

**NATIONAL INITIATIVE FOR DEVELOPING AND HARNESSING INNOVATIONS
(NIDHI)**

INCLUSIVE TBI (i-TBI)

**GUIDELINES
AND
PROFORMA FOR SUBMISSION OF PROPOSALS**



Government of India
Ministry of Science & Technology
Department of Science & Technology
National Science & Technology Entrepreneurship Development Board (NSTEDB)
Technology Bhawan, New Mehrauli Road New Delhi-110016

i-TBI (Inclusive TBI)

Intent:

With the goal of promoting innovation and entrepreneurship and aligning its program with national priorities, NSTEDB, DST has been a pioneer in supporting the innovation and entrepreneurship ecosystem in the country. Startups have played a key role in the growth of Indian economy. Studies have shown that inclusion remains a fundamental challenge for tech based startup ecosystems. It is also evident that the value creation by the ecosystem remains concentrated. DST through NSTEDB intends to support institutions in regions where innovation and startup incubation ecosystem is at nascent stages and 'Inclusive TBI' can play a vital role in normalizing resources and value creation across the country. Study reports by NITI Aayog, Startup India/Invest such as 'State Startup Ranking' and 'India Innovation Index Report' shall provide a helping hand in identifying and supporting i-TBI for geographical and social inclusion. One of the main intent behind establishing i-TBI is to support the country's vision of Atmanirbhar Bharat, by covering all the 5 I's - Intent, Inclusion, Investment, Infrastructure and Innovation and create an ecosystem for growth of tech startups.

About i-TBI(Inclusive TBI):

Inclusive TBI is a three years duration initiative supported by the Department of Science & Technology (DST) for educational institutions who are likely to foster innovation and entrepreneurship culture among the students, faculties, entrepreneurs, and nearby communities. The initiative aims to inculcate the spirit of Innovation & Entrepreneurship (I&E) amongst the students, innovators and entrepreneurs, encourage and support innovative ideas, start-up creation through incubation. It is expected that students, innovators and entrepreneurs will take up innovative ideas/projects and with mentoring support from the academic and startup ecosystem, try to build a startup around the innovative idea/project. The outcome of the i-TBI shall be converting ideas into startups. i-TBI (Inclusive TBI) would also create a culture of innovation & entrepreneurship in the Host Institution (HI) and nearby geographies. I-TBI will be equipped with grants-in-aid funding support to innovators to convert ideas to prototype and prototype to startups.

1. Objectives of the i-TBI

- (i) To motivate and encourage institutions primarily from the technical domain to create a culture of innovation driven entrepreneurship among academia including students and faculties.
- (ii) To focus on institutes specially in the regions which do not have the desired innovation and entrepreneurship ecosystem.
- (iii) To build a vibrant innovation ecosystem that leads to the creation of a startup culture in the nearby regions.
- (iv) To enable and build a network between academia, investors, mentors, industries and other institutions.
- (v) To provide grants-in-aid funding support to innovative ideas and convert them into prototypes and further to startups.

2. The salient features of i-TBI would be as follows –

- a. As per DST funding guidelines, DST will provide the necessary capital fund to establish the infrastructure of i-TBI. To this effect, DST will require resolution to be passed by

the governing board highest authority of the HI specifying that HI agrees to host i-TBI and provide between upto 10,000 sq ft (minimum 7,000 sqft) of built up space to host i-TBI in the campus. The space provided should be for incubation facility, prototyping laboratory, meeting rooms, recreational facilities etc. HI shall also agree to establish separate section 8 company to professionally manage the i-TBI and will execute a lease agreement between HI and new entity, to lease the space earmarked for the iTBI to new entity at no cost or at minimum rate for 10 years or beyond. DST expects that HI will continue to support and run the TBI after DST's core support is over. I-TBI will reserve 60% space for incubation.

- b. The grants-in-aid shall be transferred to the section 8 company formed for the i-TBI. In case, if there is a delay in formation of section 8 company because of administrative reasons, the grant initially can be released to HI, with a commitment to have a separate accounting system for the grant till the section 8 company is in place. But, the next installment shall be transferred only to the section 8 company created by the HI for iTBI in its new interest-bearing account.
- c. For an i-TBI, it is mandatory to have a professional team with a full time Head/CEO, and an incubation manager/ecosystem enabler (these two resources should not be faculties and should have experience in startups/startup ecosystems). Also the newly established entity must open a separate interest bearing bank account for proper accounting of the grant.
- d. The newly established section 8 entity must constitute a board with following composition:- i) Patent Expert/consultant, ii) Alumni Entrepreneurs, iii) Experts from nearby industry association, iv) Startup Ecosystem expert, v) Expert from Financial institution/investor/angel investor/nearby bank, vi) DST representative, and vii) Head of nearby existing Technology business incubator, viii) This board can be chaired by Head of the institute.
- e. Host Institute shall make available the existing laboratories/facilities of the Institute for the startup enterprises. In addition to these labs, FAB lab/makerspace, Design and dies lab must be established at the i-TBI for prototyping, DST will support to establish such labs at i-TBI.
- f. New equipment, if any, urgently required by the innovator or start-up may be purchased out of the plan budget. A list of such equipment with budgetary quotes should be provided along with the proposal.
- g. The total funding for i-TBI would be capped at Rs. 500 lakhs for 3 years. After 3 years i-TBI should aim to convert the facility into a full fledged incubator/technology business incubator and explore scaleup opportunities from different funding agencies such as AIM, MEITY, DBT, etc including DST for NIDHI TBI scheme. The institute and the iTBI shall aim to make this center self-sustainable. This shall be a key evaluation parameter for scaleup grant. The budget mentioned in the guidelines is the maximum limit of support from DST.
- h. The i-TBI should define deliverables at the beginning, which will be assessed and reviewed during the course of the project.
- i. The iTBI should be capable of accommodating at least 30 innovative ventures/ Startups. The center should develop capabilities for providing and efficiently monitoring grants to incubatees for prototypes development and startup operations.

- j. The grant can be used for equipping the i-TBI in a manner the startup enterprises can start operating on a plug-and-play mode.

3. General Guidelines and Terms & Conditions for i-TBI

- (i) The i-TBI should function as a separate legal entity.
- (ii) The Host Institute should support independent administrative and financial status to the i-TBI for ensuring effective and speedy implementation of the programmes and activities.
- (iii) I-TBI should have effective linkages with different Departments, centers and other facilities of the institution. It should network with other agencies and industry to bring out market relevant innovations and startups. Also, it has to be noted that physical presence of the startup while prototyping is highly desirable.
- (iv) The proposal should be accompanied by both forwarding letters by the Host Institute (HI) and endorsement from the Head of the Institution.
- (v) The release of grants after the first year and each subsequent year is subject to satisfactory performance of i-TBI. For this purpose the progress of activities and achievement of milestones is to be submitted by i-TBI to DST in the prescribed format.
- (vi) It is desirable to submit the signed guideline, along with a signed bond and MoU by the HI after the approval from NEAC (National Expert Advisory Committee on Innovation, Incubation and Technology Entrepreneurship) and before the release of funds.
- (vii) The HI/TBI shall ensure that goods (consumables/equipment) available in GeM portal are to be procured mandatorily online through GeM only
- (viii) The grantee organization will furnish to the Department of Science & Technology, financial year wise Utilization Certificate (UC) in the proforma prescribed as per GFR 2017 and audited statement of expenditure (SE) along with up-to-date progress report at the end of each financial year duly reflecting the interest earned / accrued on the grants received under the project. all interests and other earnings against released Grant shall be remitted to consolidated Fund of India (Through Non-Tax Receipt Portal (NTRP), i.e., www.bharatkosh.gov.in), immediately after finalisation of accounts, as it shall not be adjusted towards future release of Grant. A certificate to this effect shall have to be submitted along with a statement of Expenditure/ Utilisation Certificate for considering subsequent release of Grant/Closure of Project accounts.
- (ix) This is also subject to the condition of submission of the final statement of expenditure, utilization certificate and project completion report within one year from the scheduled date of completion of the project.
- (x) Host Institutions (HI)/ iTBI will be required to use the EAT (Expenditure, Advance and Transfer) module under PFMS (Public Financial Management System) and the next release will be made only after mapping and following EAT modules by the GI.
- (xi) The grantee organization will have to enter & upload the Utilization Certificate in the

PFMS portal besides sending through email scanned copy to nodal officer of NSTEDB secretariat. The subsequent/final instalment will be released only after confirmation of the acceptance of the UC by the Division and entry of previous Utilization Certificate in the PFMS.

(xii) In regard to retention of the equipment /assets by the Private bodies, a decision will be taken in accordance with the recommendations of the Committee constituted by this Department to formulate guidelines on this issue later. However, equipment must in any case remain under the charge of DST.

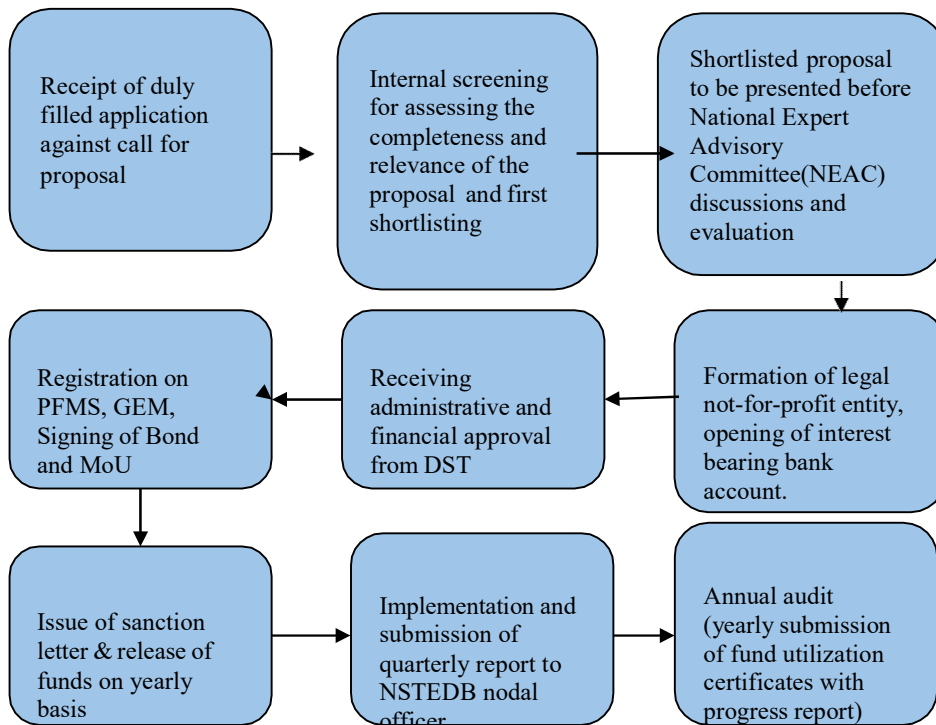
4. Submission of Proposal: Proposal in the prescribed proforma along with the necessary enclosures is to be submitted at department’s online portal <http://onlinedst.gov.in>

a. For communication following address may be used:-
 The Member Secretary,
 National Science & Technology Entrepreneurship Development Board,
 Department of Science & Technology, Technology Bhawan, New Mehrauli Road,
 New Delhi-110016.
 Program: Inclusive - Technology Business Incubator (i-TBI)
 E-mail: praveen.roy@nic.in

b. Enclosures to be submitted with the proposal by the institutions other than the Public Institutions
 1 Registration Certificate of the Host Institute
 2 Memorandum of Association and Article of Association of the Host Institute
 3 Audited Statement of Accounts for the last three years
 4 Annual Reports for the last three years

5. Evaluation

EVALUATION PROCESS



The following broad parameters may be used for evaluation of the proposals –

- a. Preparedness of Host Institute (HI) for hosting i-TBI.
- b. Past track record of HI in promoting startups and innovations, industrial tie-ups.
- c. Strength of Team proposing i-TBI.
- d. Approach and Methodology to be adopted, innovative content and pipeline of potential incubatees.
- e. Assessment of realization potential of projected milestones, co-funding and sustainability of i-TBI.

6. Implementation

- i. After in-principle approval of the Department of Science and Technology for supporting an i-TBI, the grant for i-TBI would be released only after ensuring that all prerequisites have been fulfilled.
- ii. The i-TBI will be administered by a Governing Body/ Board chaired by the Head of the Host Institution. The Governing Body of the i-TBI should meet at least every quarter to review progress of the i-TBI and provide policy guidelines for the operations of i-TBI. HI and i-TBI should ensure that the operations of i-TBI are in line with the sanctioned proposal and activities are tailored to attain projected milestones. The Governing Body should provide adequate autonomy and flexibility to the Head/CEO of the i-TBI for making speedy & transparent decisions.
- iii. i-TBI should be a specialized facility; hence for its proper day to day operation and management, competent manpower should be recruited. Each i-TBI would have a dedicated Head/CEO & an incubation manager/ecosystem enabler with domain knowledge and management expertise, working full time for i-TBI.
- iv. Host institution would constitute a selection committee with a DST nominee as a member for the selection of the Head/CEO. A suitable incentive mechanism (share of surplus, earning of i-TBI, equity stake, etc) should be evolved by the host institution for the Head/CEO and i-TBI team. HI shall be free to decide on the remuneration of the Head/CEO. The DST grant for the salary of the Head/CEO will be limited to Rs.1 lakh p.m. or actual whichever is lower. This limit of Rs.1 lakh p.m. is fixed in the first year and would get revised every year with a hike in salary of 10%.
- v. The i-TBI would evolve a transparent system for selection of incubatees. The incubatees should be admitted fulfilling the admission criteria. i-TBI should execute appropriate agreements with incubatees. The residency period and the exit policy may also be defined clearly in the agreement.
- vi. Structure of i-TBI: The i-TBI should have a capacity to incubate at least 30 ventures at a time. It should have common facilities, labs, 'Design, Dies & Development (3D)' rooms, meeting rooms, video conferencing facility, high bandwidth net/WIFI, co-working space, recreational facilities, etc. Emphasis should be put in creating proper visibility of the i-TBI through display boards in and around campus, and in social media. i-TBI should work on building its in-house capabilities in conducting Accelerator/Startup-Resonators programs, funding startups, creating a mentor pool etc.
- vii. Each i-TBI is required to have a web-site of its own with details of its incubatees and should update it on a regular basis (at least quarterly).

7. Monitoring

The continuation of support and annual funding to the i-TBI is entirely performance based and will be reviewed by the NSTEDB secretariat and Governing Board meetings of i-TBI. The performance will be monitored both in quantitative and qualitative manner during the meetings, online mode or physical visits. Dedicated efforts should be put in meeting the projected target milestones. As and when it is felt necessary, a team constituted by DST may be sent for monitoring the progress of the i-TBI. In case of significant shortfall in the progress, on the recommendation of NEAC, the support may be terminated mid-term. As an expected outcome, around 30 startups should be nurtured and supported by iTBI in the span of three years of operation.

8. Activity timelines of an i-TBI:

i-TBI (Assuming Seperate New Section 8 Entity is in place)												
Activities	Year 1				Year 2				Year 3			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
INCUBATION ESTABLISHMENT & INFRASTRUCTURE												
Incubation spaces@ i-TBI												
Meeting and Conference rooms												
Prototyping Infrastructure D&D Rooms (Dies & Designs, FAB lab),												
Website creation and regular updation												

8. Funding Pattern, Budgets with upper limit

The following upper limits of the expenditure have been suggested for incubators to be supported by DST

Item of Expenditure	Maximum Limits(Amount in Rs. Lakhs)	Contribution out of proposed budget by DST and HI in Public and Private institutes
A. Non-Recurring		% of the proposed budget:
Renovation/furnishing of space for i-TBI (Furniture / Test Benches / Installations; Incubation Cubicles and Spaces / Interaction centers, Office Equipment including state-of-the art communication network, Video Conferencing Facilities)	50	For Public institutions: 75% by DST 25% by HI For Private institutions:

excluding the cost of land & building,		50% by DST 50% by HI
D&D Rooms (Dies & Designs, FAB lab)/ Other need based equipment	100	For Public institutions *: 75% by DST 25% by HI For Private institutions: 50% by DST 50% by HI
Contingencies for non-recurring expenditure and other items	15	Public:100% by DST Private:100% by DST
TOTAL A	165	
B. Recurring	For 3 Years	
Manpower**(Core Management Team / Mentors and Tech Support Persons / Business Development Professionals)	100	
Travel	10	
Marketing, networking, publicity, portal and website	20	
Training cost such as - Online and offline - Training Programmes, Events, honorarium to mentors, etc	35	
Other Administrative Expenses including consumables, printing, publications, online publication and material books, journals, etc and other miscellaneous expense	20	
Total B	185	
C. Ignition Grant		
Ignition Grant - Grant to Startup	150	Maximum Rs. 50 Lakh per year (Minimum Rs. 2 lakh to Rs. 10 Lakh grant to startup)
Total A+B+C	500	

	Year 1	Year 2	Year 3
Funding pattern: Out of the total recurring expenditure incurred by the i-TBI against the approved amount, following mode of funding by DST would be followed on actual recurring expenditure.	100%	80%	70%

Budget is to be submitted along with the justification and a list indicating cost along with the quotations for regular and other need-based equipment, office equipment under non-recurring expenditure on a separate sheet and budget break-up of recurring expenditure-manpower, utility and maintenance, marketing promotion, training programmes on a separate sheet. The funding to be provided by HI could either be arranged by the institution's management or from industry, CSR funding, Alumni network etc. In some of the very deserving cases and based on the merit of the proposal, NEAC may recommend DST for waiver/reduced funding contribution by HI after taking into account all factors.

* The indicated % support from HI shall be preferred and encouraged.

**DST grant for manpower would be calculated on the basis of the following upper limits indicated in the Table 1 Suitable provisions can be made for honorarium and consultancy charges for mentors and experts.

S.No	Designation	Salary/ Month	Year1	Year2	Year3	Total
				Yearly Increase - 10%		
1	Head/CEO of i-TBI					
2	Incubation Manager					
3	Incubation Associate					

Funding Support max limit

- **Non-Recurring/Capital**

A. Non-Recurring/Capital • Renovation/Furnishing- Funding from HI can be by direct contribution or from other sources.

B. D&D Rooms (Dies & Designs, FAB lab)/ Other need based equipment - Efforts should be put for extended warranty for project duration. If required, a provision of annual maintenance of the equipment may be built in the annual recurring costs after the expiry of warranty period of the equipment.

- **Recurring**

Host institution would constitute a selection committee with DST nominee as a member for selection of the HEAD/CEO. A suitable incentive mechanism (share of surplus, equity stake, etc) should be evolved by the host institution for the HEAD/CEO and his/her team. Merit, competence, qualification and experience shall be considered to decide on the remuneration of the HEAD/CEO. The DST grant for the salary for the HEAD/CEO will be limited to Rs.1 lakh p.m. or actual whichever is lower. Salary should be commensurate with local needs/class of city. Any additional funds if required, would be met by the host institution.

- **Ignition Grant**

The ignition grant shall be for development of prototype/products. It should not be used for creation of movable property, creation of permanent facilities, repayment of loans, payment of rents, items of leisure etc.

Any deviations from the above norms can be taken up through specific recommendation by the NEAC.

APPLICATION FOR i-TBI

Template for
FORWARDING LETTER FROM THE HOST INSTITUTE (on the Letter Head of HI)

I hereby forward the proposal of i-Technology Business Incubator – “.....” to be established at

It is being ensured that space of ... sq.mt./sq ft and basic facilities will actually be available as and when required for the i-TBI activities.

There shall not be a request for additional financial support for procurement of these facilities and space. It is assured that the institute/organisation shall provide capital contribution of Rs. (excluding land and building) and amount of Rs.... under recurring as proposed in iTBI budget.

It is agreed to abide by the terms and conditions of the DST grant.

The following documents are enclosed/uploaded for consideration (Soft copy)

- (a) Endorsement from the Head of the Institution (on the Letter Head, as per Annexure I)
- (b) Proposal for the i-TBI duly signed by Head of Institution
- (c) Registration certificate (if any) of the i-TBI
- (d) Registration Certificate, Memorandum of Association of the Host Institute, Audited Balance Sheet and Annual Report of previous three years of the Host Institute.

Signatures of Head of Institution
Name & Designation (with seal)
Date
Place

APPLICATION FORM FOR i-TBI

Section 1: HOST INSTITUTE (HI) DETAILS

1. Name of HI	
2. HI is (College/University)	
3. Affiliated by	
4. Type of Institution (Central/State/Private/Institute of National Importance/Other)	
5. HI Year of Establishment	
6. Registered Address	
7. City	
8. State	
9. Pincode	
10.Total Number of academic departments	

11. Total student students enrolled(in the last academic year) as per AICTE/UGC

Diploma	
Undergraduate	
Postgraduate	
Doctorate and above	

12. Faculty strength

Total faculty strength	
Faculty strength with Phd.	
Faculty strength with industry work experience	
Faculty strength undergone FDP in Innovation and Entrepreneurship (I&E)	

13. Ranking/Band(Last 3 year, mention year)

Rank	Year 1	Year 2	Year 3
NIRF			
ARIIA			

14. Do you have IIC (Institute Innovation Council) established by the Ministry of Education, Innovation cell? If yes please provide a brief about the members and activities since inception of IIC.

Section 2: Details of Head of Institute

15. Full Name	
16. Current Designation	
17. Email Id	
18. Mobile Number, Phone Number(With STD Code)	
19. Brief Profile	

Section 3: Details of Identified Nodal Person for proposed iTBI

20. Full Name	
21. Current Designation	
22. Email Id	
23. Mobile Number, Phone Number(With STD Code)	
24. Brief Profile to be uploaded (not more than 1 page)	
25. Any experience in innovation & entrepreneurship, or activities related to I & E(Brief description).	

Section 4: HI Preparedness Check

26. Details of Events organised by HI on I&E (Last 3 year)

Total number of Events	
------------------------	--

Details of 5 impactful events in last 3 year						
S.No.	Year	Name	Location	Impact	Funded by	Amount

27. Details of infrastructure for I&E (Last 5 year)

Any dedicated infrastructures and facilities already in place or earmarked at the HI to support I&E - (Y/N)? If Yes, please provide details briefly	
Any empaneled external expert/agencies for I&E mentorship an IPR - (Y/N), If Y, please provide details briefly	

28. Details of generation of innovative ideas and recognition (Last 3 Year)

Number of awards won by the student and faculty on I&E at state/national/international level	
Details of the awards and awardees (Brief description)	

29. Details of best 5 supported startups, if any (Last 3 year)

Name of the Startup	Name and contact details of the founders	About Startup	Kind of support by HI

30. Details of IPR activities(Last 5 year)

Brief on IP policy(If any)				
Details of the Patent:				
Year	Mention Year	Number of Patent Filed	Number of Patent granted	Granted Patent number(separated by commas)
Year 1				
Year 2				
Year 3				
Year 4				
Year 5				

31. Mention 5 notable alumni with short introduction.

Alumni name and graduation year	Brief intro

32. Details about 5 impactful industry associations with HI:

Duration (From-To)	Industry Name and location	Brief about collaboration

33. Recipient of any other grant from the government (Central/State) ministry/organisation for events/training/initiatives related to I&E?
(Y/N)

If yes, please answer below:-

Name of the Program/Scheme	Agency Name(Central/State)	Grant currently active (Yes/No)	Total sanctioned amount(in Rs.), sanctioned date, duration of the grant.

Section 5: Additional Important Information

34. Name and location of the nearest incubator (Central, State govt. funded)	
35. Intent/reasons of HI for expressing the interest for this application, Why now?(Max 1500 words)	
36. Any additional information to be shared(Max 500 words)	

37. **Built- up area (in sq. ft.) to be provided for the i-TBI (Inclusive TBI).** Up to 10,000 sq ft. of space to be proposed (minimum space to be 7,000 sqft). (Enclose Layout and pictures of the proposed space).

Location of proposed iTBI:

Urban/Semi urban/rural :

S.No.	Description	Space Proposed (sq ft.)
a	Incubation Space (Cubicles)	
b	Conference Room	
c	Meeting Rooms	
d	Cafeteria	
e	Makerspace	
	Total	

38. Target milestones (should be projected based on most likely attainable targets)

	Target parameters	1st Year	2nd Year	3rd Year	Total
a.	No. of innovators/startups to be admitted				
b.	No. of ideas/startup to be funded from Ignition fund				
c.	No. of startups to be graduated				
d.	No. of IPs filed (Including patents, copyrights, trademarks, design patents, etc)				
e.	No. of events/workshops to be organised				

39. Please provide details about a 3 years business plan and incubation model along with supporting documents. To be evaluated based on the institution's strength, preparedness in hosting i-TBI, business ecosystem, i-TBI business plan, operating model, systems and processes and effective leadership.

Following factors would be considered:

- a. Reasons for the HI to promote i-TBI (500 words)
- b. Strength of the Institute in hosting i-TBI
- c. Technology focus area of the iTBI /any Industry domain focus
- d. Overall business environment of the location of the host institute and ecosystem in the region
- e. Assessment of entrepreneurial needs
- f. Any focus on beneficiary group – Women/Differently abled/minorities etc.
- g. Proposed need based equipment details and why it is required (If any),
- h. Notable achievements of existing incubate and graduated companies, if any.
- i. Sources of tapping new incubate entrepreneurs
- j. Financial model of the Incubator for operational sustainability of the i-TBI after three years as the DST support is available for i-TBI for first three years only.
- k. Plan of action of the proposed iTBI after 3 years of initial support from DST.

40. Please provide the budget in the below format along with supporting documents

Item of Expenditure	Year 1		Year 2		Year 3	
	DST	HI	DST	HI	DST	HI
Renovation/furnishing of space for i-TBI (Furniture / Test Benches / Installations; Incubation Cubicles and Spaces / Interaction centers, Office Equipment including state-of-the art communication network, Video Conferencing Facilities) excluding the cost of land & building,						

D&D Rooms (Dies & Designs, FAB lab)/ Other need based equipment						
Contingencies for non-recurring expenditure and other items						
TOTAL A						

	B. Recurring **	Year 1	Year 2	Year 3	Total
1	Manpower (Core Management Team / Mentors and Tech Support Persons / Business Development Professionals)				
2	Travel (domestic)				
3	Marketing, networking, publicity, portal and website				
4	Training cost such as - Online and offline - Training Programmes, Events, honorarium to mentors, etc				
5	Other Administrative Expenses including consumables, printing, publications, online publication and material etc and other miscellaneous expense				
i	Total B				
ii	% support by DST	100%	80%	70%	
iii	DST contribution (i x ii)				
iv	HI/iTBI contribution (i-iii)				

	C. Ignition Grant	Year 1	Year 2	Year 3	Total
1	Ignition Grant - Grant to Startup				
	Total project cost (A+B+C)				

* Budget to be submitted along with the justification of each item and a list indicating cost along with the quotations for the fab lab, D&D lab equipment or need based equipment, office equipment under non-recurring expenditure as an annexure.

** Budget break-up of Recurring Expenditure- manpower, travel, marketing promotion, training cost and other administrative expenses along with the justification to be given as an annexure.

41. **Means of revenue generation from iTBI activities** such as Rental, Technology commercialization, Other incubation services, Business consulting, IPR services, etc.

S. No.	Means of revenue generation	1st Year	2nd Year	3rd Year

42. Incubation Team (Breakup of proposed manpower):

S.No	Designation	Salary/ Month	Year1	Year2	Year3	Total
				Yearly Increase - 10% max.		
1	Head/CEO of i-TBI					
2	Incubation Manager					
3	Incubation Associate					

43. Means of financing

Means of Financing	Amount (In Lakhs)
Contribution of DST towards Non-Recurring grant	
Contribution of DST towards Recurring grant	
Contribution of HI towards Non-Recurring grant	
Revenue Generation from i-TBI activities/ HI Contribution	
Total Project Cost	

Signature of i-TBI Nodal person

Name & Designation

Date

Place

Signature of Head of Institution

Name & Designation (with seal)

Date

Place

Endorsement certificate (to be submitted on letter head)

CERTIFICATE ENDORSEMENT FROM THE HEAD OF THE HOST INSTITUTION

1. We have gone through and agree to abide by the Terms and Conditions of the DST grant for i-TBI.
2. We have not submitted, nor do we intend to submit this, or a similar project proposal, to any other agency for financial or other support. In case we submit a proposal to the other agency and get the support, we will keep DST informed.
3. We undertake to submit progress reports, statement(s) of accounts, utilization certificates as required.
4. Certified that Dr/Shri/Smt..... is the i-TBI Co-ordinator of the proposed i-TBI. The i-TBI Coordinator will assume the responsibility of implementation of the project.
5. Certified that the hardware, other basic facilities and such other administrative support required for successful running of i-TBI will be extended to the i-TBI by Host Institute, as per terms and conditions of the grant.
6. Our institution/agency assures to undertake the complete financial and other management responsibilities of the i-TBI, and successful running of i-TBI beyond three years of sanction of i-TBI by DST. We are aware that the DST grant is only for three years.
7. Certified that the minimum period of lease to provide land and building to NIDHI-TBI is 10 years and we will continue to provide support beyond the initial lease period.
8. If any of the above statements are found to be incorrect by DST at any point of time, the organization takes the responsibility to refund the entire amount released by DST.

**Signatures of Head of Institution
Name & Designation (with seal)
Date
Place**

Conflict of Interest

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.)
- c)

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)