

Ministry of Science & Technology
Department of Science & Technology

“Sophisticated Analytical and Technical Help Institutes (SATHI) Program – 2021”

Proposals are invited through online for consideration of support under the Scheme “Sophisticated Analytical and Technical Help Institutes (SATHI)” of the Department of Science & Technology (DST), Government of India. The Scheme is largely aiming at: (a) procurement and maintenance of high-end equipment and infrastructure facility necessary for research/ testing/ manufacturing/ fabrication and to cater service by understanding the demands of researchers, scientists, students, start-ups, manufacturing units, industries and R&D Labs, (b) to provide access and sharing of scientific equipment and infrastructure, (c) Capacity Building of operators and technicians for efficient operations and interpretations of results/ outcome, (d) Monitoring of usage of expensive scientific research infrastructure for maximum utilization of Infrastructure management with efficient operations and to be a part of ‘Atmanirbhar Bharat Abhiyan’ (Self Reliant India Campaign).

Inclusive purpose of SATHI is generation/ creation of knowledge adopting best practices of such facility, expansion of different knowledge chain that starts from R&D to applied science then to translational research side and how to take forward to next stage to gain better societal outreach. Predominantly it would emphasize on testing, designing, prototyping, proof-of concept, manufacturing, insertion of business planner, start-ups, MSME, related engineering industries and their back & forth connectivity from R&D to industry and then to boost indigenous presence comprising all level together at local and global scale. Noticeably, this would encourage & ensure to create a National Network of Laboratories and testing facilities, tightly linked to global standards. Hence higher efficacy through (T2C2) focused Viz: Technology, Testing, Certification & Compliance, approach through SATHI will boost-up the manufacturing clusters / industries.

Nature of Support: The Scheme will provide optimal national level infrastructure facilities. Prominently it will provide a shared, professionally managed services and strong Science and Technology infrastructure / facilities, with efficiency, accessibility and transparency of highest order under one roof to service the demands of faculty, researchers, scientist and students of Host and User institutes / organizations (including other academic institutes, universities, national laboratories, start-ups, manufacturing and engineering industries, SMEs, R&D Labs/organization) to enable them to carry out R&D activities. While Imbibing the plan of self-sustainable model, the usage of the SATHI facility will be guided by the basic principle of maximum and effective utilization and accessibility to all. SATHI facility will have dedicated sections for fabrication work, rapid prototyping, material testing, characterization, new device fabrication, smart manufacturing and characterization facilities etc., to attract and help R&D labs, industrial R&D, SMEs, Incubators and Start-ups, etc. If required on a round-the-clock basis with minimum down-time will also be adopted for SATHI activities. Proposal towards individual / departmental R&D support would not be accepted under this Scheme. The synergy and focus of research under this scheme may preferably be aligned to National Missions/ priorities.

Duration: The duration of support for SATHI Project will be for a period not exceeding 3 years.

Eligibility: Both Government and Non-Government academic Institutions / DSIR recognized R&D centres / Organizations are eligible to apply, while fulfilling other criteria as mentioned in the format & check-list of SATHI. For University / Degree awarding Academic Institutions / DSIR recognized R&D centres / organizations, the support will be considered for that region (at national level, if supported). The Government and Non-Government Academic Institutions / Organization enjoying the previous support of SAIF/ PURSE grant of DST, has to either merge those facilities with SATHI project or forgo the SAIF/ PURSE grant, if recommended recently, before implementing the SATHI grant.

PRIVATE Academic University/ Institution / Organization under Not-for-Profit status would be considered as Academic Institutions (Private) option during the process of online submission of proposal.

Criteria for proposals to be considered for support under SATHI Program: -

For the host institute (HI) / R&D Centre / Organization irrespective of their status, as Government / Non-Government, the funding pattern & its mode will be maintained at 75:25 ratio, i.e., DST share would be 75% and the management of the Government / Non-Government Host Institute / R&D center share would need to be 25% of the total sanctioned cost of the project.

Aiming for sharing mode {matching-funding basis} at 75:25 ratio {DST Share-75% and selected HI -25%} is having the upper limit of Rs.125.0 crores (including both Recurring + Non-Recurring). The share of 25% (of total sanctioned amount) will be contributed by the HI from its own income sources and not from diverting the funds available with HIs under the Grant-in-aids received from other Departments of Government of India or from the CFI, GoI.

Type of Support: Currently, following funding support will be provided: -

- (1) Proposals from well established, internationally competitive S&T host institute / R&D Centre / Organization irrespective of their status, as Government / Non- Government, from State/ Central Universities are invited. The upper limit of funding support would be Rs 125.0 crores (including both Non-recurring & recurring grant) and a maximum of 3 No. SATHIs for 3 years duration, for acquiring only state-of-the-art national facility, i.e., **SATHI facility (For any other norms/ clauses you may refer “Terms & Condition” document of SATHI of 13 pages)**. The recurring cost would be of ~07% to 10% of the total cost of Non-recurring head.

Selection: The selection will be through a peer review mechanism and on-spot visit to the Host Institute / University / R&D institute / Centre / Organization, if necessary. A National Steering Committee (NSC) at apex level will assist the DST in making the final selection, if required.

INSTRUCTIONS FOR FILLING ONLINE APPLICATION (SATHI)

1. Log on onlinedst.gov.in to access the home page of the “DST e-PMS Portal”.
2. Before filling up the form candidates are advised to carefully go through the Relevant Advertisement published at the DST Website (www.dst.gov.in) and also available under Proposal Formats in the e-PMS Portal (www.onlinedst.gov.in) after logging in the portal site.
3. To save your time and avoid data loss please download the appropriate proposal format as suitable for you to the Host Institute / University / R&D institute / Centre / Organization, fill all the information required as per the format (Word and PDF) file (**max. size 5Mb**) and then keep it ready for upload during submission of mandatory documents.
4. Click on “Submit proposals” link which would take you to a page seeking multiple information starting with – General information, as Head / Director of the Organization will act as Principal investigator etc. **Please note for SATHI Program you do not need to fill – Suggested referees and Current Ongoing Project.** Fill all the mandatory information sought against each menu except (**Suggested referees and Current Ongoing Project**).
5. After filling all above particulars there is provision for preview your detail before final submission of application form on clicking on “Preview” button. Preview page will display all facts/particulars that you have mentioned on entry time if you are sure with filled details then click on “Submit” button to finally push data into server.
6. Candidates are advised to carefully fill and verify the details filled in the online application themselves as no change will be possible/ entertained after clicking the FINAL SUBMIT BUTTON.

LAST DATE FOR RECEIPT OF APPLICATIONS:

Online Application must be submitted by 10th December 2021 (up to 17.00 hours), after which the web-link will be AUTOMATICALLY disabled FOR ANY USAGE. For any enquiry, contact: Dr. Pravakar Mohanty; Email id: pravakar.mohanty@gov.in

PLEASE NOTE

- 1 IT IS MANDATORY TO SUBMIT THE PROPOSALS ONLY THROUGH **ONLINE MODE**.
- 2 THE DEPARTMENTS ARE REQUIRED TO SEE THE COMPLETENESS OF THE APPLICATION BEFORE IT IS SUBMITTED FINALLY. SINCE THREE (3) CHANCES ARE AVAILABLE FOR SUBMISSION OF A PROPOSAL FROM THE SAME DEPARTMENT/ COLLEGE, **THE LAST PROPOSAL SUBMITTED WOULD BE CONSIDERED FOR EVALUATION.** THE DEPARTMENT/ COLLEGE SHALL KEEP A COPY OF THE SUBMITTED PROPOSAL FOR THEIR REFERENCE. THERE WILL BE **NO NEED TO SUBMIT HARD COPY OF THE PROPOSAL AT DST.**
- 3 INCOMPLETE OR WRONGLY FILLED UP APPLICATION FORMAT OR APPLICATION WITH LACK OF ESSENTIAL INFORMATION/ DOCUMENTS WILL BE SUMMARILY REJECTED. ANY LEGAL PROCEEDINGS IN RESPECT TO ANY MATTER OF CLAIM OR DISPUTE ARISING OUT OF THIS ADVERTISEMENT AND / OR APPLICATION CAN BE LODGED ONLY IN DELHI COURTS/ TRIBUNALS/ FORUMS AND DELHI COURTS / TRIBUNAL/ FORUMS ONLY SHALL HAVE THE SOLE AND EXCLUSIVE JURISDICTION TO TRY ANY CASE / DISPUTE.
- 4 PROPOSAL SUBMITTED THROUGH E-MAIL WILL NOT BE ENTERTAINED. **SUBMISSION OF PROPOSAL OTHER THAN THE PRESCRIBED FORMAT SHALL SUMMARILY BE REJECTED WITHOUT ANY FURTHER PROCESSING AS PER PROGRAM NORMS.**

Mandatory Documents to be uploaded with the Online Proposal:

- *Endorsement from Registrar of the University/Head of the Institute/ Vice-Chancellor of University / Director of Organization.*
- *Terms and Conditions for “SATHI” program*
- *Project Implementation Group of SATHI (PIG)*
- *Brief Summary of the SATHI Support*
- *Department of Science and Technology - Policy on Conflict of Interest*
- *Check-list pertaining to proposal submission to set-up (SATHI) facility*

Please note that incomplete Proposal/ Proposal not in the prescribed Format would summarily be rejected and no correspondence in such cases would be made in this respect. The name of the successful departments shall be displayed in the Website after completion of the evaluation process.

MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF SCIENCE AND TECHNOLOGY
(R&D Infrastructure – Division) - New Delhi

**FORMAT FOR SUBMISSION OF PROPOSAL TO SET UP
SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTE
(SATHI) FACILITY
ON SHARING MODE
(matching-funding basis at 75:25 ratio)**

1.	Name and Background of the Host Institute
2.	DSIR recognized R&D institute / Centre / Host Institute / Organization. If available, the overall NIRF Ranking and Institute of Eminence (IoE) status of the Institute or University, as declared by MHRD recently.
3.	Name of the Host Institute / University / R&D institute / Centre / Organization with Contact Details
4.	Objective of the SATHI Proposal
5.	Relevant strengths and proven track record of the Host Institute / Organization justifying the setting up SATHI center
6.	Potential academic user organizations including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres indicating details on domains of research publication and patents
7.	List of Individual User with expected requirement of Equipment / Facility (within and outside the host Institute including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres)
8.	Proposed Equipment / Facilities with justifications
9.	Budget As per below tabular format

Non-Recurring Items (A)		
Sr. No.	Proposed Equipment / Facility	Expected / Tentative Cost (Rs. In Crores)
i.		
ii.		
iii.		
Sub Total of A (Rs. In Crores)		
Recurring Items (B) for 3 years:		
i.	Manpower Cost	
ii.	Consumables	
iii.	Repair / Maintenance	
iv.	Infrastructure (no new construction activities)	
v.	Any other item	
Sub Total of B (Rs. In Crores)		

Grand Total (A + B) = Rs..... in Crores

10.	Details of Manpower to be Employed and commitment from Host Institute / Organization
11.	Equipment / Facility available at the Host Institute and willing to be Networked (Virtually or physically) with proposed Centre
12.	Management Structure of the proposed Centre (including organizational setup / arrangements of day to day functioning, as per the “Terms and Conditions” document pertaining to SATHI program of DST, to incorporate a Section-8 company at the level of Central registration centre of Ministry of Corporate Affairs, GoI)
13.	Provision of available space (~ 20000 Sq. ft.) along with provision for future expansion to a total of 30,000 sq. ft. appropriate Lab infrastructure at one place.
14.	Details of Research activities at the Host Institute / Organization, at neighboring associated Institutes including Industrial User(s), MSMEs, manufacturing industries, start-up(s) & R&D centres, justifying proposed Equipment / Facilities going to be beneficial towards those thrust areas and SATHI self-sustainability.
15.	Prior experience of host Institute in running shared equipment central facilities, if any with its document proof.
16.	Any other special points may be mentioned by the Host Institute / Organization, including matching grant to be provided by the Institute for the non-recurring (excluding the building space, new equipment already available and recurring part (manpower, consumables, utilities etc.)). As (75:25) funding mode is applicable, i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D center (HI) share would be 25% of the total sanctioned cost of the project.
17.	Team of faculty responsible for the smooth execution of the commitments of the institute / R&D Centre / Organization to facilitate the establishment of the proposed SATHI center.
18.	Availability of suitable infrastructure, such as uninterrupted supply of utility like electricity, water, sanitation, internet connection etc and Availability of guest house to host visiting national users to utilize the facilities, if any.
19.	Plan for a skill development and capacity building including involvement of research scholar, post-doctoral fellows, start-ups, MSMEs and if necessary to ensure that such Facilities would be available at least 80% of the operational hours (Working Time of 24 x 7 basis in three shifts daily) to the External Users and remaining 20% of the Time would be made available for Internal Users.
20.	Earlier trend and present stages of planning to have dedicated sections for fabrication work, rapid prototyping, material testing, characterization, new device fabrication, smart manufacturing and characterization facilities etc., to attract and help R&D labs, industrial R&D, MSME, Incubators and Start-ups, etc.

21.	Trend and practices of the host institute / Organization to interact with various industry associations such as PHD Chamber of Commerce, CII, FICCI, ISBA, MSME associations etc., to sensitize and foster the overall growth and usage of available facilities by different Industries, MSME, Start-ups, Incubators etc.
22.	Willingness and strong assertion to formulate / incorporate a Section 8 company, aiming for self-sustainable model, involvement/ recruitment of technical experts, earning structure, operational flexibility will have one operational head/ Managing head. The Operational Head / Managing head (non-faculty appointee) of SATHI Centre, a few scientists and other technical staffs for running the SATHI centre will be appointed by the separate identity created in form of Section-8 company.

Information submitted as above are true and correct. ***The above proposal to set-up SATHI centre at the host institute (Name of the Institute / University) is fully aware of and understood the "Terms and Conditions" of SATHI -DST and these "terms and conditions" are being endorsed by the Governing council or Senate of the Institute / University/ R&D Organization.*** Host institute / R&D Centre /organization is fully aware of the funding mode i.e., the funding pattern & its mode will be maintained at 75:25 ratio. DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D center (HI) share would provide 25% of the total sanctioned cost of the project. The share of 25% (of total sanctioned amount) will be contributed by the HI from its own income sources and not from diverting the funds available with HI under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI. In case these are found otherwise, the proposal and the claim thereof would be withdrawn by the sponsoring agency.

Signature of the Head of the Institution
(Director / Vice-Chancellor / Registrar)

Date & Seal:

Registrar or Head of Finance

*Chairman of Trust/ Board/ Management

Encl: Endorsement Letter from the Head of the Institution / R&D centre (Director / Vice-Chancellor)

Endorsement Letter from the Registrar of the University/Head of the Institute/ Vice-Chancellor of University / Director of Organization

(Statement on the Letter Head, strictly)

TO SET UP SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTE (SATHI) FACILITY

This is to certify that:

- I. Prof. / Dr., the Head of the institute / Vice-Chancellor of the University / R&D centre, nominating the Dean/ Head/ Coordinator, of the Department/ School/ Centre , who will assume full responsibility for implementing this project proposed under SATHI Program of the Department of Science and Technology, New Delhi during.....
- II. The date of starts of the Project from the date on which the University/Institute receives the bank draft/cheque/RTGS from the Department of Science & Technology. It will happen only after signing and submitting the “Terms and Conditions” document pertaining to SATHI program of DST.
- III. The Head or Coordinator will be governed by the rules and regulations of the University/Institute and will be under administrative control of the University/ Institute for the duration of the SATHI project and also as per the “Terms and Conditions” document pertaining to SATHI program.
- IV. The grant-in-aid by the Department of Science & Technology will be used to meet the expenditure on the SATHI project and for the period for which the project has been sanctioned as indicated in the sanction letter/ order.
- V. No administrative or other liability will be attached to the Department of Science & Technology at the end of the SATHI project.
- VI. The University/ Institute will provide basic infrastructure and other required facilities to the investigator for implementing the SATHI project.
- VII. The University/ Institute will take into its books all assets received under this sanction and its disposal would be at the discretion of Department of Science & Technology.
- VIII. Institute assumes to undertake the financial and other management responsibilities of the SATHI project. Host institute / University / R&D Centre is fully aware of the funding mode (75:25), i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D centre / organization (HI) share would be 25% of the total sanctioned cost of the project.

- IX. Aiming at 25% fund share, the host institute will not derive / include / divert / utilize any grant-in-aid from consolidated fund of India (CFI), Government of India, available to them from any means. The 25% fund share will be contributed by the HI from its own income sources and not from diverting the funds available with HI, under the Grant-in-aids received from other Department of Government of India or from the CFI, GoI.
- X. The audited statement of accounts, utilization certificates and other reports and documents as required under the scheme will be submitted to the department.
- XI. Organizing institute will participate in the monitoring/ reviewing of the SATHI Project whenever they were asked to do so.

Seal of University/Institute
Signature Vice-Chancellor / Head of Institute / R&D Centre

Registrar or Head of Finance

*Chairman of Trust/ Board/ Management

Department of Science and Technology
Policy on Conflict of Interest

For Reviewer & Committee Member or Applicant or DST Officer associated/ dealing with the Scheme/ Program of DST

Issues of Conflicts of Interest and ethics in scientific research and research management have assumed greater prominence, given the larger share of Government funding in the country's R & D scenario. The following policy pertaining to general aspects of Conflicts of Interest and code of ethics, are objective measures that is intended to protect the integrity of the decision-making processes and minimize biasness. The policy aims to sustain transparency, increase accountability in funding mechanisms and provide assurance to the general public that processes followed in award of grants are fair and non-discriminatory. The Policy aims to avoid all forms of bias by following a system that is fair, transparent and free from all influence/ unprejudiced dealings, prior to, during and subsequent to the currency of the programme to be entered into with a view to enable public to abstain from bribing or any corrupt practice in order to secure the award by providing assurance to them that their competitors will also refrain from bribing and other corrupt practice and the decision makers will commit to prevent corruption, in any form, by their officials by following transparent procedures. This will also ensure a global acceptance of the decision-making process adopted by DST.

Definition of Conflict of Interest:

Conflict of Interest means "any interest which could significantly prejudice an individual's objectivity in the decision-making process, thereby creating an unfair competitive advantage for the individual or to the organization which he/she represents". The Conflict of Interest also encompasses situations where an individual, in contravention to the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

1. Coverage of the Policy:

- a) The provisions of the policy shall be followed by persons applying for and receiving funding from DST, Reviewers of the proposal and Members of Expert Committees and Programme Advisory Committees. The provisions of the policy will also be applicable on all individuals including Officers of DST connected directly or indirectly or through intermediaries and Committees involved in evaluation of proposals and subsequent decision-making process.
- b) This policy aims to minimize aspects that may constitute actual Conflict of Interests, apparent Conflict of Interests and potential Conflict of Interests in the funding mechanisms that are presently being operated by DST. The policy also aims to cover, although not limited to, Conflict of interests that are Financial (gains from the outcomes of the proposal or award), Personal (association of relative / Family members) and Institutional (Colleagues, Collaborators, Employer, persons associated in a professional career of an individual such as Ph.D. supervisor etc.)

2. Specifications as to what constitutes Conflict of Interest.

Any of the following specifications (non-exhaustive list) imply Conflict of Interest if,

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a directly relative# or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision-making process or alternatively, if any relative of an Officer directly involved in any decision-making process / has influenced interest/ stake in the applicant's form etc.
- (iii) The applicant for the grant/award is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer-employee relationship in the past three years with that individual.
- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.

- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant (such as Ph.D. supervisor, Mentor, present Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

The Term "Relative" for this purpose would be referred in section 6 of Companies Act, 1956.

3. Regulation:

The DST shall strive to avoid conflict of interest in its funding mechanisms to the maximum extent possible. Self-regulatory mode is however recommended for stake holders involved in scientific research and research management, on issues pertaining to Conflict of Interest and scientific ethics. Any disclosure pertaining to the same must be made voluntarily by the applicant/Reviewer/Committee Member.

4. Confidentiality:

The Reviewers and the Members of the Committee shall safeguard the confidentiality of all discussions and decisions taken during the process and shall refrain from discussing the same with any applicant or a third party, unless the Committee recommends otherwise and records for doing so.

5. Code of Conduct

5.1 To be followed by Reviewers/Committee Members:

- (a) All reviewers shall submit a conflict-of-interest statement, declaring the presence or absence of any form of conflict of interest.
- (b) The reviewers shall refrain from evaluating the proposals if the conflict of interest is established or if it is apparent.
- (c) All discussions and decisions pertaining to conflict of interest shall be recorded in the minutes of the meeting.
- (d) The Chairman of the Committee shall decide on all aspects pertaining to conflict of interests.
- (e) The Chairman of the Committee shall request that all members disclose if they have any conflict of interest in the items of the agenda scheduled for discussion.
- (f) The Committee Members shall refrain from participating in the decision-making process and leave the room with respect to the specific item where the conflict of interest is established or is apparent.
- (g) If the Chairman himself/herself has conflict of interest, the Committee may choose a Chairman from among the remaining members, and the decision shall be made in consultation with Member Secretary of the Committee.
- (h) It is expected that a Committee member including the Chair-person will not seek funding from a Committee in which he/she is a member. If any member applies for grant, such proposals will be evaluated separately outside the Committee in which he/she is a member.

5.2 To be followed by the Applicant to the Grant/Award:

- (a) The applicant must refrain from suggesting referees with potential Conflict of Interest that may arise due to the factors mentioned in the specifications described above in Point No. 2.
- (b) The applicant may mention the names of individuals to whom the submitted proposal should not be sent for refereeing, clearly indicating the reasons for the same.

5.3 To be followed by the Officers dealing with Programs in DST:

While it is mandatory for the program officers to maintain confidentiality as detailed in point no. 6 above, they should declare, in advance, if they are dealing with grant applications of a relative or family member (including but not limited to spouse, child, sibling, parent) or thesis/ post-doctoral mentor or stands to benefit financially if the applicant proposal is funded. In such cases, DST will allot the grant applications to the other program officer.

6. Sanction for violation

3.1 For a) Reviewers / Committee Members and b) Applicant

Any breach of the code of conduct will invite action as decided by the Committee.

3.2 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)

SATHI PROJECT IMPLEMENTATION GROUP

The Project Implementation Group (PIG) is constituted with the following faculty/ Scientist members who will be responsible and accountable for the smooth implementation of the DST SATHI Project at the host institute / organization.

S. No.	Name of Faculty / Scientist Member	Designation, Affiliation, Phone, Mobile no & Email IDs
1		
2		
3		
4		
5		

Seal of University/Institute

.....
Signature Vice-Chancellor / Head of Institute / R&D Centre/ Organization

Registrar or Head of Finance

“Terms and Conditions”

PERTAINING TO SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTES (SATHI)

1. PREAMBLE

- 1.1 In order to promote the usage of advanced techniques in R&D and to cope with the requirement of scientific community in the country, Department of Science and Technology (DST), Government of India is initiating the setting up of **Sophisticated Analytical & Technical Help Institute (SATHI)**. These Centres will be equipped with high-end sophisticated instruments and smart manufacturing facilities, which normally cannot be afforded by Universities, R&D institutions, MSMEs, Start-ups, manufacturing units and industries, providing professionally managed services with open access policy, easy access and high level of transparencies under one roof and also to avoid duplication and large scale import of equipment.
- 1.2 This effort is expected to reach out to much needed less endowed organisations like MSMEs, Start-ups, State Universities and Colleges fostering a strong culture of research collaboration between institutions and across disciplines to take advantage of developments, innovations and expertise in diverse areas.
- 1.3 In order to ensure the efficient and effective system of operating the SATHI Centre of DST at Institute / University _____, the DST have reached upon the following terms and conditions. The arrangements with SATHI Centre of DST at _____ will now be governed by the terms and conditions of DST and these are being executed from the date of signing of the papers of terms and conditions and as submitted by the host institute _____, dated _____. These terms and conditions will concomitantly also include GFR 2017 and other conditions of Government of India, as amended from time to time.

2. OBJECTIVES OF SATHI & RESPONSIBILITIES OF HOST INSTITUTES

The objectives of SATHI at Institute / University _____ are as follows:

- 2.1. To provide a shared, professionally managed services and strong Science and Technology infrastructure / facilities, with efficiency, accessibility and transparency of highest order under one roof to service the demands of

faculty, researchers, scientist and students of Host and User institutes / organisations (including other academic institutes, universities, national laboratories, start-ups, manufacturing and engineering industries, SME's, R&D Labs) to enable them to carry out R&D activities, on a round-the-clock basis with minimum down-time.

- 2.2. To carry out analysis of samples received from the Host and User institutes, Industries. These facilities will be used for 80% of their available time by External Users i.e. out-side of the Host Institutes / (Institute / University)_____and rest 20% of available time for Internal Users of the Host Institute (Institute / University)_____. The usage of the facility will be guided by the basic principle of maximum and effective utilization and accessibility to all.
- 2.3. To acquire and develop capability for preventive maintenance, testing and repair of sophisticated instruments.
- 2.4. To organise short term courses / workshops / seminars, hands-on training programme etc. on the use and application of various instruments and techniques for both External and Internal Users / Researcher and to provide the technical help and scientific knowledge to the end Users while accessing these sophisticated scientific instruments.
- 2.5. To train technicians for maintenance and operation of sophisticated scientific instruments and keep a record book of these people trained with various specialised equipment available with respective centres and may provide these lists while required for any other SATHI Centres for better societal outreach and utilisation of these trained manpower.
- 2.6. To have dedicated sections for fabrication work, rapid prototyping, material testing, characterisation, new device fabrication, smart manufacturing and characterisation facilities etc., to attract and help R&D labs, industrial R&D, MSME, Incubators and Start-ups, etc.
- 2.7. To interact with various industry associations such as PHD Chamber of Commerce, CII, FICCI, ISBA, MSME associations etc., to sensitize and

foster the overall growth and usage of available facilities by different Industries, MSME, Start-ups, Incubators etc.

3. ORGANISATIONAL STRUCTURE

- 3.1. The management / organisational structure shall ensure a professionally managed facility with complete autonomy of operation. The organisation structure of SATHI Centre would be having professional operation and management staff for leveraging high level of accountability, competitiveness and efficient utilisation of expensive resources.
- 3.2. The SATHI centre will be run by Host Institute involvement by formulating a Governing Body (GB) and the entire day-to-day operation, maintenance, manpower recruitment of the centre will be handled by a Section 8 company structure. The GB will decide the operational aspects (a Section 8 company) for self-sustainable model, involvement/ recruitment of technical experts, earning structure and about the operation of the SATHI that can be outsourced. This model is placed as SATHI organisational structure at page 12.
- 3.3. There will be two tier structure i.e. a National Steering Committee (NSC) at apex level and a Governing Body (GB) at the Institute / University level for managing the SATHI Centre at respective (Institute / University) _____.
- 3.4. The Governing Body (GB) for the SATHI Centre at (Institute / University) _____ will be for ensuring proper implementation and execution of different activities of the SATHI Centre as per the guiding principle and sanctioned terms and conditions of SATHI. It will consist of Head of the institute / Vice Chancellor / Director (Ex-Officio) – Chairperson, Head of SATHI Department/ Centre at the Host Institute, One eminent scientist from outside the host institute having sufficient years of sophisticated analytical instruments handling expertise, One expert from Indian Science & Technology Entrepreneur Parks' and Business Incubators' Association (ISBA), One expert from Small / Medium Enterprises Association of that Zone, as specified Ministry of MSME, Govt. of India, (http://www.dcmsme.gov.in/list_associations.htm), two representatives of DST (including representative of IFD, DST) and Operational Head / Managing Head (non-faculty) of SATHI centre - Member- Secretary. The composition of the GB will be approved by the DST

in consultation with the head of the Host Institute i.e. (Institute / University)

- 3.5. The National Steering Committee (NSC) shall be chaired by Secretary, DST, with membership of the Head of the Host Institutes/ University (respective Chairperson of the GB, as constituted at host institute/ University for SATHI Centre) and with Head of R&D Infrastructure Division at DST as Member-Secretary, for overall guidance, direction and also for considering to approve the recommendations of GB with respect to each SATHI Centre.
- 3.6. While the NSC will convene at least one meeting every year, the Governing Body (GB) shall meet at least two times in a year and will forward its recommendations to DST for consideration of NSC. Any complaints and grievances related to SATHI Centre will be addressed by the GB. If, necessary the Chairperson of the GB will either use his/her discretion or form a sub-committee of 2 or 3 members to investigate and resolve the issue. Still if GB found it necessary to communicate/ forward it to the NSC to resolve, they may forward within reasonable time frame and the decision will be final and binding on all ground, as provided by the NSC.
- 3.7. The GB will handle / facilitate all issues relating to the intellectual property, resolve any issues of conflict in this regard.
- 3.8. Concerned officers of DST or its authorized representatives may visit the organisation / SATHI Centre for ascertaining the progress of work.

4. PERSONNEL / STAFF

- 4.1. SATHI Centre at Institute / University _____ shall formulate and propose a suitable management and operational structure for the SATHI Centre. Mode of hiring of staff, out sourcing of specific activities/ operation, operational and financial norms towards staff hiring, equipment maintenance and facility usage for the SATHI Centre will be proposed by Governing Body (GB) and approved by the NSC. The GB for the Institute / University will be formulated in consultation with DST.
- 4.2. The sovereign identity created in the form of a Section 8 company formation, aiming for self-sustainable model, involvement/ recruitment of technical experts, earning structure, operational flexibility will have one operational

head/ Managing head. The Operational Head / Managing head (non-faculty appointee) of SATHI Centre, a few scientists and other technical staffs for running the SATHI centre will be appointed by the separate identity created in form of company. The emoluments involved for these non-faculty appointee, scientists, technical staffs will be confirmed by the NSC based on the recommendation of GB of SATHI Centre.

- 4.3. The Staff of the SATHI shall belong to (Institute / University) _____ and DST will not have any liability towards the staff appointed by the Host institution for its implementation and operation.
- 4.4. DST will have no responsibility in case of any loss is caused to any life or property due to accident, fire or any other reasons. The Host Institute or SATHI Centre shall be required to take appropriate safety and insurance measures to safeguard against any loss to human life and property related to SATHI Centre.
- 4.5. The Grantee will indemnify, defend and hold harmless the Department of Science and Technology (grantor) from and against, and in respect to, any and all losses, expenses, costs, obligations, liabilities and damages, including interest, penalties and attorney's fees and expenses, that the Grantor may incur as a result of any negligent, wilful or otherwise acts, incidences or omissions of the Grantee / Host Institute (_____) to cover other contingencies, such as natural disasters etc.

5. FINANCIAL ARRANGEMENTS

- 5.1. As per sanction order, DST will provide Non-Recurring funds for purchase of instruments/ equipment including accessories as well as Recurring funds under the recurring heads. However, Recurring funds would be provided only for an initial period of three years. Thereafter, no Recurring funds would be provided by DST to the SATHI Centre which is expected to become self-reliant after 3 years of operation out of revenue generated through services.
- 5.2. For host institute / R&D Centre / Organization irrespective of their status, as Government / Non- Government, the funding pattern & its mode will be maintained at 75:25 ratio, i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D center would bear 25% of the total sanctioned cost of the project.

- 5.3. For sharing mode at 75:25 ratio { matching-funding basis } of total sanctioned amount { where DST Share-75% and selected HI -25% } the HI will contribute from its own income sources and not from diverting the funds available with HIs under the Grant-in-aids received from other GoI Department or from the CFI, GoI.
- 5.4. For the Release of subsequent grant like 2nd and 3rd instalment, the host institute will have to forward the list of instruments in consultation with different stake-holders (i.e., Industries, start-ups, and academia etc.,) and progress report of the first year. A high level Expert committee constituted by DST for selection of new centres and on-going review of SATHI centre will prioritise / recommend the instruments to be funded / supported based on the list as submitted by the host institute for consideration. The equipment / instruments will be of broadly in three categories i.e., (i) General Analytical Instruments, (ii) Theme based Instruments & (iii) Fabrication / Prototype development equipment.
- 5.5. The host institute will follow the GFR 2017 and other conditions of Government of India rules, as amended from time to time, while purchasing the equipment/ instruments, as recommended by the Expert committee. All the assets will remain with the Host Institute.
- 5.6. DST shall not provide any financial support after 3 years towards salary for the staff under Recurring head of the SATHI Centre at (Institute / University) _____ . The entire expenditure after 3 years towards expenditure for consumables, spares, annual maintenance contracts (AMC) for various instruments, the salaries of staff associated and other benefits to the employees of SATHI Centre will be borne by Host Institute i.e. (Institute / University) _____ from generated revenue or from its own sources.
- 5.7. The approved funds referred in clause 5.1 shall be released by DST as grant-in-aid to the host institute.
- 5.8. The Chairman of the Governing Body of SATHI facility is allowed to transfer the stipulated amount of recurring grant-in-aid required for manpower handling cost to the Section-8 company as per actuals of manpower cost employed in section-8 company created for the SATHI facility and to start the revenue generation process towards self-sustainability.

- 5.9. The Section 8 company created for SATHI facility is allowed to utilize the recurring grant-in-aid for manpower engagement.
- 5.10. (Institute / University) _____ will maintain separate audited bank accounts earning interest for the grant released for the SATHI Centre. The interest thus earned out of the grant-in-aid released to SATHI will be refunded back in *Bharat Kosh account* with an intimation to DST.
- 5.11. In case the (Institute / University) _____, is not in a position to execute or fulfil the objectives of the program, it is required to refund unspent amount forthwith to the DST, along with the equipment already purchased or in the process of purchase out of it.
- 5.12. The (Institute / University) _____, shall manage SATHI Centre to provide land, infrastructure and utility facilities like power, water, accommodation, consumables etc. for running the centre, as per its norm and practices for which no claim will be made on DST.
- 5.13. The (Institute / University) _____ shall monitor that the workshop, glass blowing and other technical facilities of the Institute / organization are made available / accessible to SATHI Centre of _____, as per the rules of the Host Institute.
- 5.14. The host Institute (_____) shall send utilisation certificate and an audited statement of accounts to DST after utilizing the DST funds in the proforma as prescribed under General Financial Rules 2017, after expiry of each financial year. The statement should be verified / audited by the competent authority of the institution.
- 5.15. All the assets acquired or created from the grant shall be installed in the premises of the SATHI Centre and not in any other department / Division / Centre of the Host Institute ((Institute / University) _____), unless specifically approved by the Department of Science and Technology on the

recommendation of National Steering Committee (NSC) for SATHI Programme.

6. CHARGES AND REVENUE FOR USE OF SATHI FACILITIES

- 6.1. Each SATHI Centre must ensure that Facilities are available at least 80% of the operational hours (Working Time of 24 x 7 basis in three shifts daily) to the External Users and remaining 20% of the Time would be made available for Internal Users. However, Internal Users can avail the SATHI facilities for any amount of time beyond, when no sample of External User is available for usage at any equipment/ instruments.
- 6.2. Charges for analysis to be provided by users will be fixed by Governing Body (GB) and as per the recommendation of NSC for SATHI programme. The rate of charges for analysis shall also be made available to the respective SATHI web portal as per provision in rule 47 of GFR 2017.
- 6.3. The charges for (A) academic institutes and start-ups, (B) R&D labs and SME's and (C) large industrial establishments will be fixed by GB of the host institute _____ (Institute _____ / University) _____ and as per the recommendation of NSC for SATHI programme.
- 6.4. The total earnings thus generated on providing analytical services by the SATHI Centre to both External and Internal Users shall be shown with respect to each equipment/ instruments available at the SATHI Centre every year in the annual performance report of the SATHI and informed to DST every year so that the same would be made available for expenditures under Recurring Heads as per the recommendations of the National Steering Committee for that year.
- 6.5. The SATHIs shall make the booking of samples through online mode only by using dedicated web portal for having more transparency and efficiency in service. Charges may be taken during booking of the slot. In case of failure, on the part of USER for non-utilisation of the slot, penalty may be charged at the rate fixed by Governing Body (GB) on the booking amount and future use of the SATHI facility.

6.6. All SATHI Centre / facilities will be made remote accessible, whenever required and found possible.

7. GENERAL

7.1. The terms & conditions would be valid for a period of five years from the date of signing of terms & conditions papers. Amendments, if any, can be made at any stage during the validity of the terms & conditions with mutual consent of DST and the host institute (i.e. (Institute / University)_____).

7.2. The release of grants after the first year and each subsequent year is subject to satisfactory performance of SATHI Centre. For this purpose, the progress of work and achievement of milestones is to be sent by SATHI Centre to DST in the prescribed format (format as recommended by the DST).

7.3. The host Institute should open a separate saving account in a scheduled Bank to have a better accounting control of the SATHI centre.

7.4. All trainings must be executed within India and with involvement of maximum stakeholders for such in-house training. The maximum number of pre-paid trainings & comprehensive warranty period should be included in the purchase order while doing the negotiation with the supplier/ seller of the instruments. At least minimum three years technical support should be ensured from the supplier/ seller of the instruments. The Host Institute may explore the option for three-year inclusive comprehensive warranty at the time of purchase of equipment from the supplier.

7.5. The host institute (Institute / University) _____ should ensure that the installation site is compliant with the Seller's specifications by returning the "Laboratory Site Condition Report" form, duly filled and signed based on the "Installation and delivery conditions" booklet and communicating the photocopy of the same booklet to DST to ensure the effective functionality of each of the instruments and its shipment. The Laboratory site condition report must be communicated to the seller and DST to avoid any delay and untimely installation of the instruments. Before delivery the laboratory/ centre site checking by the Seller may be certified to comply with the site specifications defined by the seller with utmost care and minimal cost.

- 7.6. Any hardware and software design, data, architecture, material, product specifications, smart designs, financial information, technical documents etc, shall not be made public or shared with any other party without the prior written consent. In all these cases the Organization/Institute/University / researcher/ Scientist should ensure that the technical support / financial assistance provided to them by Department of Science & Technology (DST), Government of India should invariably be highlighted / acknowledged in their media releases as well as in the opening paragraphs of their Annual Report.
- 7.7. In addition, the investigator/host Institute / Organization/Institute/University / researcher/ Scientist must also acknowledge the support provided to them in all their publications, patents and any other output emanating out of the SATHI Centre help/ facility utilisation funded by Department of Science & Technology (DST), Government of India.
- 7.8. It is mandatory for the host Institute to publish at the booking web portal about the usage statistics (maintaining the anonymity of users) of every equipment/ instruments; i.e., how many internal, how many external samples stating separately how many from Industry, start-up etc., are being handled.
- 7.9. In case of any kind of problem in the implementation of the programme, the same needs to be documented properly and brought to the knowledge of the Governing Body of the Centre and then to DST as early as possible.
- 7.10. Non-performance and non-compliance to the conditions required for sustainable incubation may result in discontinuation of further support and refund of DST grant.
- 7.11. DST reserves the right to terminate or may withdraw its support to the Centre by giving one (1) year notice the Host Institute (i.e. (Institute / University) _____), if it is convinced that the grant is not being utilized properly or that appropriate progress is not being made as per specified purpose / objectives of SATHI Centre.
- 7.12. Any dispute arising out of this terms & conditions between DST and SATHI Centre will be resolved by Secretary, DST or by the NSC.

Signed on _____ / _____ Month, 2021.

(Prof. _____)

Head of Institute/ Director / VC

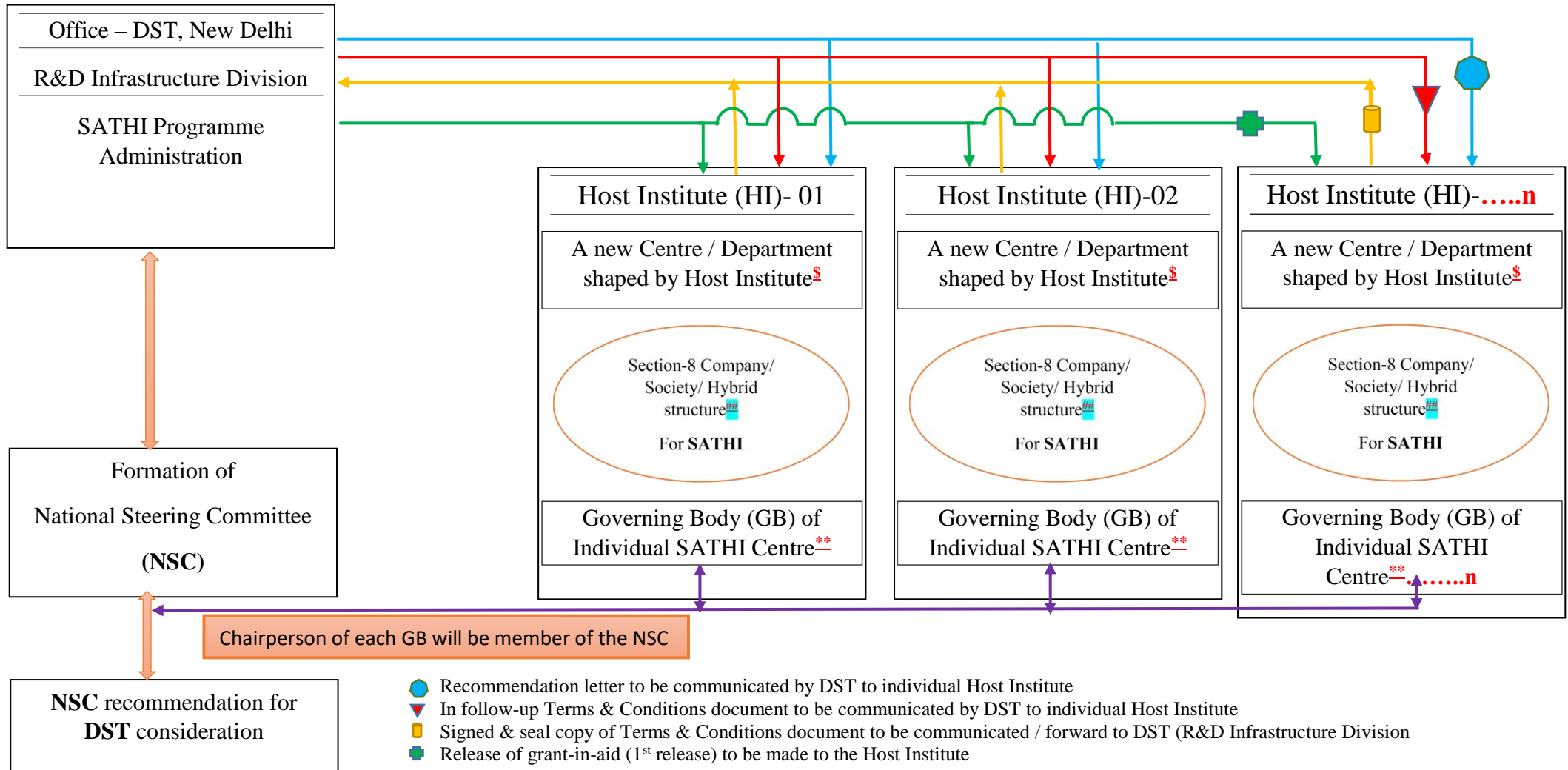
Financial Head/ Registrar

(Institute / University) _____

Seal of (Institute / University) _____

Seal _____

SOPHISTICATED ANALYTICAL & TECHNICAL HELP INSTITUTES (SATHI)- Organisational Structure



[§] Head of the Centre / Department to be appointed in the Host Institute

^{##} For day-to-day management of activities, operation of the centre, to manage /generate financial resources for self-reliant, to take care of regular, preventive & break-down maintenance, effective / efficient utilisation of instruments etc., for this separate man-power is employed

^{**} Governing Body (GB) of SATHI to be constituted by Host Institute in consultation with DST

MINISTRY OF SCIENCE AND TECHNOLOGY
DEPARTMENT OF SCIENCE AND TECHNOLOGY
(R&D Infrastructure – Division)

CHECKLIST
PERTAINING TO PROPOSAL SUBMISSION TO SET UP (SATHI)
FACILITY

- Please (✓) mark appropriately and provide the information at remark column (or as enclosure), if any.
- It should have the sign / stamp as mentioned at bottom (footer)

Sr. No	Check subject	Yes	No	Remarks
01	Provision of available space of at least (20000 Sq. ft.) along with provision for future expansion to a total of 30,000 sq. ft. appropriate Lab infrastructure at one place (within single building location).			
02	Availability of suitable infrastructure, such as uninterrupted supply of utility like electricity, water, sanitation, internet connection etc at the available space of (20000 Sq. ft.) one place (within single building location).			
03	Available space (20000 Sq. ft.) is ready for commissioning / installation of equipment, as proposed by your institute.			
04	Availability of guest house to host visiting national users to utilise the facilities.			
05	Different ongoing programs for skill development and capacity building including involvement of research scholar, post-doctoral fellows, scientist.			
06	Different ongoing programs for skill development and capacity building including involvement of incubators, start-ups, MSMEs.			
07	Prior experience of host Institute in running shared equipment central facilities, (Working Time of 24 x 7 basis in three shifts daily).			
08	Willingness and strong assertion to formulate a Section 8 company or society aiming for self-sustainable model.			

Signature _____ Administrative Head of Institute/ Director / VC (Ex-officio) _____ with Seal
Signature _____ Financial Head of Institute / University (Ex-officio) _____ with Seal

Page 1 of 2

Signature ----- PI of Institute / University ----- with Seal

09	Willingness and strong declaration to operate the mega facility (SATHI) for 24 x 7 basis in three shifts daily.			
10	Proposed SATHI Facilities would be available at least 80% of the operational hours (Working Time of 24 x 7 basis in three shifts daily) to the External Users.			
11	In & around MSME survey reports about existing facility / running shared equipment central facilities of your institute.			
12	Prior experience of NABL accredited / certified central facilities / laboratories of your institute, if any.			
13	Self- sustaining road map of the SATHI facility (if any please provide additional enclosure).			
14	Host Institute is fully aware of and understood the "Terms and Conditions" of SATHI -DST and these "terms and conditions" are being endorsed by the Governing council or Senate of the Institute / University (enclosure if any).			
15	<p>Host institute / R&D Centre is fully aware of the funding mode (75:25), i.e., DST share would be 75% and the management of the Government / Non-Government Grantee Institute / R&D centre (HI) share would be 25% of the total sanctioned cost of the project.</p> <p>Aiming at 25% fund share, the host institute will not derive / include / divert / utilise any grant-in-aid from consolidated fund of India (CFI), Government of India, available to HI from any means. The 25% fund share will be contributed by the HI from its own income sources and not from diverting the funds available with HI under the Grant-in-aids received from Department of Government of India or from the CFI, GoI. (Enclosure of declaration, if any)</p>			

Signature _____ Administrative Head of Institute/ Director / VC (Ex-officio) _____with Seal
Signature _____ Financial Head of Institute / University (Ex-officio) _____with Seal

Signature ----- PI of Institute / University -----with Seal