

## Instructions for applicants

### Applicants are advised to...

1. thoroughly review the previously sanctioned research projects (available on GSBTM website) to avoid duplication of earlier funded work and reduce the chances of rejection.
2. ensure prudent use of Genomics, Transcriptomics, Metabolomics and Proteomics—apply these tools only when scientifically necessary and justified within the project scope.
3. propose projects that genuinely fall within the biotechnology domain and should not modify or reframe their project solely for the purpose of obtaining a GSBTM grant.
4. note that the budget presented before the TAC will be treated as final and no changes or revisions in budget will be accepted thereafter under any circumstances.
5. submit proposals, including the budget sheet, undertaking, investigator's documents, and CVs, to the following email ids: [jdrdbtm@gujarat.gov.in](mailto:jdrdbtm@gujarat.gov.in); [mnbtm1@gujarat.gov.in](mailto:mnbtm1@gujarat.gov.in); [mnbtm6@gujarat.gov.in](mailto:mnbtm6@gujarat.gov.in); [dymnbtm4@gujarat.gov.in](mailto:dymnbtm4@gujarat.gov.in); [dymnbtm3@gujarat.gov.in](mailto:dymnbtm3@gujarat.gov.in)

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## Research Support Scheme Guidelines

### Background

The Research Support Scheme was initiated in the year 2006, with an objective to develop the research capabilities of the academicians of the state and building a platform for them to be able to fetch national funding. The scheme has disbursed a support of approximately INR 145 Cr over two decades. The aim of the scheme is to support research on the problems relevant to the State and their solutions through biotechnology interventions, leading to product, process or prototype development. The research carried out by the researchers of the State have resulted into 600 research publications and 14 patent applications in the field of healthcare diagnostics, therapeutics, animal diagnostics, adulteration detection in ayurvedic medicines, waste management and biopolymer synthesis.

## **Objectives**

1. To promote research amongst the academic and research fraternity of the state.
2. To provide initiation support to the researchers, to be able to dove tail future research work with national funding agencies.

## **Eligibility of the Applicant**

1. The investigator should have Ph.D./M.D./M.S./M.B.B.S./B.D.S./B.E/B.Tech/M.E/M.Tech degree or equivalent from a recognized university. The B.E., B.Tech applicants should have minimum 5 years of research experience and M.E. and M.Tech applicants should have minimum 3 years of research experience.
2. Principal Investigator should be a regular/contractual employee of the eligible institution/ organization. In case of contractual employee, the contract period left should not be less than 3 years, on the date of receipt of the proposal. Also, the host institute shall ensure the stability of the PI till the completion of project tenure.
3. Research Fellows will not be eligible to submit proposals as investigators or co-investigators.
4. One project per investigator per year as a Principal Investigator will be considered
5. One project per investigator per year as a Co-Principal Investigator will be considered
6. Any PI leading more than 8 projects will not qualify for funding under this scheme
7. It will be the obligation of Principal Investigator to obtain all necessary permissions/clearance including ethical clearance as required under different rules, regulations, acts of the State Government/ Government of India. An undertaking to the same effect must be provided by the PI. GSBTM shall not be in any way responsible for the same.
8. Format of proposal for reference could be downloaded from <https://btm.gujarat.gov.in/images/pdf/RSS-online-project-submission-formats.docx>

## **Eligibility of the Organization**

1. The scheme is open for colleges, universities and research organization running on “Not-for-profit” basis.
2. Deemed universities or self-finance institutions will also be eligible for seeking support under this scheme, if they produce 2f & 12b certificate from UGC.
3. Research Institutions running on “Not-for-profit” basis and having Certificate of Registration with DSIR SIRO will be eligible for financial support.
4. Public sector institutions established by the State Government or the central government, in the state, are exempted from providing such certificates.

## Process of Project Application

1. Project should be submitted for the maximum period of three years.
2. The projects should be milestone linked.
3. All applications will be accepted on the online portal or vide email (*in case of technical error on portal*).
4. Format of proposal for reference could be downloaded from <https://btm.gujarat.gov.in/images/pdf/RSS-online-project-submission-formats.docx>
5. Call for proposals will be released quarterly, and the proposals will be taken up for processing by the Internal Scrutiny Committee (ISC).
6. The proposals recommended by ISC will be presented by the PI to Technical Advisory Committee (TAC) for final scrutiny.
7. Final selection recommendation of the proposals would be made by TAC.
8. The proposals recommended by TAC will be approved by Mission Director and grant for the approved projects will be released.
9. Half yearly budget expenditure report will have to be submitted by the PI to GSBTM.
10. Annual progress review will be undertaken by the Project Monitoring and Review Committee (PMRC).
11. Subsequent grant release would depend on the work progress and milestone achievements. The release of next installment of grant will be approved, subject to the presentation made by PI, and recommendation by the reviewing committee.
12. Projects recommended by PMRC will be approved by Mission Director and grant for the approved projects will be released.
13. Project completion report Utilization Certificate has to be submitted to GSBTM within three months of completion of project tenure along with photographs, publications, and process / product / prototype documentation to GSBTM.
14. The Utilization Certificate has to be duly signed by the Chartered Accountant and/or Accounts Officer of the institution, and also duly attested by Head of Department.
15. The final 20% of the grant will be released after review of the final project report, acceptance by the PMRC for the same and UTC submission.
16. A project completion presentation will have to be made for successful project completion to PMRC and a project completion letter will be issued to the PIs and Co-PIs after the successful presentation and project closure.
17. Any new project submission by the PI will not be considered for processing if the UTC for the previous completed project is not received at the time of the new project submission.
18. Patents will have to be duly communicated to GSBTM before the patents are filed. The publications should be communicated to GSBTM after acceptance of the paper.
19. All investigators and host institutions have to give undertaking for reporting the research outcomes from their GSBTM-funded research, while submission of the research proposal. Both publications and IP granted (if commercialized, the mechanism of tech transfer) be mandatorily reported to GSBTM.

20. All investigators and host institutions have to give undertaking for acknowledging the support of GSBTM in their publications, patents and products, while submission of the research proposal.

### **Encouraging National Collaborations**

1. The Principal Investigators (PI) are also encouraged to collaborate with various premier National institutions / Universities including DBT institutes, IITs, TIFR, CSIR Labs, AIIMS, NITs, ICAR, ICMR Labs, Center of Excellences, Institutes of National Importance, Autonomous institutes of Govt, etc. situated outside the state for technical enhancement in solving state relevant problems.
2. Budget up to 30% of the total grant may be allocated to the national collaborating institution, while the remaining 70% will be allotted to the PI from the state of Gujarat. The national collaborating institutions will receive funding only for recurring expenses, and not instrumentation.

### **Intellectual Property Rights Sharing**

It is important for Government to know the outcomes of its public-funded research. This will encourage Government's enhanced participation in public research and also to leverage evidence for future policy initiatives and suitable reforms. Accordingly, following to be adopted:

1. All investigators and host institutions have to give undertaking for reporting the research outcomes from their GSBTM-funded research, while submission of the research proposal. Both publications and IP granted (if commercialized, the mechanism of tech transfer) be mandatorily reported to GSBTM.
2. All investigators and host institutions have to give undertaking for acknowledging the support of GSBTM in their publications, patents and products, while submission of the research proposal.
3. There are two major mechanisms for transferring of IP, i.e. Exclusive and Non-Exclusive. The Principal Investigator(s) and Co-PI(s) will have to mutually agree on the licensing mechanism and cost of the license, based on the IP regulations of their respective institutions, and inform GSBTM, with a justification on the type of mechanism. In cases where GSBTM feels that the mechanism of licensing can cause damage to the larger public interest or affect the affordability of the product, process or prototype, GSBTM will intervene and resolve the matter on mutual discussion.
4. In case of collaborative research between state and out-state institutions, they may enter into IP sharing agreement mutually agreeable amongst them.
5. The IP rights of the innovation/research would be held by the investigating institution, and the means and modes of IP transfer should be decided by the scientists based on their Institutional committees with external expert members. A suitable committee comprising of external experts, including from the scientific, legal, finance and other

relevant fields may advise the Director/Head of institute. The committee may review IP filing, granted status, as well their transfer or licensing.

### **General Terms and conditions**

1. The sanctioned amount should be utilized for the sanctioned project and respective heads only.
2. No administrative expenditure will be permitted from the sanctioned amount, other than the overhead charges.
3. Emoluments of the Research Fellows working in GSBTM supported projects:  
The revised emoluments as approved by 29<sup>th</sup> Executive Committee meeting dtd. 28/9/2021 are mentioned below. Revised emoluments will be applicable w.e.f. 01/10/2021 to the fellows appointed under the ongoing and to be appointed in new research projects funded by GSBTM.
4. Contingency and Travel expenditure should not be more than 3% of the project cost.
5. Overhead expenditure shall be 10% of recurring budget.
6. Gene Bank / Bio Bank data and Biomaterials should be deposited with GBRC.
3. In all the publications or presentations, the principal investigator shall acknowledge GSBTM, Department of Science and Technology, Government of Gujarat for financial assistance.
4. This office holds all rights for the scheme and in case of any discrepancy or dispute, decision of the Mission Director, GSBTM shall be final.
5. Equipment grants should not be more than 15% of the total budget and upto Rs. 15 Lakhs / Project whichever is lesser.
6. If the Principal Investigator (PI) of a project wants to leave the institution where the project is being carried out, they must inform the GSBTM (the funding body) immediately. The PI should work with GSBTM to appoint a new Principal Investigator (PI), to take over the project. This decision should be made with GSBTM's consultation before the PI leaves.
7. If the PI wants to move to a new institution, the Co-PI will be appointed as the new PI, after consultation with the PI. In cases where the Co-PI submits a written refusal to continue the research work as PI, the project can be transferred to the new institution with the PI, alongwith the instruments, chemicals and consumables purchased by the PI. The PI will have to ensure that the instruments are properly installed in the new institution of relocation. In cases where the project does not have a Co-PI, the project will be transferred to the PI in his/her new institution, alongwith the instruments, chemicals and consumables purchased by the PI. The PI will have to ensure that the instruments are properly installed in the new institution of relocation. The PI will have to provide documents to prove his/her eligibility to serve as a PI in the new institution, according to the GSBTM guidelines. However, this transfer can only happen if:

- a. Both the old and new institutions should provide NOC for the transfer.
  - b. The project's goals can still be achieved at the new institution.
  - c. The manpower engaged under the project can be carried over to the new institution, with due consent of the manpower.
8. In case the PI is not allowed by the new host institute to transfer the project, the older host institute will have to undertake the responsibility of completing the project. The host institute will have to provide an undertaking to the same effect, duly signed by the Head of the Department, at the time of project submission.
9. In case of death of a PI, the project will be automatically transferred to the Co-PI if Co-PI is available. In absence of Co-PI, host institute will have to undertake the responsibility of completing the project. The host institute will have to provide an undertaking to the same effect, duly signed by the Head of the Department, at the time of project submission.
10. Contingency grant can be utilized for conference registration fees, travel expenses (e.g., TA and DA), and accommodation costs for attending conferences to present research, publication costs, patent fee, specialized software, journals, printing/binding costs, expenses related to data collection, field work and other similar works.
11. International travel for paper presentation, collaboration etc. will not be separately supported under the scheme. However, the travel and contingency grant can be utilized towards any travel expenditure.

### **No-cost extension of Projects**

1. No-cost extension of sanctioned projects may be granted based on the recommendations of the Project Monitoring and Review Committee (PMRC), towards the end of final year/3<sup>rd</sup> year's performance presentation to PMRC. Subject to these recommendations, the Mission Director may approve the extension for a maximum period of one year.

### **Re-appropriation of funds**

1. Request for re-appropriation of funds between budget heads has to be submitted before due date of presentation to the PMRC of any year.
2. Re-appropriation of budget from manpower head to other heads will not be permitted any time. However, re-appropriation from other heads to manpower head shall be considered to sustain the manpower during the period of no-cost extension to achieve the projected goals.
3. The PIs are requested to plan the activities appropriately, like training of manpower, outsourcing of works, publication fee, patent fee, travel etc.

## **Regulatory Compliances**

1. Proactive disclosure of the regulatory compliances has to be done by the PI at the time of application submission.

## **Undertakings**

1. The PI and Co-PI will have to provide an undertaking of the total number of projects being handled by them and amongst them the number of projects funded by GSBTM. No PI or Co-PI can have more than 8 ongoing research projects, of which maximum 3 ongoing projects can be GSBTM funded projects. PIs or Co-PIs with 3 ongoing projects supported by GSBTM, cannot further apply for research support, till at least one of the three projects is completed.
2. The PI and Co-PI will have to provide an undertaking that all necessary permissions/clearance including ethical clearance as required by different rules, regulations, acts of the State Government/ Government of India have been taken or will be taken, as applicable. The final copy of the necessary permissions/clearances will have to be provided before the release of grants for the second year. If the same is not provided, the second year release of grant will be held up till such permissions/clearances are received, and communicated to GSBTM office.
3. The PI and Co-PI will have to provide an undertaking that they will inform GSBTM about the publications and patent(s) being submitted out of the research project.
4. In cases where the PI moves to a newer position in another institute where he/she is not allowed to continue the sanctioned research project and unavailability of a Co-PI, OR under the event of untimely demise of the PI and unavailability of a Co-PI, the host institute will have to undertake the responsibility of completing the project. The host institute will have to provide an undertaking to the same effect, duly signed by the Head of the Department, at the time of project submission.

## **Engaging Foreign Nationals as PI**

Foreign nationals (OCI, PIO) are eligible to submit research proposals in line with the approved eligibility criteria of SERB (Detailed guidelines are mentioned below) with a condition that grant is utilized in the State of Gujarat.

- a) Foreign National (Including PIO, OCI) working as regular employee in any of the publicly funded and recognized research and development laboratories/institutions in India are eligible to apply for funds from GSBTM as PIs in collaboration with an Indian Co-PI.
- b) PIs having foreign nationality should have sufficient residual service (about 4 years) to ensure completion of the project.

- c) An Indian Co-PI from the same Host Institute/Laboratory with adequate service to collaborate in successful implementation of the proposed project will be acceptable.
- d) Endorsement Certificate from the Head of the Organization/Director of the Host Institute/ Laboratory for clearances from Ministry of Home Affairs and Ministry of External Affairs of the Gol, will be facilitated by the Institute/Organization.
- e) Head of the Organization/Director of the Host Institute /Laboratory is responsible to maintain the security and sensitivity of the research findings emerging while implementing the project.
- f) All the approved grant-in-aid should be utilized in Gujarat and expenditure on foreign travel is not allowed.
- g) Funding body reserves the right to discontinue or close such project/s at any time without notice.
- h) All other terms and conditions of the scheme will be applicable to the applicant of this category.