

# **Guidelines for Implementing Research Projects**

**Under**

## **WISE Post-Doctoral Fellowship (WISE - PDF)**



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

# INTRODUCTION

This document provides WISE Post-Doctoral Fellowship (WISE-PDF) guidelines for implementation of project proposals supported under 'Women in Science and Engineering-KIRAN (WISE-KIRAN)' Division, Department of Science and Technology (DST), Government of India.

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.

For further details, please contact the concerned officials dealing with the programme.

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

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## GUIDELINES TO APPLY IN WISE-PDF

The "**WISE Post-Doctoral Fellowship (WISE-PDF)**" of the Department of Science and Technology aims to provide opportunity to carry out research in basic and applied sciences to women scientists and technologists between the age group of 27-60 years who want to continue the research as bench-level scientists.

**Scientific Disciplines:** (1) Physical & Mathematical Sciences [PM]; (2) Chemical Sciences [CS]; (3) Life Sciences [LS]; (4) Earth & Atmospheric Sciences [EA]; (5) Engineering & Technology [ET].

### **Eligibility:**

1. **Employment:** Candidates in regular employment are not eligible for WISE-PDF. However, women scientists who are temporarily employed in research or academics may apply in the scheme but they have to leave their earlier assignment if WISE-PDF project is approved.

The position of research staff in any project, Post-Doctoral Fellow, Research Associate, etc. will be considered as temporary assignment.

2. **Age:** The minimum age to apply is 27 years and maximum is 60 years. Women scientists, less than 27 years of age are NOT eligible.
3. **Educational Qualification:** Women Scientists having Ph.D. in Basic/ Applied Science or equivalent degree like MD, MS, MDS, etc. are eligible for WISE-PDF.

**Financial Support:** The Programme provides fellowship of the applicant @Rs. 55,000/- per month, Research Grant of Rs. 2.0 Lakh per year and cost of small equipment (up to a maximum of Rs. 3.0 Lakh) along with Institutional overhead charges and House Rent Allowances as per DST norms.

**Project Duration:** 3 years (maximum)

**When to apply:** The call for submission of new proposal under WISE-PDF will remain open throughout the year and one can apply after attaining the age of 27 years as on the date of application.

**Where to apply:** The proposals should be submitted at DST-WISE portal "<https://online-wosa.gov.in/>". The portal is open throughout the year.

## GENERAL GUIDELINES AND INSTRUCTIONS FOR PROJECT IMPLEMENTATION

### A. Sanction Order:

- i) Once the project is technically approved, a formal sanction order is issued as per the recommendations of the Subject Expert Committee (SEC) and on the basis of latest quotation(s) of approved equipment. **The first sanction order provides the detailed breakup of funds allocated under non-recurring grant head like Equipment and recurring grant heads like Fellowship, Research Grant and Overhead.**
- ii) **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 3 years and this is specified in the first sanction order. However, the duration may be less as per the recommendation of the SEC.
- 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 & Scientist Mentor:

- i) The Principal Investigator (PI) will be primarily responsible for the implementation of the project. The project team consists of the PI and the Scientist Mentor as per the sanction order. It is necessary to ensure that the project is carried out by the project team in a cohesive manner.
- ii) Husband or close relatives cannot be mentor of the project.
- iii) 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.
- iv) PI has to report to the duty to the Scientist Mentor as per duty hours of host institute.
- v) 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 30 days. 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](https://dst.gov.in/sites/default/files/SSR%20Guidelines%202022%20Book_0.pdf)

- vi) 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.
- vii) PI will maintain logbook/register for all chemicals, glassware, equipment and travel details.
- viii) Every progress report has to be certified by the Scientist mentor.
- ix) Principal Investigator (PI) should acknowledge "WISE-PDF 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 WISE Post-Doctoral Fellowship programme to carry out this work".

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

- x) The Fellowship is scientist – specific and cannot be transferred.
- xi) 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.***
- xii) The fellowship amount is taxable.

#### **D. 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) 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 and consent letter from the new mentor.
- iv) 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.
- v) The PI as well as the implementing institution has the responsibility of informing this Department about any change in the status of the PI/Scientist Mentor including relieving them on short term deputation for a continuous period of 3 months or more.
- vi) The implementing Institute should provide full infrastructural facilities such as accommodation, water, electricity, communication facilities etc. for smooth implementation of the project.

- vii) 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.

**E. 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 e.g. casual leave, maternity leave etc. 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.

**F. Change of Host Institution:**

- i) The project can be transferred only once in whole duration of project. However, the project transfer is not allowed in first six months and in last year of the project.
- ii) Project transfer is not encouraged, within same city and also due to change of mentor's affiliation
- iii) 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.

**G. Mentor Change:**

- i) The change of mentor is not encouraged as it has several administrative issues. However, in certain conditions e.g. superannuation, change in institution, etc. the request of change of scientist-mentor can be placed to DST with NOC of present mentor and acceptance of new mentor for its final permission. In any case, mentor cannot be changed without DST's approval.

**H. 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.

## I. Release of grants in yearly installment and financial management:

- i) After technical approval from the SEC, Approval Letter will be issued. The PI has to submit relevant documents like savings bank account details of the HI, HRA declaration, mentor details, 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) The first sanction order indicates the budgetary allocation for the duration of the project under various heads like Equipment, Fellowship, Research Grant, Overhead, etc. The first installment consists of the entire grant for the 'Equipment' and recurring grant for the first year of the project.
- iii) The Equipment sanctioned in the project should be procured at the earliest to avoid any cost escalation and should not exceed more than two financial years. The equipment cannot be procured in third financial year of the project. The PI and the implementing Institute should complete all formalities in advance for placing the order.
- iv) Goods (Consumable/Equipment) available in GeM portal are to be procured mandatorily online through GeM only as per the provisions of Rule 149 of GFR.
- v) 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.
- vi) Funds flow shall take place only through the Central Nodal Agency (CNA), for which a Zero-Balance Subsidiary Account has to be opened at the Institute level.
- vii) Diversion of funds from non-recurring head i.e. Equipment to recurring head like Fellowship, Research Grant, etc. and vice versa is NOT allowed. However, reallocation/ re-appropriation of recurring grants under different heads require prior approval of this Department.
- viii) 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 1<sup>st</sup> 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 online at WISE portal along with a soft copy through email to the programme officer. **There is no need to submit Hard Copy of the documents.**
- ix) 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 12.01.2022, then the first statement of account and*

*utilization certificate will be for the period 12.01.2022 to 31.03.2022, the next statement will be for the period 01.04.2022 to 31.03.2023 and so on).*

- x) 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.
- xi) For permanent, semi-permanent or infrastructural assets acquired solely from the project grants, an audited record in the form of a register in the prescribed format shall be maintained by the Institute. The Institute is required to send to this Department a list of assets acquired from the grant.
- xii) The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.
- xiii) 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.
- xiv) 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.
- xv) **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) Equipment retention letter, if any.
  - e) 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) The Grantee Institute must ensure other provisions of GFR-2017 and guidelines/ amendments issued from Govt. of India from time to time.



## **J. 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 01.10.2022 the first Annual Progress Report shall be for the period 01.10.2022 to 30.09.2023, the next will be from 01.10.2023 to 30.09.2024 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.

## **K. 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. However, where ever the expected earnings are above Rs 10 lakhs, the proportion of sharing can be 40% for the institution, 40% for this Department and 20% to the generator of 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. Guidelines/ Instructions for Technology Transfer and Intellectual Property Rights:**

With a view to encourage the institutions to file patent applications on their innovations, motivate them to transfer their technologies for commercialization, and to facilitate them to reward their inventors, the following instructions are issued.

- I. In these instructions:**
- a) “Institution” means any technical, scientific or academic establishment where research work is carried out through funding by the Central/ State Government.
  - b) “Intellectual Property Rights” include patents, registered designs, copyrights and layout design of integrated circuits.
  - c) “Inventor” means an employee of the Institution whose duties involve carrying out scientific or technical research.
- II. Scope:** These instructions apply to those institutions receiving funds for research projects from the Department of Science & Technology.
- III. Inventions by Institutions:** Institutions shall be encouraged to seek protection of Intellectual Property Rights (IPR) to the results of research through R&D projects. While the patent may be taken in the name(s) of inventor(s), the institution shall ensure that the patent is assigned to it. The institution shall get its name entered in the Register of Patents as the proprietor of the patent. The Institution shall take necessary steps for commercial exploitation of the patent on exclusive/ non- exclusive basis. The institution is permitted to retain the benefits and earnings arising out of the IPR. However, the institution may determine the share of the inventor(s) and other persons from such actual earnings. Such share(s) shall be limited to 1/3<sup>rd</sup> of the actual earnings.
- IV. Inventions by Institutions and Industrial concerns:** IPR generated through joint research by institution(s) and industrial concern(s) through joint efforts can be owned jointly by them as may be mutually agreed to by them through a written agreement. The Institution and Industrial concern may transfer the technology to a third party for commercialization on exclusive/ non-exclusive basis. The third party, exclusively licensed to market the innovation in India, must manufacture the product in India. The joint owners may share the benefits and earnings arising out of commercial exploitation of the IPR. The institution may determine the share of the inventor(s) and other persons from such actual earnings. Such share(s) shall not exceed 1/3<sup>rd</sup> of the actual earnings.
- V. Patent Facilitating Fund:** The Institution shall set apart not less than 25% of such earnings for crediting into a fund called “**Patent Facilitating Fund**”. This Fund shall be utilized by the institution for updating the innovation, for filing new patent applications, protecting their rights against infringements, for creating awareness and building competency on IPR and related issues.
- VI. Information:** The institutions shall submit information relating to the details of the patent obtained, the benefits and earnings arising out of IPR and the turnover of the products periodically to the Department/ Ministry which has provided funds.
- VII. Royalty-free license:** The Government shall have a royalty-free license for the use of the Intellectual Property for the purposes of the Government of India.
- VIII. Review:** These instructions shall be reviewed by the Central Government after a period of five years.

**IX.** The instructions are issued with the concurrence of the Ministry of Finance, Department of Expenditure vide their OM No 33(5) PF-II 99, dated 22<sup>nd</sup> February, 2000.

**X.** 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.***

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