAN, NEW MEHRAULI ROAD
NEW DELHI-110016.**

INTRODUCTION

The ‘Women in Science and Engineering-KIRAN (WISE-KIRAN)’ Division, Department of Science and Technology (DST), Government of India is starting a new initiative for senior women scientists named as WIDUSHI (Women’s Instinct for Developing and Ushering in Scientific Heights & Innovation) to harness their knowledge and potential for betterment of Science and Society.

This document provides guidelines for implementation of projects supported under WIDUSHI Programme. These are general guidelines needed in an ideal situation. In addition to these, the implementing agency has to follow its own rules and regulations, wherever necessary for a smooth implementation of project.

The Department reserves the right to review these guidelines and modify them.

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GUIDELINES TO APPLY IN WIDUSHI

The "**WIDUSHI**" programme aims to encourage and support senior women scientists to conduct research in interdisciplinary areas of Science and Technology. The women scientists are encouraged to carry out translational research that has application potential under WIDUSHI.

The support is available broadly in following scientific disciplines:

- (1) Physical & Mathematical Sciences [PM];
- (2) Chemical Sciences [CS]
- (3) Life Sciences [LS]
- (4) Earth & Atmospheric Sciences [EA]
- (5) Engineering & Technology [ET]
- (6) S&T based Societal Research [STSR]

Target Group: The target group is categorized in to following two categories:

- a. **Category-A:** To be Retiring or Superannuated Women Scientists (including voluntary retirement)
- b. **Category-B:** Senior Women Scientists not in regular employment

Eligibility:

1. **Employment:**
 - a. Women Scientists who are permanent employee but retiring in a year or already retired/ superannuated from government academic/ research institutions.
 - b. Women who are not permanent employee in any institution but working temporarily and have completed 2 independent research projects as Principal Investigator.
2. **Age:**
 - a. 57-62 years (for Category A)
 - b. 45-62 years (for Category B)
3. **Educational Qualification:** Women Scientists having Ph.D. in Basic/ Applied Science or equivalent degree like MD, MS, MDS, etc. are eligible for WIDUSHI.
4. **Research Experience:** Minimum two (2) R&D projects as Principal Investigator with excellent track record.
5. **Publications:** Minimum 20 publications in peer reviewed journals with impact factor and citation index (for Category A).
Minimum 10 publications in peer reviewed journals with impact factor and citation index (for Category B).

Financial Support: The Programme provides fellowship to the Principal Investigator @Rs.75,000/- per month (for Category A) and @Rs.85,000/- per month (for Category B), One Research Assistant, Research Grant of Rs. 5.0 Lakh per year and Institutional overhead charges @Rs.1.00 lakh per annum.

Project Duration: 5 years (maximum)

When to apply: The call for submission of new proposal under WIDUSHI will be open in the month of May every year for 45 days.

Where to apply: The proposals should be submitted at DST's ePMS portal "<https://onlinedst.gov.in/>".

Selection Process: After receipt of proposals a preliminary screening will be done and then proposals will be reviewed by Subject Experts in 2nd round of screening. At last, PIs of screened in proposals will be called for presentation before Programme Advisory Committee (PAC) for final recommendations.

Documents required during Proposal Submission:

1. Endorsement Letter from the Head of the Institutions
2. Certificate from Principal Investigator
3. Consent Letter from Co-Investigator
4. Duly signed Conflict of Interest Policy
5. Bio-data of Principal Investigator and Co-Investigator

GENERAL GUIDELINES AND INSTRUCTIONS FOR PROJECT IMPLEMENTATION

A. Sanction Order:

- i) After technical approval from the PAC, Approval Letter will be issued. The PI has to submit relevant documents like Zero Balance Subsidiary (ZBS) account details of the HI, HRA declaration, etc., for release of grants. The project approval shall stand cancelled if the sought documents are not furnished within three (3) months from the date of issue of Approval Letter.
- ii) After receipt of requisite documents, the file will be processed and a formal sanction order is issued as per the recommendations of the Programme Advisory Committee (PAC).
- iii) The first sanction order provides the detailed breakup of funds allocated to different heads like Fellowship, Research Grant and Overhead.
- iv) Goods (Consumable/minor equipment) available in GeM portal are to be procured mandatorily online through GeM only as per the provisions of Rule 149 of GFR.
- v) **Any correspondence with the Department regarding the project should invariably quote the Sanction Order No. and date, and should be addressed to the concerned official by name.**

B. Date of Commencement of Project & its Duration:

- i) The duration of the project is generally up to 5 years and this is specified in the first sanction order. However, the duration may be less as per the recommendation of the PAC.
- ii) **The project becomes operative with effect from the date on which the first grant is released to the implementing Institution. This date should be intimated by the Institution authorities/ Principal Investigator to this Department. *It will, in no case be later than one month after the receipt of the grant by the Institute.***

C. Principal Investigator:

- i) The Principal Investigator (PI) will be primarily responsible for the implementation of the project. The project team consists of the PI, Co-Investigator and Research Staff and it is necessary to ensure that the project is carried out by the project team in a cohesive manner.
- ii) Women Scientist i.e., PI of the project is to be treated as temporary employee and will be governed by the Administrative rules/ service conditions of the implementing Institute. No reference on these issues be made to this Department. *The Department will have no liability, whatsoever, for the PI after completion of the project duration.*
- iii) PI has to report to the duty as per duty hours of host institute.
- iv) As per DST' new Scientific Social Responsibility Guidelines, the ethical obligation of knowledge workers in all fields of science and technology to voluntarily contribute their knowledge and resources to the widest spectrum of stakeholders in society, in a spirit of service and conscious reciprocity. In this regard the women scientists are required to use and disseminate scientific knowledge and associated skills to different section of society for at

least 15 days per year. PI may engage in SSR activities e.g. student internship, Training/workshops, individual lectures, popular articles, reports in newspapers, web articles, etc. For further details about SSR guidelines please visit-

https://dst.gov.in/sites/default/files/SSR%20Guidelines%202022%20Book_0.pdf

- v) Apart from the project related activities PI may also carry out academic duties as and when assigned by the host institute. However, the additional tasks should not hamper the project work.
- vi) PI will maintain logbook/register for all chemicals, glassware, minor equipment and travel details.
- vii) Principal Investigator (PI) should acknowledge "WIDUSHI research grant" of WISE-KIRAN Division, DST in all publications emerging out of this particular project.

For example, "author acknowledges Department of Science & Technology, Government of India, for financial support vide reference no.....under WIDUSHI Programme to carry out this work".

PI is also advised to be either 'first' or 'corresponding' author in all publications.

- viii) The Fellowship is scientist – specific and cannot be transferred.
- ix) Apart from the Fellowship and HRA, no other allowances such as PF, LTA, medical allowance, etc. will be permissible. ***No liability on any of these accounts will be borne by DST.***

D. Co-Investigator:

- i) The role of Co-Investigator is very important in WIDUSHI Programme as Co-I has to provide support in proposed research work.
- ii) In any circumstance, if PI left the project then it is the duty of Co-I to settle the project technically and administratively.

A. The Implementing/ Host Institution (HI):

- i) The host institution has an important role to play and in consultation with this Department, should take steps to ensure successful completion of the project by expedite processing of financial and scientific documents of women scientists.
- ii) Host Institute will maintain the attendance register of PI. This information will be made available to DST as and when required.
- iii) Head of the Department will provide administrative support to the Principal Investigator for implementation of project.
- iv) In case, the PI is shifting to another institution on new appointment, the project could be transferred to that institution with the mutual consent of both the institutions and of this Department. Such requests for transfer of the project should be sent well in advance and should be accompanied with 'No Objection' certificates from both the institutions and the Endorsement Certificate from the new Institution.
- v) In case the PI leaves the project due to unforeseen circumstances, the host institute has to

return the unspent balance along with the Utilization Certificate (UC) & Statement of Expenditure (SE) and details of equipment procured under the project along with equipment retention letter.

- vi) The PI as well as the implementing institution has the responsibility of informing this Department about any change in the status of the PI including relieving her on short term deputation for a continuous period of 3 months or more.
- vii) The implementing Institute should provide full infrastructural facilities such as accommodation, water, electricity, communication facilities etc. for smooth implementation of the project.
- viii) Due acknowledgement of technical support / financial assistance resulting from this project grant should mandatorily be highlighted by the grantee organization in bold letters in all publication / media release as well as in the opening paragraphs of their Annual Reports during and after the completion of the project.

B. Leave:

- i) Having accepted the responsibility for the implementation of the project, the PI should be committed to implement the project over its duration and should have no plans to go on long leave especially after joining the project duty.
- ii) All kinds of leaves will be entertained as per rules of host institution.
- iii) During the Fellowship duration, the candidate should not be away from the project for a period of more than 15 days in continuation and 30 days total without the prior consent of DST. Further, PI has to take permission of host institute to participate in scientific assignment abroad, conference, etc. and then submit all the detailed documents to DST for final approval on said purpose.
- iv) Participation in any scientific event in India or abroad shall be treated as on duty.
- v) The project stands terminated in the absence of the PI for a continuous period of 3 months without intimation to this Department.

C. Change of Host Institution:

- i) The transfer of project is not encouraged and in rare cases can be given once in whole duration of the project. However, the project transfer is not allowed in first six months and in last year of the project.
- ii) In case of transfer, the project account at previous host institute has to be settled in PFMS. Further, due to tedious process of transfer, PI should implement project at new host institute after receipt of Sanction Order only.

D. Extension of Project Duration:

- i) The project can be extended for maximum duration of six months without any additional cost. Fellowship will also NOT be given for extended duration.

E. Release of next installments and financial management:

- i) In subsequent releases, the project grant is to be released on the basis of yearly requirements taking note of the technical progress and expenditure incurred.
- ii) Diversion of funds in any head is not allowed.
- iii) However, any request for release of the next installment should be accompanied by the following documents:
 - a) Utilization Certificate and Statement of Expenditure for the previous financial year (in original or copy if sent earlier).
 - b) Latest authenticated Statement of Expenditure including Committed Expenditure, for expenditure since 1st April of that financial year till the previous month.
 - c) Detailed Technical Annual Progress Report in prescribed format showing tables, graphs, photographs along with detailed results and analysis. PIs also need to submit achieved targets vs mentioned timelines.
 - d) All the documents including Annual Progress Report, Utilization Certificate, Statement of Expenditure, Bharatkosh receipt, etc. should be submitted at online portal along with a soft copy through email to the programme officer. **There is no need to submit Hard Copy of the documents.**
- iv) The Statement of Accounts and the Utilization Certificates (GFR 12A) should be financial year wise and are to be submitted within a period of 3 months from the 31st of March of that year *(i.e. if date of start of the project is 01.10.2023, then the first statement of account and utilization certificate will be for the period 01.10.2023 to 31.03.2024, the next statement will be for the period 01.04.2024 to 31.03.2025 and so on)*.
- v) The institute will not entrust the implementation of the work for which the grant is being sanctioned to another institution nor will it divert the grant to other institute as assistance. In case the Institute is not able to implement the project, it should refund to this Department the entire grant or the balance grant at the earliest.
- vi) The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.
- vii) All the assets acquired from the grant will be the property of Government of India and should not be disposed-off or encumbered or utilized for purpose other than those for which the grant had been sanctioned, without the prior sanction of this Department.
- viii) After completion/ termination of the project, the Government of India will be free to sell or otherwise dispose-off the assets which are the property of the Government. The Institute shall render to the Government necessary facilities for arranging the sale of these assets. The Government of India also has the discretion to gift the assets to the Institute or transfer them to any other Institute if it is considered appropriate and justified.
- ix) **For final settlement of the project:** Following documents are required for final settlement of the project:
 - a) The Utilization Certificate and Statement of Expenditure should show all the actual expenditure including committed expenditure. In case of reimbursement from DST, the negative balance in Utilization Certificate is required.
 - b) Detailed Project Completion Report showing all the results and analysis along with photographs, tables and graphs in prescribed format.

- c) Popular article of not more than 500 words on the work carried out in the project.
- d) If there is unspent balance at the end of project then refund of that amount in Consolidated Fund of India.

- xvi) This Department reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilized or appropriate progress has not been made.
- xvii) The Comptroller & Auditor General of India, at his discretion, shall have the right of access to the books and accounts of the Institute maintained in respect of the grant received from the Government of India.
- xviii) Any unspent amount sanctioned would be returned to CNA account of the scheme and the receipt of the same may be shared with the Division. Any carry forward of funds to the next financial year may be considered only with the specific approval of the Department on receipt of proper financial documents/Interim progress report from the university/college. Interest earned on the DST grants may be deposited in BharatKosh (www.Bharatkosh.gov.in) and receipts of the same be shared with the Programme Division.
- xix) The grantee organization is required to return all the unspent balances of all the programmes of DST under the scheme to CNA before receiving any fresh grant from the scheme- S&T Institutional & Human Capacity Building (Scheme Code-1817) of DST (in case, where Host Institution has not opened ZBS Account). This is a pre-requisite for receiving any fresh grant form any of the Central Sector Schemes.
- xx) In the new system of Fund transfer, grantee institutions will open a Zero Balance Subsidiary Account (ZBSA) in the designated bank and receive assignment of the approved amount against the CNA account, and no physical money will be transferred to the bank account of the grantee. The Grantee Institution is directed to use the Expenditure-Advance-Transfer (EAT) module of PFMS for making any further releases against CNA assignment. For any clarity on new mechanism of fund release, grantee institute may contact the designated Nodal Officer of the Scheme.
- xxi) The Grantee Institute must ensure other provisions of GFR-2017 and guidelines/ amendments issued from Govt. of India from time to time.

F. Progress Evaluation and Monitoring:

- i) The PI through the implementing Institute will submit Annual Progress Report of the work carried in the project on an annual basis (i.e. if the date of start of a project is 01.10.2023 the first Annual Progress Report shall be for the period 01.10.2023 to 30.09.2024, the next will be from 01.10.2024 to 30.09.2025 and so on).
- ii) In addition, this Department may designate Scientist/ Specialist or an Expert Panel to visit the Institute periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realization of the objectives of the project. The implementing Institute will provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation etc. at the time of their visit.
- iii) This Department also organizes Group Monitoring Workshop meetings wherein the PIs are invited to present the technical progress of their project. The Investigators should attend such workshops since it provides an opportunity to review their progress. Subsequent releases of

grant would be based on the reviewing and monitoring committees' recommendations.

G. Guidelines for publication of results and safeguard of Intellectual Property Rights:

- i) Investigators wishing to publish technical/ scientific papers based on the research work done under the project, should acknowledge the assistance received from this Department. Further, it would be highly appreciated if PI publish these research papers emerging out from the project work in peer reviewed Journals having impact factor.
- ii) The Investigator(s) should not enter into collaboration with a foreign party (individual/ industry) without prior approval of this Department.
- iii) If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.
- iv) In the emerging scenario at the National and International level, the Intellectual Property Rights (IPR) has assumed greater significance. Following are the guidelines which the PI and the implementing Institutions must follow in regard to IPR:
 - a) Institutions are required to seek protection of Intellectual Property Rights to the results of research on R&D projects. IPR include patents, registered designs, copyrights and lay out design of integrated circuits (IC).
 - b) IPR generated by publicly funded R&D institutions/academic institutions, through projects funded by the Government Departments, be owned by the institutions and they will be required to file patent applications at their cost.
 - c) The Institutions can approach the Patent Facilitating Cell (PFC) set up by this Department to assist them for patent search, obtaining a list of patent attorneys, filing of patent application(s) in India and abroad. These institutions will be free to retain exclusively the benefits and earnings arising out of these IPR.
 - d) If the patent is taken by the Institute at its own cost, it is free to transfer the innovation to industry for commercialization, after concluding an agreement, as per its laid down procedures. However, the details of the agreement, amounts received, annual sales turnover of the product shall be intimated periodically to this Department.
 - e) If the institution is unable to file a patent application, within a period of 6 months of determination of filing a patent, this Department in consultation with the PFC and in public interest, may file a patent application, at its own cost, in the joint names. For this purpose, the institution shall render all assistance to this Department. In such cases, any earnings accruing from transfer and commercialization shall be shared equally by this Department with the Institution and the generator of the Intellectual Property.
 - f) IPR generated through jointly funded projects may be owned jointly by the Institution and Industry. The cost towards filing of patent application may be shared by the institution and industry as may be mutually decided upon on a case to case basis.
 - g) If the patent is taken jointly by the institution and industry and if the industry has contributed at least one-third of the project cost, the industry (and its associate) shall have the first option, to commercialize the innovation, without paying any royalty, within one year of the completion of the project. The industry shall have exclusive right for three years from the date of completion of the project.

- h) The institution and industry may transfer the technology to another industry for commercialization, on terms and conditions as may be mutually agreed upon, on non-exclusive basis. Any earnings accruing from such a transfer and commercialization shall be shared between the institution and the industry as may be mutually agreed to. The details of the agreement, amounts received, annual sales turnover of the product shall be intimated periodically to this Department.
- i) The Government shall have a royalty-free license for the use of the Intellectual Property for the purposes of the Government of India and this Department reserves the right to require the institution and the industry to license others and requires that anyone exclusively licensed to market the innovation in India must manufacture the product in India.
- j) The institution may share the earnings, as per its laid down norms, with the generator(s) of Intellectual Property; provided, the institution sets apart not less than 15% of such earnings for crediting into a fund called Patent Fund. The patent fund should be utilized by the institution for renewal of the patent, protection of rights against infringements, for creating awareness and building competency on IPR and related issues and filing of new patents.
- k) Project investigators and research staff working on the project are advised to ensure that they maintain a diary for recording details of each exercise/experiment etc. along with the dates. Such records will be useful for proving/ establishing the claim of first inventor and at times may be used as a tool for proving infringement.
- l) For further information/ clarification on this subject, please contact:

Director
Patent Facilitating Cell
Department of Science & Technology,
Technology Bhavan, New Mehrauli Road
New Delhi - 110016.

The decision of the Secretary, Department of Science & Technology will be final in case of any violation of the above-mentioned Terms and Conditions and binding on the PI & respective Host Institution.
