

GENERAL INFORMATION AND FORMAT

FOR SUBMISSION OF PROPOSALS
FOR FINANCIAL ASSISTANCE

TECHNOLOGY ENABLING CENTRES (TEC)



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GOVERNMENT OF INDIA
MINISTRY OF SCIENCE & TECHNOLOGY
DEPARTMENT OF SCIENCE & TECHNOLOGY
TECHNOLOGY BHAVAN, NEW MEHRAULI ROAD,
NEW DELHI – 110 016

GENERAL INFORMATION

Over a period of time, a rapid expansion is observed in R&D output of the country in terms of publications, IP, research translation and technology commercialization etc. These outcomes are playing an important role in the country's economic development as evidenced by various rankings and performance matrices. Academia is the prime resource in any country for generating new knowledge and converting it into wealth. The effective institutional mechanisms are largely missing in academia to translate R&D output into technological wealth which has become very pertinent in the current scenario.

TDT Division has been implementing Technology related programmes since inception of DST. The success in terms of indigenous technology development has been satisfactory but the contribution from University system can be optimized. We have deliberated many a times on institutionalizing industry academia interaction, wherein enabling ecosystem has always emerged as point of concern.

The objective of TEC will be to create an Ecosystem for Technology Development in the Universities and provide a platform to network researchers with other institutes, National laboratories and industry. The focus of Centres will be on providing an enabling eco system, process and support system.

WHO CAN SUBMIT TEC PROPOSALS

The TEC Proposal could be submitted for financial support by Universities fulfilling the required conditions.

Financial support is provided only for temporary staff salaries, domestic travel and other miscellaneous items. No support is provided towards basic infrastructure and building.

OBJECTIVES OF TEC

The objective of TEC will be to create an Ecosystem for Technology Development in the Universities and provide a platform to network researchers with other institutes, National laboratories and industry. The focus of Centres will be on providing an enabling eco system, process and support system.

ACTIVITIES PROPOSED FOR TEC

The activities envisaged may be:

- Mining of Technologies being developed at various Labs in University;
- Assessment of technologies requirement of MSMEs in and around.
- Evaluating maturity of the identified Technologies (Products/Process or both) for further development;
- To carry out the Market Study/Assessment of the Technologies for their Market Potential;
- To recommend the Pilot stage development & co-development of the

- Technologies with established Institutions/Industries to make the Technology as Market ready product to DST
- TEC will serve the Industry by preparing reports and assisting in Research and Development in areas of dense Industry Clusters
- Networking with various Technology Development Institutions & Labs for refining of the technologies;
- Periodic Workshops/Seminars in Collaboration with Industries;
- To bring out Information' updates on the Technologies available in different areas;
- To bring out TEC Newsletter & Bulletin on Quarterly basis

DURATION AND EXTENT OF SUPPORT

The Centres will be supported in a time-bound manner normally for duration of 5 years depending upon the annual performance and the funding support will be up to a maximum extent of Rs. 1 crore per year.

MONITORING OF THE TEC

The function of TEC will be monitored regularly through Progress Reports, Financial Statements and Committee of Experts in Group review meetings and onsite as well.

PROCEDURE FOR SUBMISSION OF PROPOSALS FOR TEC

Three (3)hard copies of the TEC proposal and a soft copy should be submitted in the enclosed format. Please ensure that following documents have been completed and attached in original with one copy of the proposal.

- i. Certificate from the investigator (given on page 1 of the format); and
- ii. Endorsement from Head of the institution on Letter Head (given on page 2 of the enclosed format).

These documents may not be attached with other 3 copies of the proposal. Application received without above documents/with incomplete information will not be entertained.

The proposal for establishment of TEC may be sent to:

**The Adviser & Head
Technology Development and Transfer Division
Department of Science & Technology
Technology Bhavan, New Mehrauli Road
NEW DELHI – 110016**

GENERAL TERMS AND CONDITIONS FOR THE GRANT

1. The Institution where TEC will be established, will assume financial and other administrative responsibilities.
2. International travel is normally not permissible under the TEC.
3. The manpower recruited for the TEC should be paid as per the rules of the institute and guidelines of the Government of India. The posts which are not covered under the guidelines but permissible under projects at host institute are also permitted.
The temporary staff employed for the TEC by the organization is not treated as employees of Government of India and the deployment of such staff at the time of termination of the TEC will not be the concern / responsibility of the Government of India.
4. All the assets including office equipment acquired from the grant will be the property of Government of India and should not be disposed of, or utilized for purposes other than those for which the grant has been sanctioned, without the prior sanction of the Department of Science & Technology.
5. The Coordinators/ organization will be required to furnish progress reports every six months on the progress made on all aspect of the TECs including expenditure incurred on various approved items during the period.
6. The Comptroller and Auditor General will have the right to access to the books and accounts of the organization for Grants received from the Government.
7. The organization would maintain separate account for the TEC. The grant should be kept in an **INTEREST EARNING BANK ACCOUNT** and the interest earned should be reported to the Department of Science & Technology. The interest thus earned will not be adjusted towards the subsequent releases of the Grant and the interest amount should be refunded/deposited in the Consolidated Fund of India at the final settlement of the Grant.
8. Grant can be terminated by DST at any stage if it is convinced that the Grant has not been properly utilized or appropriate progress is not being made.
9. The Coordinators / organization will prepare all the documents that would be required for the transfer of know-how to the production agency/agencies and submit them to DST as and when required. The organization will be responsible to transfer the know-how developed to the production agency/agencies and supply all the needed information to the production agency/agencies as and when required.

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)

CERTIFICATE FROM THE COORDINATOR(S)

TEC Title:

1. I/We agree to abide by the terms and conditions of the Grant.
2. I/We did not submit the same proposal elsewhere for financial support.
3. I/We have explored and ensured that basic facilities (enumerated in the proposal) will actually be available as and when required for the purpose of the TEC.
4. I/We shall not request financial support under this TEC, for procurement of these items.
5. I/We undertake that space time on permanent equipment (listed in the proposal) will be made available to other users.
6. I/We have enclosed the following materials :

<u>Items</u>	<u>Number of copies</u>
a) Endorsement from the Head of Institution. (On letter head)	One
b) (This) Certificate from Investigator(s)	One (In original attached with one copy of the project proposal)
c) Copies of the proposal in DST format	3

Name and signature of Coordinator

Date

Place

ENDORSEMENT FROM THE REGISTRAR OF THE UNIVERSITY

(To be given on Letter Head)

1. Certified that the University nominates the participation of Dr./Shri/Smt/ as the Coordinator and Dr./Shri/Smt.....as the other Coordinator (s) for the TEC and assumes the responsibility of the proper functioning of Centres.
2. Certified that the basic facilities as enumerated in Section II – Part B and other administrative facilities as per terms and conditions of the grant, will be extended to the Centre throughout the complete duration.

Name and signature of the
Head of the Institution

Date:
Place:

Format for TEC

- 1 Thematic Area (If any):**

- 2 Type of University/ Year of establishment**
Central Government / State Government /Govt. aided /Private unaided
(UGC/AICTE approved)

- 3 Name and full address of the Vice-Chancellor/Director/Registrar**
(with Telephone No. of Office and Residence, Telex, Fax, email etc.)

- 4 Coordinator: Name and designation**
(Including Contact No. (Mobile and Office), Email ID etc.)

- 5 Co- Coordinator:**
(Including Contact No. (Mobile and Office), Email ID etc.)

- 6 Host Institution Information-General**
 - I. Number and names of academic departments with number of associated faculty in the department.:

 - II. Total student strength (separately for UG/PG/Doctorate courses)

 - III. Total number of teaching and research faculty with PhD qualification.

- 7 Available Strength in Host Institution (Detailed Information):**
 - a. Participating Industries
 - b. MoU or MoA with industry/clusters/associations
 - c. Patent awareness (Centre/Cell)
 - d. Availability of proof of concepts
 - e. Ready prototypes
 - f. IP holding
 - g. Incubator activity
 - h. Formal Collaborations with International/National Labs/Universities
 - i. Existing Centres of Excellence
 - j. Awards/Recognition
 - k. Any other technology development related activity

8. **Objectives:**
9. **Specific activities to be undertaken in the five years' period**
10. **Deliverables with Target milestones:**
(Monitorable annual targets)
11. **Proposed monitoring / reporting mechanism for the TEC**
12. **Overall business environment of the location of the applicant TEC and ecosystem in the region (500 words)**

13. Budget Details:

S.No.	Items	Budget (in Lakhs)					Total
		1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	
	NON-RECURRING						
1.	Furnishing of space for TEC excluding the cost of land & building (Provide details as Annexure)						
	Office equipment including state-of-the Art communication network						
	RECURRING						
2.	Salaries/ Wages Manpower						
3.	Other Administrative Expenses including consumables, printing, publications, books, journals, etc.						
4.	Travel						
5.	Networking and Training Programmes						
6.	Contingencies						
7.	Overhead Expenses*						
	Total						

* Budget to be submitted along with the justification of each item and a list indicating cost along with the quotations for the office equipments under non-recurring expenditure on a separate sheet.

** Budget break-up of Recurring Expenditure- manpower, training programmes and Miscellaneous & contingencies along with the justification to be given on a separate sheet.

14. Resource contribution by Host Institution

- a. Manpower, facilities and infrastructure already available to the team for establishing the Centre.
- b. Additional manpower available/to be hired (posts available or not)/to be absorbed after completing the duration of the TEC.

- 15. Details about the partnering institutions in the TEC**
(Submit letters of institutional support stating commitments of the partnering institutions)
- 16. Details about sharing of manpower/ facilities and other stakes by the partners**
- 17. List of ongoing/completed projects**
(Received from DST and other agencies along with cost and list of major equipment/infrastructure)
- 18. Expected Outcomes:** Indicate expected outcomes, likely impact and potential benefits both nationally and internationally as appropriate for the various stakeholders like industry, university, region, country etc.
- 19. Any other relevant information:**
- 20. BIODATA OF INVESTIGATORS:**
- Name
 - Date of Birth
 - Academic qualifications
 - Areas of expertise
 - Experience

Sr. No.	Position held (Designation)	Place of work	Duration	Areas of work

- Awards received, if any
- Technologies Developed/Demonstrated/Transferred**
- Publications (Nos.)
 - Books
 - Research papers
 - Patents
- List of publications (Paper published during last 10 years)
- List of project completed/ongoing indicating briefly title, sponsoring agency, duration and outcome of project.
- Coordinator in existing Centres**