

**DST (India) National Guidelines for Coordinated Call for BRICS Multilateral
Research and Development Projects – BRICS Call for Proposal 2017**

1. Goal of BRICS Coordinated Call:

The BRICS STI Framework Programme aims to support excellent research on priority areas which can best be addressed by a multinational approach. The initiative should facilitate cooperation among the researchers and institutions in the consortia which consist of partners from at least three of the BRICS countries.

2. Funding Agencies:

Following research funding organizations from the BRICS countries have agreed to support BRICS 2017 Call:

Brazil: National Council for Scientific and Technological Development (CNPq)

Russia: Foundation for Assistance to Small Innovative Enterprises (FASIE), Ministry of Education and Science (MON) and Russian Foundation for Basic Research (RFBR)

India: Department of Science and Technology (DST)

China: Ministry of Science and Technology (MOST) and National Natural Science Foundation of China (NSFC)

South Africa: Department of Science and Technology (DST) and National Research Foundation (NRF)

3. Aim of the Joint Call and Thematic areas

Collaborative multilateral basic, applied and innovation research projects in the following thematic areas can be submitted in response to the call:

Major Area of the Call:

1. Prevention and monitoring of natural disasters
2. Water resources and pollution treatment
3. New and renewable energy, and energy efficiency
4. Biotechnology and biomedicine including human health and neuroscience
5. Information technologies and high performance computing
6. Material science including nanotechnology

4. Eligibility:

Eligible Indian Partners: Eligible Indian partners can be legal research entities from public funded academic institutions, national R&D laboratories or R&D entities having recognition as a Scientific and Industrial Research Organisation (SIRO) by the Department of Scientific and Industrial Research under the Scheme on Recognition of Scientific and Industrial Research Organisations (SIROs), 1988. The R&D performing Indian industry may participate voluntarily in this call with participating Indian industry has to invest its own resources.

Consortium: A joint project will comprise of at least one PI from each of the participating countries, and a project coordinator or the leading PI acting as the project coordinator. Project consortia should consist of partners from at least three BRICS countries.

All applicants must fulfil their respective national eligibility rules for research grant applications (please refer to the National Guidelines/Annex document and consult with national research funding organization participating in the call).

5. Funding Support by DST

5.1 Maximum Indian support for each Project: upto Indian Rupees Rs. 50 lakhs approx. for 3 years' duration.

5.2 Funding instruments

	For Indian Participants (in Rupees)
<p><u>Direct Costs</u></p> <p>5.2.1 Manpower Cost (as per DST Norms)</p> <p>Junior Research Fellow-JRF, Senior Research Fellow-SRF/SRF, Research Associate-RA. (emoluments will be as per DST OM No. SR/S9/Z-09/2012 dated October21, 2014 and revised time to-time).</p> <p>5.2.2 Consumables Cost:</p> <p>(As essential for collaborative work. DST will fund such requirement of Indian project partners and BRICS countries will fund that of BRICS project partners).).</p> <p>5.2.3 Mobility of scientists</p> <p>[<u>For Indian project scientists/ staff visiting BRICS countries collaborating institute:</u> Number of Indian scientists to undertake project work related visit and & man-days of stay in BRICS countries will have to be stated for each year-Sending Indian institution takes care of its project staff's return international travel cost (full fare economy class) between place of work in India and place of institution being visited in BRICS country as well as medical insurance (silver class); and Receiving BRICS countries institution takes care of accommodation cost (board and lodging) of the incoming visiting Indian project staff for the actual period of stay in BRICS countries (as per BRICS countries norms)]</p> <p><u>For BRICS countries project staff visiting Indian collaborating institute:</u> (Number of BRICS countries scientists to undertake project work related visit and & man-days of stay in India will have to be stated for each year-Sending BRICS countries institution takes care of its project staff's return international travel cost between place of work in BRICS country and place of institution being visited in India as well as medical insurance and Receiving Indian institution takes care of accommodation (in Guest House or up to 3-star hotel) and subsistence cost of the incoming visiting BRICS countries project staff for the actual period of stay in India (Per diem of Rs.1000/day for Experienced Researcher or Rs.20,000 per month for Early Stage Researcher)</p>	

<i>All the Expenditure will be debited from DST funded BRICS Project.</i>	
Overhead /Indirect Cost (As per DST norms: Overhead expenses payable to institute for Indian partners: 10% of the total project cost for educational institutions and 8 % for laboratories and institutions under central Government Departments/Agencies.	
Total Cost	
Admissible Cost demanded from DST	

6. General guidelines for building BRICS multilateral projects-BRICS call 2017

- i) The applicants may clearly define project goals that could be achieved within 3 years.
- ii) The applicants need to provide short account of on-going bilateral projects with BRICS Member States and BRICS countries at large, if any. This is required to determine the essentiality/redundancy of India-BRICS countries and the genuine need for applying for grants under the present coordinated Call for BRICS.
- iii) The proposals should clearly bring out novelty and innovation component vis-à-vis global scientific and technological benchmarks.
- iv) The proposal should elaborate linkages proposed to be developed amongst various project consortium partners for optimization of time and achievement of deliverables.
- v) The project managements, milestones, quantitative parameters for monitoring and internal monitoring systems/ procedures need to be spelt out
- vi) The proposal should bring out industrial partner's commitment for taking forward successful solution for wider applications.
- vii) The proposal should clearly demonstrate a balanced participation of BRICS partners with properly integrated research activities and complementary roles.
- viii) The IPR sharing will be govern by national domestic laws and under the framework of BRICS STI MoU and/or India bilateral S&T Agreement with BRICS Countries as applicable. The Indian PI along with other BRICS partner will have to submit an IPR arrangements, technical annex documents and coordination agreement, in case, the proposal is finally selected for funding support.

7. Process for submission of Joint Project Proposals

There are two level online submission system to submit the joint R&D proposal.

- i) Online Submission of Joint Application Form by one of the Project Coordinator to centralized Call Secretariat
- ii) Online submission of application by main PI in their own country to their funding agency in the prescribed Format. In case of India it is DST (Department of Science & Technology), GOI.

7.1 Submission of Joint Application Forms (JAF) by Project Coordinator

A **Joint Application Form (JAF)** must be submitted by one of the Project Coordinator to centralized Call Secretariat RFBR (Russia) through the online submission. To submit an Joint Application Form an online-submission form should be completed through the BRICS STI Framework Programme Application Management System (AMS) at <https://ams.rfbr.ru/BRICS>. The project coordinator should register in AMS, log in and create a proposal for the BRICS Call 2017. Project coordinator must fill in all the required fields, attach completed JAF to the online submission form and submit an application. The online submission form fields are identical to the information provided in JAF, however the completed JAF as attachment to the online form must be provided (should be uploaded in the respecting section of online submission form). Applications submitted to the Call Secretariat by any method other than through online submission form at <https://ams.rfbr.ru/BRICS>, such as post, fax or telex will be rejected.

7.2 Submission of Online Application to DST

Indian Principal Investigator should submit the project proposal online through DST's Electronic Project Management System (e-PMS) on portal www.onlinedst.gov.in the given format along long necessary documents in Word and pdf file format.

This is additional requirement in each participating countries. Please ensure that your partners have submitted the national document in their country.

INSTRUCTIONS FOR FILLING ONLINE APPLICATION

- i. Log on onlinedst.gov.in to access the home page of the "DST e-PMS Portal", register, log in and submit the BRICS project proposal in prescribed Format.
- ii. 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.
- iii. To save your time and avoid data loss please download the appropriate proposal format and fill all the information required as per the format as a Word and PDF file and then keep it ready for upload during submission of mandatory documents.
- iv. Click on "Submit proposals" link which would take you to a page seeking multiple information starting with – General information, Principal investigator etc. **Please note for BRICS Program you do not need to fill – Suggested referees and Current Ongoing Project.** Fill all the mandatory information sought against each menu except **(Suggested referees and Current Ongoing Project)**.
- v. 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.
- vi. 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.

8. LAST DATE FOR RECEIPT OF APPLICATIONS :

Online Application must be submitted by **28th November 2017** after which the web-link will be **AUTOMATICALLY disabled FOR ANY USAGE**. Last date of submitting the **HARD COPY** of the **PRINT VERSION** of the online submitted form is **14th December 2017**. The hard copy of the print version should reach the following address on or before **14th December 2017**.

Dr. Arvind Kumar
Scientist 'E'
Room No. 14 D
Technology Bhavan
Department of Science and Technology
New Mehrauli Road, New Delhi -110016

PLEASE NOTE

- i. IT IS MANDATORY TO SUBMIT THE PROPOSALS THROUGH **ONLINE MODE**. SUBMISSION OF PROPOSAL ONLY ON OFFLINE THROUGH HARD COPY WITHOUT ONLINE SUBMISSION OF THE PROPOSAL WOULD BE SUMMARILY REJECTED AND WOULD NOT BE CONSIDERED FOR FURTHER PROCESSING.
- ii. CANDIDATES ARE REQUIRED TO SUBMIT **ONLY ONE HARD COPY AS PRINT OUT** OF THEIR ONLINE SUBMITTED APPLICATION TO THE DST WITH THE SIGNATURES AND RUBBER STAMPS OF THE CONCERNED PERSONS/OFFICIALS.
- iii. INCOMPLETE OR WRONGLY FILLED UP APPLICATION FORMAT OR APPLICATION WITH LACK OF ESSENTIAL 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.
- iv. 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.

9. **Contact Information**

Smt Sadhana Relia, Scientist G & Head International Multilateral and Regional Cooperation Division(IMRCD, Department of Science and Technology Government of India., Email:srelia@nic.in	Dr. Arvind Kumar Principal Scientific Officer Scientist 'E' Room No. 14 D Technology Bhavan Department of Science and Technology New Mehrauli Road-110016 Email : arvind.kumar71@nic.in
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List of documents required for online submission

The followings documents may be prepared by Indian PI and uploaded on the DST Portal- www.onlinedst.gov.in . The requisite format is listed below.

- a) Biodata (max size 512KB)
- b) Certificate from Investigator(s) (max size 512KB)
- c) Endorsement from the Head of Institution (on letter head) (max size 512KB)
- d) Conflict of Interest (max Size 512KB)
- e) Complete Proposal (1 pdf file and 1 Doc file) as indicated in online portal(max size 2 MB)

FORMAT for BRICS Call for Proposal (2017) for Multilateral Research and Development Project

1. Title/Name of the Project:
2. Major Thematic Area:
3. Duration of the Project:
4. Project partners' details:

India	Brazil	Russia	China	South Africa

5. Aims/objectives of the project:
6. State of the Art of knowledge, process, technology, product, services.
7. Relevance of the project proposal in BRICS and global context.
8. Harmony of project proposal with India 'National Missions program in related areas or inter-disciplinary areas.
9. Methodology
10. Deliverables:
11. Target via-a-vis Technological Benchmark:
12. Potential application areas:
13. Roles and responsibilities of each BRICS partnering institutions
14. Gain or Value addition from International collaboration in terms of technology and expertise expected from BRICS partners
15. Budget requirement from Indian side:

S.No.	Item	1 st Year	II nd Year	III rd Year	Total
1	Manpower (as per DST norms)				
3	Consumables				
3	Mobility India to BRICS				
4	Countries:				
	Mobility BRICS Countries to India:				
	Workshop/Terminal Review Meeting				
5	Overheads (as per DST norms)				
6	Total				

16. List of facilities being extended by parent institution(s) for the project implementation

- a. Infrastructural Facilities
- b. Equipment available with the Institute/ Group/ Department/ Other Institutes for the project

* End of the Application Format *

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

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)

Endorsement from the Head of Institution

(To be given on letter head)

Project Title :

1. Certified that the Institute welcomes participation of Dr _____ as the Principal Investigator and Dr _____ as the Principal Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project (with due information to DST).

2. Certified that the equipment and other basic facilities as enumerated at Point 16 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.

3. Institute assumes to undertake the financial and other management responsibilities of the project.

Date:

Name and Signature of Head of Institution

Place:

Certificate from the Investigator

Project Title:

1. I/ We agree to abide by the terms and conditions of the DST research grant.
2. I/ We did not submit the project proposal elsewhere for financial support.
3. I/ We have explored and ensured that equipment and basic facilities (enumerated at Point 16) 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 made available to other users.
5. I/We have enclosed the following documents uploaded online portal.
 - f) Biodata of all Lead PIs.
 - g) Certificate from Investigator(s)
 - h) Endorsement from the Head of Institution (on letter head)
 - i) Conflict of Interest
 - j) Complete Proposal.(1pdf file and 1Doc file)

Name of PI and Signature

Date:

Place: