



**GUIDELINES  
NINTH PLAN**

**SCHEME OF FINANCIAL SUPPORT  
FOR  
MAJOR AND MINOR RESEARCH PROJECTS**



**UNIVERSITY GRANTS COMMISSION  
NEW DELHI  
1998**



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**SCHEME OF FINANCIAL SUPPORT  
FOR  
MAJOR AND MINOR RESEARCH PROJECTS**

**A. FINANCIAL SUPPORT FOR MAJOR RESEARCH PROJECTS**

**I. OBJECTIVES**

The University Grants Commission will provide support to permanent/regular teachers in the Universities & Colleges (Under Section 2 (f) & 12 (b) of UGC Act, 1956 ) to enable them to take up work on intensive and in-depth study in specific subject areas. **Colleges and Universities sponsoring the proposal should have adequate research facilities.** Research project may be undertaken by an individual teacher or a group of teachers or by a department as a whole. The Commission would give priority to research interdisciplinary and inter-institutional collaborative research.

**II. JOINT PROJECT**

In case a project is undertaken jointly, one of the teachers will function as a Principal Investigator (PI) and he/she will be responsible for all matters pertaining to the project.

**III. HONORARIUM TO RETIRED TEACHERS**

Retired teachers, upto the age of 70 years, can also participate under the scheme. They will be eligible for honorarium @ Rs. 6,000/- p.m.If a teacherretires during the tenure of project, he/she will also be eligible for honorarium on receipt of certificate from the head of the host institution about the date of superannuation and also subject to the condition that the PI is not gainfullyemployed elsewhere. **The PI shall not be above the age of 67 years on the date of implementation of the project. A retired teacher shall be eligible for honorarium for three years only subject to the condition that if the PI attains the age of 70 years during the tenure of the project, he/ she should complete the project without any honorarium.**

**IV. OPERATIONAL FEATURES**

Any teacher or a retired teacher who wishes to receive financial support under this scheme should submit the research proposal through the University as

per the procedure of the concerned University to the University Grants Commission in the prescribed proforma (**Appendix-I**).

## **V. CONSIDERATION OF PROPOSALS**

The Commission will consider the proposals once a year upto 31st December for the next financial year. The same would be decided by 30th June of the following year. The proposals received will be screened with the help of Screening Committee to be constituted by the Commission. The PIs whose proposals are recommended by the Screening Committee will be invited to make presentation before a Panel of Experts. First class or IInd AC railway fare (both ways) by the shortest route will be paid to the PI. The final decision will be taken by the Commission, keeping in view the recommendations made by the Expert Committee and the availability of funds for the scheme.

## **VI. DATE OF IMPLEMENTATION**

The date of implementation of the project shall be any date between the approval of the project by the Commission and the receipt of first instalment of grant by the Institution, for the procurement of equipment and/or the appointment of Project Associate/Project Fellow/Research Associate, as the case may be.

## **VII. FINANCIAL SUPPORT**

The Commission will provide financial support for the items like Equipment, Books and Journals, Research Personnel, viz. Project Associate and /or Research Associate, Hiring technical services, Contingency, Chemicals and Consumables, Travel and Field work and any special requirements. In Mid Term evaluation, if the Expert Committee recommends additional grant (which is to be limited to 25% of the original allocation), the Principal Investigator would be allowed to utilise the unspent balance of the original allocation and/or additional grants within the extended period under the categories of the grants for expenditure other than fellowship/salary of research staff.

### **a. EQUIPMENT**

In addition to scientific equipment, the grant can be used for purchases of Personal Computer and software for technical data analysis, if required. The escalation, if any, may be met out of the savings from other heads.

**b. PROJECT ASSOCIATE AND/OR RESEARCH ASSOCIATE**

The appointment of a candidate as Project Associate may be made by an open selection and by a duly constituted committee by the Principal Investigator who would act as its Chairperson. The eligible candidate must have qualified for the National Eligibility Test conducted by the UGC or equivalent test of CSIR. The Project Associate is eligible for fellowship @ Rs. 2,500/- p.m. (pre-revised) for first two years and @ Rs. 2800/- p.m. (pre-revised) for subsequent years, depending upon the progress of the work done. In case Project Associate is not available, the PI may appoint a Project Fellow who has atleast 55% marks at the PG degree level @ Rs. 1800/- p.m. (pre-revised) after completing all the formalities. In exceptional cases, the post of RA will also be provided. This will be in the scale of Rs. 3000-100-3200 (pre-revised). The fellowship for the research staff shall be available for three years only. The amounts mentioned above are subject to revision from time to time.

**c. HIRING AND TECHNICAL SERVICES**

Other technical staff required for the implementation of the project may be hired on a fixed amount for a fixed period on contract basis.

**d. CONTINGEN**

For meeting expenditure on stationery, postage, telephone, computational work, printing of questionnaire, reprographic work, chemicals and consumables which are not available in the laboratories for use by researchers.

**e. TRAVEL AND FIELD WORK**

Travel grant will be provided for field work as approved by the Commission. For this purpose, the rules of the University Grants Commission need to be followed.

**f. INSTITUTIONAL OVERHEADS**

The host Institute will be provided additional grant to the tune of 10% (ten percent) of the approved recurring grant (Except Travel and Field Work) as overhead costs.

**g. REAPPROPRIATION**

The University Grants Commission may consider the reappropriation of funds initially allocated for the project.

**VIII. LEVEL OF ASSISTANCE**

The maximum level of assistance for Major Research Projects will be Rs. 7 lakh.

**IX. TENURE**

The duration of the project will be three years which is extendable by a period of another two years on a year to year basis. The PI may submit his/her request for extension at least six months before the completion of tenure of the project.

**X. RELEASE OF FUNDS**

Fifty per cent of the total amount allocated may be released immediately and the balance may be released in two instalments. (40% and 10% respectively).

**XI. SUBMISSION OF REPORTS BY PRINCIPAL INVESTIGATOR TO UGC**

The Principal Investigator would submit the following documents to the UGC in the prescribed proforma :

1. Annual Progress Report.
2. Statement of expenditure and Utilisation Certificate.

**XII. REVIEW AND EVALUATION**

The UGC shall organize mid-term group review meetings of all the projects which have completed on year and a half to two years of duration where the PIs would be invited for presentation of work being done by them before an Expert Committee constituted by the Commission. Every Principal Investigator is required to submit two copies of the final report along with an abstract of research in the usual format, within six months of the completion of the tenure of the project.

**XIII. GENERAL**

(i) All assets in the form of equipment or items other than books and journals, as detailed in para VI(6), will become the property of host institutions on the completion of the project.



(ii) Assistance will be available to a teacher for only one research project at a time, except as a co-investigator in a project.

(iii) Prior approval of the UGC will not be necessary for publishing the results of the study on the project supported by the Commission. In all such cases, however, the investigator should acknowledge the contribution made by the staff appointed for the project and the support received from the UGC. The Universities may, if they so desire, consider the publication of the final reports of research work for which a fixed amount is placed at their disposal for the plan period by the UGC under the unassigned grant scheme.

## **B. FINANCIAL SUPPORT FOR MINOR RESEARCH PROJECTS**

### **I. OBJECTIVES**

The Commission will provide financial assistance to the permanent/regular teachers of the colleges (under Section 2 (f) & 12 (b) of UGC Act, 1956), who wish to undertake, along with teaching work, a minor research project or an investigation for doctorate degree under an approved supervisor. University teachers may apply for minor research projects out of the unassigned grant scheme of the UGC payable to the University.

### **II. OPERATIONAL FEATURES**

Any college teacher (including those working in Delhi) who wishes to avail of financial assistance under this scheme should submit the research project in the proforma (Appendix-II) to the UGC Regional Centres and to the Headquarters at Delhi for Delhi Colleges through the Principal of the College. The project proposals are considered by the Commission once a year, upto 31st December for the next financial year and the same would be decided by 30th June of the following year.

The Commission normally appoints expert committee to advise it on the merit of each proposal and the final decisions are taken by the Commission keeping in view the recommendations made by the expert committee and the availability of funds for the scheme.

### **III. LEVEL OF ASSISTANCE**

The maximum level of assistance for Minor Research Projects will be Rs.50,000/- Assistance is available for items like equipment, books and jour-

nals, field work, contingency including preparation/cyclostyling/printing of questionnaire, telephone, fax, computation work, chemicals etc. which are specially required for the proposed project, but are not normally available to the teacher in the institution, where he/she is employed.

#### **IV. DURATION**

The duration of the project for all subjects will be two years. The tenure is extendable for a period of six months after taking prior approval of the Commission and for which no additional grant will be available.

#### **V. DATE OF IMPLEMENTATION**

The date of implementation of the project may be any date between the date of approval of the project by the Commission and the date of receipt of first instalment by the institution.

#### **VI. RELEASE OF FUNDS**

Fifty per cent of the total amount allocated may be released immediately and the balance may be released in two instalments of 40% and 10% respectively after receiving the following documents in the prescribed proformae :-

- i. Annual progress report.
- ii. Statement of expenditure and utilisation certificate.

#### **VII. GENERAL**

- a. All assets in the form of equipment, or other items, will become the property of the host institutions on the completion of the project. Books purchased with the Commission's assistance may be retained by the P1 after the completion of the project.
- b. Assistance will be available to a teacher for only one Research Project at a time (either Major or Minor).
- c. Prior approval of the UGC will not be necessary for publishing the results of the study on the project supported by the Commission. In all such cases, however, the Investigator should acknowledge the contribution made by the staff appointed for the project and the support received from the UGC. The Universities may, if they so desire, consider the publication of the

final report of research work, including doctoral thesis, for which a fixed amount is placed at their disposal for the Plan period by the UGC.

- d. The researcher is required to submit two copies of the final report, along with an abstract of research in the usual format, within six months of the completion of the tenure of the project, which will be part of the academic auditing, failing which, the Commission would disqualify the researcher for participation in future UGC programme(s).
- e. University teachers, who wish to avail of assistance for Minor Research Project may apply to the Registrar of their University. The University shall consider such requests under the unassigned grant scheme and evolve procedures for processing the applications and deciding the amount to be sanctioned.

**APPLICATION FORM FOR SUPPORT FOR MAJOR  
RESEARCH PROJECT**

1. Name, Date of Birth, Qualification, designation & address of Investigators :-

(a) Principal Investigator

(i) Name :

(ii) Date of Birth :

(iii) Qualification :

(iv) Designation :

(v) Address :

(b) Other Investigators:

I. (i) Name :

(ii) Date of Birth :

(iii) Qualification :

(iv) Designation :

(v) Address :

II. (i) Name :

(ii) Date of Birth :

(iii) Qualification :

(iv) Designation :

(v) Address :

(c) In case of a retired teacher, please give the following information

- (i) Date of Superannuation :
- (ii) Age of Superannuation :
2. Name of the Institution where the project will be undertaken
- (a) Department :
- (b) College :
- affiliated to the University of :
3. (a) Whether the University/College/Institution is approved under Section 2 (f) and 12 (b) of the UGC Act?
- Yes/No (Please check)
4. Curriculum vitae of the Principal Investigator :
- (a) Research experience :
- (b) Teaching experience :
- (c) Details of research work, year of Award, University,  
Title of Study  
Research Degree  
D.Litt.  
Any other  
(please specify)
- (d) Details of publication:
- (i) No. of papers published :
- (ii) No. of papers accepted for publication :
- (iii) No. of books published :
- (iv) No. of books under publication :

(please give detailed information on a separate sheet of paper. Copies of the three best publications in the last five years may be enclosed).

- (e) Whether the work proposed is of Applied/Basic in nature?

## **PART - B**

1. Details of the proposed work :

- (a) Subject :
- (b) Title of the Project (in block letters)
- (c) Duration :
- (d) Details of inter-departmental co-operation, if any :

( A synopsis of the project indicating (1) the problem to be investigated (2) Objectives of the project (3) hypothesis (4) Research design and methodology (5) Tools to be used in the collection of data (6) Significance of the study (7) Its relevance to the present day problems and needs of the society and the country and (8) Its likely contribution to knowledge, may please be attached with the application).

2. Are you aware of the work done or being done on the above project or on a similar or allied project in any other Institution in the Country? If so, please attach a note indicating the present status of research in the area in which you now propose to work and the gaps which you now propose to cover. Please indicate the serial number of the enclosures which give the information.

3. Financial Assistance required :

- (1) Recurring :

<b><u>Designation</u></b>	<b><u>Estimated Expenditure</u></b>	<b><u>period</u></b>
(i) One Research Associate @ Rs. 2800-100-3300 or One Project Associate @ Rs. 2500/- p.m. or One Project Fellow @ Rs. 1800/- p.m.		
(ii) Hiring Services		

- (iii) Field Work and Travel
- (iv) Chemicals
- (v) Contingency
- (vi) Honorarium to retired teacher  
@ Rs. 3,000/- p.m.

(2) Non-recurring items :	<b><u>Total Estimated Expenditure</u></b>
(i) Books and Journals	Rs.
(ii) Equipment, if needed (please specify name & approx. cost)	Rs.
Total :	Rs.
Total estimated expenditure ( R & NR ) Rs.	

4. Whether the teacher has received support for the research project from UGC under Major or Minor scheme of support for research or under University Level Book Writing Scheme or from any agency? If so, please indicate :
- (a) Name of the agency from which the assistance was approved
  - (b) Sanction letter No. & date under which the assistance was approved
  - (c) Amount approved and utilised
  - (d) Title of the project for which assistance was approved
  - (e) In case the project was completed, whether the report on the project has been published/cyclostyled or if the candidate was working for the doctoral degree, whether the thesis was submitted and accepted by the University for the award of degree.  
( A summary of the report/thesis in about 1,000 words may please be attached with the application )
  - (f) If the project has not been completed, please state the reasons
5. (a) Details of the project/scheme completed or ongoing with the P.I.



Name of the agency	Year		Total Budget	Equipment/infrastructural facilities obtained
	Started	Completed		

(b) Institutional and Departmental facilities

Equipment : S.No.	1.	2.
	3.	4.
Infrastructural S.No. Computation etc.	1.	2.
	3.	4.

6. Copy of the minutes of the research committee (please attach)
7. Any other information which the investigator may like to give in support of this proposal which may be helpful in evaluating

To certify that :

- (a) General physical facilities, such as furniture/ space etc., are available in the Department/ College.
- (b) I/We shall abide by the rules governing the scheme in case assistance is provided to me/ us from the UGC for the above project.
- (c) I/We shall complete the project within the stipulated period. If I/We fail to do so and if the UGC is not satisfied with the progress of the research project, the Commission may terminate the project immediately and ask for the refund of the amount received by me/us.
- (d) The above research Project is not funded by any other agency.

Name & Signature

(a) Principal Investigator

(b) Other Investigator

(i)

(ii)

(c) Registrar/Principal

## APPENDIX-II

### **APPLICATION FORM FOR SUPPORT FOR MINOR RESEARCH PROJECT**

1. Name of the Teacher (in block letters)
  - (i) Date of Birth :
  - (ii) Designation :
  - (iii) Qualification :
  
2. Name of the College/Institution where the teacher is employed
  - (i) (a) Department of
  - (b) College affiliated to the University
  - (ii) Whether the College/Institution is approved under Section 2 (f) and Section 12 (b) of the UGC Act?  

Yes/No	(Please check)
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3. Academic Experience :
  - (a) Research Experience Years
    - i) during M.A.  
M.Com.  
M.Phil.  
and Ph.D.
    - ii) After Ph.D.
  - (b) Teaching Experience UG \_\_\_\_ Years  
PG \_\_\_\_ Years
  - (c) In case the teacher holds a doctoral degree, please indicate
    - (i) Title of the thesis
    - (ii) Year of the award of degree
    - (iii) Name of the University which awarded the degree
    - (iv) Whether the thesis has been published? If so, the year of publication and the name of the publisher
  - (d) Details of publications :

- (i) No. of papers published
- (ii) No. of papers accepted for publication
- (iii) No. of books published
- (iv) No. of books under publication

(Please give detailed information on a separate sheet of paper)

4. Particulars of the proposed research project : (in block letters)

- (a) Subject :
- (b) Title of the Project

(A synopsis of the project indicating (1) The problem to be investigated (2) Objectives of the project (3) Hypothesis (4) Research design and methodology (5) Tools to be used in the collection of data (6) Significance of the study (7) Its relevance to the present day problems and needs of the society and the country and (8) Its likely contribution to knowledge, may please be attached with the application)

- (c) Details of inter-departmental co-operation, if any
- (d) Whether the project has been approved by the University for the doctoral degree? If so, please indicate:
  - (i) Date of the registration :
  - (ii) Name and designation of the supervisor approved by the University
  - (iii) Name of the University where registered :
- (e) Name and designation of the associates, if any
- (f) Whether the above work is of applied/basic in nature;

5. Financial assistance sought :

<u>Items</u>	<u>Amount required (Rs.)</u>
(i) Books & Journals	
(ii) Equipment	
(iii) Field Work & Travel	
(iv) Contingency	
(v) Chemicals	

(vi) Special needs

Total Rs.

(A statement giving details of various items required for the project may please be attached with the application. In case the assistance is required for field-work, details thereof indicating the places to be visited, purpose of the visit and approximate expenditure on travel and collection of data and manuscripts etc. may also be given in the statement)

6. Whether the teacher has received support for the research project from UGC under Major or Minor Schemes of support for research or under University level book writing scheme or from any agency? If so, please indicate :
- (a) Name of the agency from which assistance was received
  - (b) Sanction letter No. & date under which the assistance was approved
  - (c) Amount approved and utilised
  - (d) Title of the project for which assistance was approved
  - (e) In case the project was completed, whether the report on the project has been published/cyclostyled or if the candidate was working for the doctoral degree, whether the thesis was submitted and accepted by the University for the award of degree  
(A summary of the report-thesis in about 1,000 words may please be attached with the application)
  - (f) If the project has not been completed, please state reasons
7. Whether the teacher has already submitted the present project or a similar project to the UGC under major or minor schemes of support for research or to any other agency? If so, please indicate the name of the agencies and their decision on the proposal.
8. Any other information relevant to the above research project which the teacher may like to give in support of his/her application. Certified that I have read the rules governing the scheme and shall abide by them in case the award is made to me. It is further certified that the information given above is correct to the best of my knowledge.

---

Signature of the applicant

For use in the College Office

It is certified that facilities for working on the above project will be provided to

\_\_\_\_\_ in the Deptt. \_\_\_\_\_  
in the college.

It is further certified that equipment and books etc. for which assistance has been asked for by the teacher are not available for his/her use in the Institution and that the teacher is not at present in receipt of a similar grant from the University Grants Commission or any other agency. The Institution agrees to abide by the rules governing the scheme if the UGC provides assistance to the teacher for the project.

A copy of the research proposal has been sent to the University and Directorate of Collegiate Education.

\_\_\_\_\_  
(Signature : Head of Institute)

Principal of the College

Signature

## PROGRESS REPORT FOR MAJOR/MINOR RESEARCH PROJECTS

(To be furnished in duplicate by Head of the Department)

Progress Report for the Academic Year \_\_\_\_\_

1. Name & Post of the Researcher(Project Investigator)
2. Name of the Research Project sanctioned by the UGC with date
- 3.

Item	Total Grant Received from U.G.C.	Total Expenditure Incurred under the Project	Utilisation Certificate Furnished
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STATUS OF THE PROJECT: PHASE-I PHASE-II PHASE-III COMPLETED  
IF COMPLETED,

4. Methodology (brief)
5. Sample size, if any
6. Major Findings
7. Research papers published in Refereed Journals during the project so far (Give title of the paper, name of journal, volume, number and year)
8. National level conference/seminars attended. Certified that the programmes of research work done by \_\_\_\_\_ is highly satisfactory/satisfactory/ un-satisfactory.

Place : \_\_\_\_\_ Signature  
Date : \_\_\_\_\_ Name  
Designation

NB: In case the progress is un-satisfactory, specific reason for this finding should be given.

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