"Promotion of University Research and Scientific Excellence– 2021"

Proposals are invited online for consideration of support under the Scheme "Promotion of University Research and Scientific Excellence" (PURSE), DST Government of India. The main objective of the scheme is to provide support for strengthening the R&D base of the performing Universities in the country.

Nature of Support: The Scheme will provide the support to acquire research facilities, research man-power cost, acquiring research consumables, funds for travel, organizing workshops and conferences, contingencies and maintenance of the facilities. Universities are encouraged to harness their areas of excellence into an inter-disciplinary thematic effort of an accomplished team, with clearly articulated objectives. Proposals towards individual R&D support would not be accepted under this Scheme. The synergy and focus of research may preferably be aligned to National Missions/ priorities.

Duration: The duration of support for each PURSE Project will be for a period of 4 years.

Eligibility: The Scheme is exclusively for the University sector. Other academic Institutions/ IITs/NITs/IISERS/Colleges are not eligible to apply under the Scheme. UGC Recognized Central Universities/ State Funded Universities/Deemed Universities and Private Universities are eligible to apply under the Scheme. The eligible university should not have received major funding from UGC or government major funding of more than Rs 10.0 crores in the last 5 years, or should not have received support under SAIF/ SATHI or PURSE program of DST in the last 10 years from the date of sanction order. All other agency-based Universities are excluded from the scope of PURSE support. For the host institute (HI) 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 supporting 75% and the management of the Government / Non-Government Host Institute would need to provide 25% of the total sanctioned cost of the project.

Proposals are invited in three Categories

The quantum of support and minimum eligibility conditions is organized into three categories as given below. The broad objective in each case is to support potentially high impact, interdisciplinary research (both basic and applied) aligned to national priorities and missions. The research should also align well with goals of Self-Reliant India (Atma Nirbhar Bharat) and Start-up India etc. Where possible, the proposed research should also be geared towards increased national competencies in fields like manufacturing, waste processing, clean energy and water and other similar national priorities.

Category	Minimum Eligibility Conditions for University			Maximum Quantum of support (Rs in Crores)
	NIRF University ranking 2021	H index (as per Web of Science)	I_{10}	
A	Top 40	>100	>1000	30
B	41- 100	>60	>500	20
C	-	>30	>100	10

Screening Criteria- For screening proposals, minimum essential requirements like NIRF, H-Index, and I_{10} of the University shall be considered. The proposals will be evaluated by considering the number of papers, quality of papers, patents and research projects and overall research merit. Based on the funds availability, 5-8 new universities will be supported.

Criterion for Selection: The proposal received will be evaluated by the Programme Management Board. Parameters of Excellence e.g., H index with I_{10} indices will be considered along with the score of NIRF ranking and the number of patents to select the University. The Proposal will be selected based on the relevance of thrust areas of Research, requirement of facilities, expertise available etc. The selection process will be through a peer review mechanism and visit to the Universities, if necessary. Programme Management Board of Experts will assist DST in making the final selection.

INSTRUCTIONS FOR FILLING ONLINE APPLICATION

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

2. Before filling up the form candidates 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 after logging in the portal site.

3. To save your time and avoid data loss please download the proposal format, fill all the information required as per the format as a Word and PDF file (**max. size 5Mb**) and then keep it ready for upload during submission of mandatory documents.

4. 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.

5. 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.

6. Universities are requested to identify the appropriate category against the advertisement and to submit single proposal only

LAST DATE FOR RECEIPT OF APPLICATIONS:

Online Application must be submitted by 13 December, 2021 after which the web-link will be AUTOMATICALLY disabled FOR ANY USAGE.

For any enquiry, contact: Dr Pratishtha Pandey
Email id: pratishtha.tp@nic.in

PLEASE NOTE

1. IT IS MANDATORY TO SUBMIT THE PROPOSALS ONLY THROUGH **ONLINE MODE**.

2. THE UNIVERSITIES 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 UNIVERSITY, **THE LAST PROPOSAL SUBMITTED WOULD BE CONSIDERED FOR EVALUATION**. THE UNIVERSITY SHALL KEEP A COPY OF THE SUBMITTED PROPOSAL FOR THEIR REFERENCE. THERE WILL BE **NO NEED TO SUBMIT HARD COPY OF THE PROPOSAL AT THE 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:

   ➢ *Letter from UGC about the Recognition 12 (B) and 2 (F)*
   ➢ *Endorsement Letter from the Vice-Chancellor/Registrar of the University*
   ➢ *Department of Science and Technology - Policy on Conflict of Interest*
   ➢ *Terms and Conditions for "PURSE" program*
   ➢ *Project Implementation Group of PURSE (PIG)*
   ➢ **Endorsement Letter**
   ➢ *Brief Summary of the PURSE PROJECT (in two pages only)*

   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.

MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF SCIENCE AND TECHNOLOGY
R&D Infrastructure Division

FORMAT FOR SUBMISSION OF PROPOSAL UNDER **"PROMOTION OF UNIVERSITY RESEARCH AND SCIENTIFIC EXCELLANCE"** (PURSE) SCHEME
Part I: General Information

1. a) Name of the University & Year of Establishment
   b) Address for correspondence including Telephone, FAX, email etc.
   c) Name of the Vice-Chancellor with Address and Mobile no

2. Financial Status [Government (Central or State Govt.)/ Govt. Aided/ Private] (attach supporting documents)

3. a) Overall University Ranking in NIRF (2021) as per MHRD (attach supporting documents)

   b) h index of the University (as per Web of Science) and I_{10} Index (as per Google Scholar for whole University with bifurcation of top 25 faculty members only for STEM Areas (attach supporting documents)

   c) Please Specify the Category of application [A,B,C]:

4. Brief details of each Departments (only STEM Departments)

Name of the Department/ Centre	Name of HoD	Number of Faculty Members					
		Sanctioned			Present		
		P	Asso p	Asst P	P	Asso P	Asst P

P -> Professor, Asso P > Asso Professor & Asst P -> Asst Professors

5. Distinction earned by faculty members like National and International Awards, Recognitions, Fellowship of Science Academies (FNA, FASc, FNAE, FNASc, FNASS, FNAMS, FIEEE, FTWAS), J C Bose Fellowship and SS Bhatnagar Award.

6. Name of the PG Programs in each Department of the University

Name of the Department/ Centre	Types of the Program			
	MSc	M Phil	M Tech	Ph D

7. Department-wise Research Output during last 5 years

Name of Department / Centre	Research Output in terms of		Name of Important Journals & their Impact Factor
	No . of Publications in SCI Journals only	No of Patents	

8. List of Top Thirty (30) important publications with their latest Impact Factor as per Web of Science in the last 5 years.

Part II: Thematic Proposal

9. Identified 2-3 research strengths areas of the University with Proven Track Record.
   (Please mention research programs aligned with the National Mission)

   9.1 Origin of the Thematic Program: *(Maximum 1 page)*
   (Scientific rationale for doing this work should be elaborated)

   9.2 Aim and Objective of the Program (in bullets)

   9.3 Review of status of Research and Development in the subject

   9.3.1 International Status: *(Maximum 2 pages)*
   (Researchers working in the area worldwide and their contributions must be properly highlighted with recent references and reviews. A correct and upto-date description of the international research status must be attempted)

   9.3.2 National Status: *(Maximum 1 page)*
   (Same as above to cover the contribution of Indian Scientists in the project area)

   9.3.3 Importance of the proposed activity in the context of current status *(Maximum 1 page)*

   (Highlight what is the new area or advances that are targeted-in the PURSE in relating to what is already known. This is a very important section, the novelty component and its importance should be clearly projected)

   9.4 Work Plan

   9.4.1 Methodology: *(Maximum of 3 pages)*
   (It should contain all the details of how each of the objectives will be addressed. This section must be detailed and have clear plans, not vague and generalized statements. The strength of the university for the proposed work should be brought out clearly by projecting related work done so far. It should include relevant details i.e, tables, figures, equations etc together with justification of why the project research plan might succeed.

   9.4.2 Time Schedule of activities giving milestones through BAR diagram with time interval of three months (Maximum 1 page)

   9.4.3 Suggested Plan of action for utilization of research outcome expected from PURSE. *(Maximum ½ page)*

   9.4.4 Environmental impact assessment and risk analysis*(Maximum ½ page)*

10. Plan for the Thematic Program in PURSE with other programs of DST such as Startups scheme of National Science & Technology Entrepreneurship Development Board (NSTEDB), Accelerate Vigyan Scheme of SERB, International Cooperation i.e International Collaborative activity with any country.

11 Plans for implementing the Social Scientific Responsibility (SSR).

12. Department-wise Sponsored R&D Projects during last 5 years (2015-2019)

Name of the Department/ Centre	No. Sponsored R&D Projects	Amount (Rs in lakh) & Duration	Name of Sponsored Agency

13. Details of Projects submitted to various funding agencies in last two years

S. No	Title	Cost in Lakhs	Month of submission	Agency	Status

14. Details of FIST (year, sanctioned Costs) and other major funding of more than Rs 10 Crores in the last 5 years.

15 Give a list of Equipment, which are available and functional in the University each costing Rs.25 lakhs and above.

Department	*Name of Equipment*	*Year of Purchase*	*Status*

16. Details of facilities in Central Instrumentation Centres such as RSIC, USIC etc., if any

17 Trend and practices of the University to interact with various industries to sensitize and foster the overall growth and usage of available facilities by different Industries, MSME, Start-ups, Incubators etc.

18   Details of funds requested under PURSE Scheme

A Non-Recurring items (Capital) 70% of the Total Budget
   i) Name of the Research Facility   Approx Cost (Rs in Lakhs)
 1.
 2.
 3.

B   Recurring Items(General)30% of the Total Budget
   i) Manpower Cost(12%)-   (Designations / Emoluments as per latest OM SR/S9/Z-05/2019, dated 10th July 2020 of DST - JRF, SRF and RA etc)
   ii) Consumables (8%)
   iii) Seminar/Workshop/Conferences (2%)
   iv) Travel (1%)
   v) Maintenance of Facilities (2%)
   vi) SSR Activities (1%)
   vii) Hand holding of Start-ups & Industrial Collaboration (2%)
   viii) Over Head charges(2%)

19 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

20 List of equipments to be procured under DST–PURSE Support with approximate cost. (no quotation of any equipment to be attached).

21 Expertise available with the University in executing the PURSE
  (Maximum 1 page)

22 Societal paybacks envisaged at the end of the project, if supported.

23 Details of each Budget Heads with full justifications for each item

Information submitted as above is true and is correct.

Signature of the PURSE Coordinator   Signature of the Head of
(Faculty Member with minimum 5 years of service)   the University

Note: Building, Civil construction and related activities will not be covered under this support

DEPARTMENT OF SCIENCE & TECHNOLOGY

TERMS AND CONDITIONS FOR
PROMOTION OF UNIVERSITY RESEARCH AND SCIENTIFIC EXCELLENCE (PURSE) GRANT

The scheme "Promotion of University Research and Scientific Excellence" (PURSE), DST Government of India, launched with an objective to provide support for nurturing the research ecosystem & strengthening the R&D base of the performing Universities in the Country. The Department has recently carried out the restructuring of PURSE. A combination of I_{10} index of faculty members in the University, H index and, NIRF Rankings of MHRD has been adopted for the selection of Universities under PURSE Programme. The Scheme will provide the support to acquire research facilities, research man-power cost, acquiring research consumables, funds for travel, organizing workshops and conferences, contingencies and maintenance of the facilities. Under the scheme, the Universities are encouraged to harness their areas of excellence into an inter-disciplinary thematic effort of an accomplished team, with clearly articulated objectives. Proposals towards individual R&D support would not be accepted under this Scheme. The synergy and focus of research may preferably be aligned to National Missions/ priorities

Keeping all these factors in mind, the Terms and Conditions of PURSE have been reformulated

The Terms and Conditions

1. The grant being released under the scheme is for augmentation of research activities at the university and shall be spent exclusively for this purpose. The University shall constitute a **"Project Implementation Group"** for implementation of the program and inform DST accordingly before releasing of funds etc. The **Project Implementation Group** would be responsible and accountable to DST for all aspects of implementation of such project during its 4 years project duration.
2. The support for each University will have the following components categorized under Capital components
   - **Equipment [70%]**
3. The support for each University will have the following components categorized under General components:
   - **Consumables [8%]**
   - **Manpower [12%,]**
   - **Seminar/Workshop/Conferences [2%]**
   - **Travel [1%]**
   - **Maintenance of Facilities [2%]**
   - **SSR Activities [1%]**
   - **Hand holding of Start-ups & Industrial Collaboration [2%]**
   - **Over Head charges [2%]**
4. The scheme does not allow any provision for building/ construction and recruitment of staff in permanent nature etc. The Manpower recruited under PURSE shall be co terminus with the project duration. Recruitment of Manpower shall be strictly in accordance with Sanction Order issued by DST.
5. The quantum of support and minimum eligibility conditions is organized into three categories as given below.

Category	Minimum Eligibility Conditions for University			Maximum Quantum of support (Rs in Crores)
	NIRF University ranking 2021	H index (as per Web of Science)	I_{10}	
A	Top 40	>100	>1000	30
B	41- 100	>60	>500	20
C		>30	>100	10

6. The type of equipment and its specifications/ configurations/other budget heads would not be possible to change during the course of implementation of the said project

7. The funds for the consumables should be purely the research consumables to meet the objectives of this project. Teaching Aids like LCD Projector, Smart Boards, Grocery, Gadgets etc. are out of scope under PURSE support.

8. There should not be any deviation from the Budget Heads as approved by DST. In case, if it is very necessary, a request can be made to the DST for consideration.

9. The host institute (HI) 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 Host Institute would need to be 25% of the total sanctioned cost of the project.

10. The eligible university should not have received support under SAIF/ SATHI or PURSE program of DST in the last 10 years from the date of sanction order.

11. All the assets acquired from the grant will be the property of the Government of India and should not, without the prior sanction of the Department, be disposed of or encumbered or utilized for purposes other than those for which the grant has been sanctioned.

12. DST reserves sole rights on the assets created out of grants. Assets acquired wholly or substantially out of government grants (except those declared as obsolete and unserviceable or condemned in accordance with the procedure laid down in GFR 2017), shall not be disposed of without obtaining the prior approval of DST. All the procurement should be as per procedure laid down in GFR 2017.

13. In order to maintain transparency and accountability, the facilities acquired from PURSE Grant should be mapped to Indian Science Technology and Engineering facilities Map i.e ISTEM portal (https://www.istem.gov.in), and should be accessible to the scientific community and Industry. DST should be informed after mapping the research facilities in the ISTEM Portal.

14. Servers, Desktops, Workstations, Printers etc. under Networking may be procured through GeM (Government E-Market) platform.

15. Each University supported under DST PURSE to constitute a Well Wisher Committee (for Internal Implementation and Progress Review) exclusively for proper functioning of PURSE Program. This committee will be chaired by the Vice Chancellor and comprise of PURSE Coordinator, faculty members from participating departments, Deans, at least one external member from nearby MSME and at least one faculty member from nearby research organization/laboratory/institutes. There shall be two members from the Newly Constituted Programme Management Board. This committee would meet at least once in four months (three times in a year) and regularly report to DST about the implementation of PURSE. The constitution of the committee will be approved by DST.

16. The Universities should promote services of PURSE Facilities to the demands of outside faculties, researchers, scientists and students of other academic institutes, universities, nearby colleges, national laboratories, R&D Labs, Startups and Industries to enable them to carry out R&D activities to promote PURSE collaborative research endeavors.

17. All efforts should be made to procure the equipment and other items at the earliest to avoid parking of funds, cost escalation due to foreign exchange fluctuation and should abide all procedures laid out by the grantee institution. Carry Forward of unutilized grants to subsequent financial years is not allowed. Grants in second and third year will be released only on the receipt of UCs based on audited accounts/progress report. In case of high accumulation of unspent grants, the Department of Science & Technology shall have the right to withdraw the project from the University.

18. The University will furnish to Department of Science & Technology, Utilization Certificates and an audited Statement of Accounts (in DST format) pertaining to the grant (along with Progress Report) within one month following the end of each financial year.

19. After receiving the grant by the University, Department of Science & Technology will review the technical & financial progress including utilization of the grant on an annual basis with an appropriate mechanism. The Department reserves the right to terminate the support at any stage if it is convinced that the grant has not been properly utilized or appropriate progress is not being made.

20. A register of the permanent/semi-permanent assets acquired wholly or mainly out of this grant should be maintained in the prescribed form and a copy thereof furnished to this Department. Such register of assets and the accounts maintained shall be available or open to scrutiny by Audit.

21. Any unspent amount sanctioned/Interest would be surrendered to the Government through **Bharthkosh** portal. 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.

22. The Universities will have to enter & upload the Utilization Certificate in the PFMS portal besides sending it in physical form to this Division with UC id generated in PFMS Portal. The subsequent/final instalment will be released only after confirmation of the acceptance of the UC by the Division and entry of previous Utilization Certificate in the PFMS.

23. Refund details if any (unspent balance including the accrued interest has to be remitted through the Bharatkosh Portal and the receipt of the same may be enclosed with financial documents.

24. The Grantee Institution is directed to use *Expenditure, Advance, Transfer (PFMS-EAT) Module* under PFMS and next release will be made only after mapping and following EAT modules by the grantee institutions. Usage of EAT Module is made MANDATORY *by the Ministry of Finance, Govt of India.*

25. The grantee organization shall follow the instructions regarding Global Tender Enquiry (GTE) under Rule 161(iv) of General Financial Rules (GFRs) 2017 up to Rs 200 crore. DoE's vide their OM No. No. F.4/1/2021-PPD, dated 03.08.2021

26. Due acknowledgement of technical support / financial assistance resulting from PURSE grant of Department of Science & Technology should mandatorily be highlighted by the grantee organization in bold letters in all publications/ thesis /Patents/Prototypes, Media releases as well as in the opening paragraphs of their Annual Reports during and after the completion of the project.

27. In major events organized such as Inauguration of major facilities, installation of research facilities, conferences, workshops, talks or webinars or any event organized under the aegis of PURSE should be intimated to DST in advance.

28. The university should display the public notice given by DST at the entrance of the facilities.

29. The Comptroller and Auditor General of India, at his discretion, shall have the right to access to the book accounts for this support. **The Department shall open an interest earning Bank account (Saving bank account) for operation of funds being transferred by DST.** It is mandatory to show interest accrued on project grant in Utilization Certificate in Column No. 2 of GFR 12A and same remitted at the end of every financial year, amount has to be mentioned in column No. 3 in GFR 12A. Each financial year-wise UCs should have the remitted interest amount in that particular FY only. **Statement of expenditure and Utilization certificates each year submitted to the Department of Science & Technology .**

30. If the grant has been released under Capital head/General through separate sanction order(s) under the same project for purchase of equipment, separate SE/UC has to be furnished for the released Capital head/General grant.

31. The Institute will furnish to Department of Science & Technology, Utilization Certificate, and an audited Statement of Accounts (in DST format) pertaining to the grant (along with Progress Report) within three months following the end of each financial year.

32. Failure to comply with the terms and conditions of the scheme will entail full refund with interest in terms of Rule 231 (2) of GFR 2017.

33. The research facilities acquired under PURSE should be suitably displayed with **DST-PURSE.** In order to give visibility to the identified University m a y be called as **"DST-PURSE Supported University"**. This may be suitably displayed.

                                            Signed by

Signature

PURSE Coordinator

                         Vice Chancellor of University

Signature

\-
Registrar/Finance officer

<u>PURSE PROJECT IMPLEMENTATION GROUP</u>

The Project Implementation Group (PIG) is constituted with the following faculty members who will be responsible and accountable for the smooth implementation of the DST PURSE Project at the host institute

/ organization.

S. No.	Name of Faculty / Member	Designation, Affiliation, Phone, Mobile no & Email IDs
1		PURSE COORDINATOR (With Minimum 5 years of regular service)
2		
3		
4		
5		

Seal of University/Institute

……………………………………………………………………………………

Signature Vice-Chancellor / Head of Institute

Registrar or Head of Finance

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)

Endorsement Letter from the Registrar of the University/ Vice-Chancellor of University /

(Statement on the Letter Head, strictly)

This is to certify that:

I.   Prof. / Dr. ………………………………………., the Head of the institute / Vice-Chancellor of the University nominating the Dean/ Head/ Coordinator, of the Department/ School/ Centre ……………………, Dr……………… who will assume full responsibility for implementing this project proposed under PURSE 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 PURSE 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 PURSE project and also as per the "Terms and Conditions" document pertaining to PURSE program.

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

V.   The University/ Institute will recruit Manpower under PURSE on contractual basis which shall be co terminus with the project duration. The University will review the progress of Manpower under PURSE on regular basis.

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

VII. The University/ Institute will provide basic infrastructure and other required facilities for implementing the PURSE project.

VIII. 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.

IX. Institute assumes to undertake the financial and other management responsibilities of the PURSE project. Host institute / University 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 share would be 25% of the total sanctioned cost of the project.

X.   The audited statement of accounts, utilization certificates and 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 PURSE Project whenever they were asked to do so.

Seal of University/Institute

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

Registrar or Head of Finance

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*Chairman of Trust/ Board/ Management