

GUIDELINES FOR

UNASSIGNED GRANT SCHEME



UNIVERSITY GRANTS COMMISSION
NEW DELHI
1999

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Guidelines for Unassigned Grant Scheme Revised for the IXth Plan Period

I. University Grants Commission provides assistance under the scheme of unassigned grant for participating in conferences, holding seminars and symposia, publication of research work and minor research projects in the universities during the 8th plan period. The Commission has rationalised the guidelines of the scheme and updated provisions relating to the size of Unassigned Grant, ceilings on expenses, rates and procedure as set forth below.

II. The various components of the revised scheme are as under :

- A. Travel Grant
- B. Seminars/Symposia etc.
- C. Publication Grants to Universities
- D. Support for Minor Research Projects

The percentage of allocation of grant on items A to D may be relaxed upto 20% of the total grant with the prior approval of the Vice-Chancellor after recording reasons in writing.

III. The quantum of financial assistance payable to the Universities will be on the basis of the following criteria:

| <i>Faculty Strength as on 14th August of the previous year</i> | <i>UGC Support per year (Rs. in lakhs)</i> |
|--|--|
| Upto 50 | 3.00 |
| 51 — 100 | 5.00 |
| 101 — 300 | 8.00 |
| Above 300 | 12.00 |

IV. **Procedure for sanction of grant by the UGC**

Grant for the first year of the plan period would be sanctioned on receipt of (i) utilization certificate in the prescribed proforma (**Annexure**) of the unassigned grant sanctioned to the university during the 8th plan period, (ii) details of the faculty strength, as on 14th August of the preceding year, and (iii) the request of the university for allocation and sanction of the grant for the year.

Grant for the subsequent years would be released in one instalment on the receipt of the utilisation certificate for the preceding year in the prescribed proforma with other information at (ii) & (iii) above.

V. The eligibility conditions, procedures, pattern of assistance and formats for the submission of accounts of expenditure incurred in respect of these schemes are given below:

GROUP A : TRAVEL GRANTS FOR THE FOLLOWING: UPTO 30% OF THE TOTAL ALLOCATION

- A.1. Support to teachers/scientific/technical officers/administrative staff, viz., Registrars, Librarians, and Director, Physical Education, for participating in international conferences/ seminars/ symposia/ workshops held abroad.
- A.2. International travel fare and maintenance to teachers selected under international collaboration exchange programmes of CSIR/INSA and other agencies.
- A.3. international travel grant to teachers and officers for attending training programmes.
- A.4. Support to teachers/ scientific/ technical officers and administrative staff, viz., Registrars/ Librarians/Director, Physical Education for visiting centres of research or to attend academic conferences/ seminars/ symposia/ workshops held in India.
- A.5. Academic Exchange Programme between Universities within India.

The detailed procedure of the scheme is as under

- A.1. **Support to teachers/scientific/technical officers/administrative staff, viz., Registrars, Librarians, and Director, Physical Education, for participating in international conferences/seminars/symposia/workshops/training programmes held abroad**

1. Eligibility for Travel Grant

- (a) Those invited to attend international academic conferences/ seminars/symposia, the level of the programme, and the standing of the institution organising the event, should also be truly international/ national, professional and capable of enhancing skills or add to the professional accomplishment of the beneficiary. The same requirements will apply to conferences, etc., held in India.
- (b) Financial assistance may be provided in the following order of preference :
 - i) Teachers delivering key-note addresses/plenary lectures.
 - ii) Those contributing a paper.
 - iii) Those invited to chair a session.
 - iv) Those invited under International Collaboration Exchange Programmes.
 - v) Those invited to give symposia/talks/invited lectures or invited to discuss arts.
 - vi) Those not covered under any of the above categories but the participation of the person would enhance the academic development of the teacher or result in India's institutions abroad.
- (c) Assistance will be available to a person under this scheme as under :
 - (i) Once in 6 years - 100%
 - (ii) Once in 4 years - 75%
 - (iii) Once in 3 years - 50%
- (d) The claim of SC/ST candidates may be kept in view while considering applications under the scheme.

- (e) Expenditure should not generally exceed 30% of the Unassigned Grant on providing assistance to teachers/ scientific/ technical officers for participation in international conference held abroad.
- (f) The 'Unassigned Grant' is also not to be utilised for teachers of affiliated colleges.

2. Procedure of applying for Travel Grant

An application for the grant should be sent by teachers/ officers concerned to the appropriate University authority through the Head of the Department at least 60 days before the date of the programme along with the following documents:

- (a) Three copies of the full text of paper prepared by the teachers/ officers for presentation at the international conferences/ seminars/ symposia/workshops. If it is a training programme of short duration, the details thereof?
- (b) Brief details of the organisers, title of the programme, place and duration of the conference etc. in which the paper is proposed to be presented or participation is desired.
- (c) A copy of the letter of invitation from the organisers of the conference accepting the paper for presentation, immediately after it is received, or a copy of the letter from the organisers of the conference inviting the teachers/ officers to chair a session/ section of the conference and mentioning details of the financial support offered, etc.
- (d) In case of seminars/ symposia/ workshops/ training programmes of short duration, invitation or other relevant documents should be given.

3. Pattern of Assistance (Travel Grant)

The University may meet a percentage of the admissible expenditure mentioned in para A-1 (c) (ii and iii) for travel, airport tax, maintenance and registration charges in respect of persons selected by it for assistance out of the "Unassigned Grant" provided that the remaining expenses are met by the University from its own funds, or other sources acceptable to the University. Teachers may also be allowed to bear the balance of expenses from their own resources.

- b. The decision of the University should be based on evaluation/comments of the referees on the paper to be presented regarding its quality and suitability, the standing of the host institution and level of programme. In other words, participation in programmes, which do not contribute to the professional skill of the participants, or which are not commensurate with national-level attainments in the area, should be discouraged.

Persons selected for participation in the scheme should travel by excursion category tickets in sectors by the cheapest available air ticket (in any case not exceeding Air-India fare). Actual fare for the journey not exceeding First Class train fare will be admissible for travel from the University headquarters to the nearest airport and back.

- d. Daily Allowance may be paid at the rates admissible in Government of India. In addition, the charges for accommodation shall be reimbursed on actual basis

as provided in the Government of India orders. The Daily Allowance rates cover the expense of teachers incurred on board, incidental expenses and internal travel within the country concerned.

- e. Such of the teachers/ officers who are selected for assistance may spend at least 2 weeks in the country where the programme is held and they should utilise the period, outside the programme days, for visiting Institutions in the subject field. The work, and the detailed plan of such visits, should be submitted along with the proposal to the University.

A.2 International travel fare and maintenance to teachers selected under international collaboration exchange programmes of CSIR, INSA and other Governmental agencies

Teachers going under the International Collaboration Exchange Programme with INSA, CSIR, DST, ICSSR, ICAR, ICHR, MCI and other agencies, may be provided assistance to the extent of 50% of their travel expenses only out of the 'Unassigned grant' provided such assistance is not available under any of the approved items of Cultural Exchange Programme of the UGC. Other rules and conditions are the same as those governing the travel of teachers for attending programmes abroad as detailed in A.1.

A.3 International travel grant to teachers and officers for attending training programmes and seminars/ workshops

The rules and conditions are the same as those governing the travel abroad of teachers detailed in A.1. The University/ Its Selection Committee may consider the standing/ international reputation of the organiser and decide each case on its separate merit.

A.4 Travel grant to teachers/research scholars/technicians/registrars and equivalent position, Librarians, Physical Education Directors for visiting centres of research or to attend academic conferences/seminars/symposia/ workshops/training programmes within India

TA/DA as per University rules and Registration fee, subject to a maximum of Rs. 5,000/- may be paid on 100% basis, to the teachers, scholars, technicians and officers mentioned above selected by the University for assistance under this item. The request for assistance for international and the national programmes may be treated separately and the person need not be denied attendance at the one or the other.

A.5 Travel Grant for Academic Exchange of teachers within India

The guidelines for visits of teachers/experts/scientists within the country are given below:

- (i) Free accommodation and board to be provided by the host university from its own funds.
- (ii) Travelling expenses of the visiting teachers/experts may be met out of the 'Unassigned Grant' according to the rates prescribed by the host institution including air-fare, wherever necessary, with the approval of the Vice-Chancellor.

- (iii) The visiting teacher/expert may be paid an honorarium upto Rs. 300/- per lecture/seminar as decided by the Vice-Chancellor. A maximum amount of Rs. 1,500/- would be admissible for an assignment of not less than two weeks duration.

GROUP B : CONFERENCES/SEMINARS/WORKSHOPS/SHORT-TERM TRAINING PROGRAMMES ETC. UPTO 20% OF THE TOTAL ALLOCATION

Organisation of Seminars/Symposia/Conferences/Workshops/Short-term training programmes at the International, National, State and Regional Level Conferences

- (a) It has been decided that longer term programmes like summer institutes, refresher courses, will henceforth, be organised by the Academic Staff Colleges (ASC) and the recognised departments of universities. Therefore, support under 'Unassigned Grant' will be available only for organisation of programmes like short-term workshops or training programmes of less than 15 days/seminars/symposia and international/national/regional/state level conferences. Such programmes may be organised by the university without reference to the UGC. The following criteria may be kept in view for their organisation.
- (i) Schools or departments, which organise none or fewer programmes, should be given preference.
 - (ii) Academic programmes which are likely to give new awareness and break new ground may be encouraged.
 - (iii) Programmes in areas of research in which there is considerable activity or thrust/emerging areas.

The expenditure will be incurred by the university, as per the norms set forth below, subject to the overall availability of funds with the university in a year. Such proposals need not be referred to the Commission.

- (b) Travelling allowances and incidental expenses for out station participants, including the resource persons, may be paid as per the rules of the university concerned.
- (c) Secretarial/clerical, including Class IV, transport, office supplies, postage cyclostyling, xeroxing and other items.
- (d) Honorarium to the Director of the Programme and the resource persons should not exceed Rs. 1,000, each.
- (e) International Level Conference

A lump sum grant of Rs. 1,50,000/- may be provided for organisation of an international level programme provided that the programme is sponsored/supported by a well-established academic or professional body, and subject to the clearance of the UGC and the Government of India.

- (f) National, Regional and State Level Conferences

Assistance for national/regional/state level conferences may be provided as under:

National and regional level conference

Upto Rs. 75,000/-

State level conference

Upto Rs. 65,000/-

The quantum of support may be determined depending on the number of participants and the status of the conference.

GROUP C : PUBLICATION GRANT : UPTO 30% OF THE TOTAL ALLOCATION

- (i) The UGC support, under publication grants to universities, is for publication of (a) doctoral thesis, (b) learned research work, including research papers, (c) lectures delivered, such as, national lectures of UGC or lectures instituted in the name of leading personalities, (d) scholarly contributions of the faculty (non text-book), (e) seminar or conference papers.

This support should be given mainly by way of supplementing the work of private publishers. In the case of publication of articles in referred journals, full support may be extended by the universities under the publication grant. However, for publications other than doctoral theses, the quantum of assistance to be provided for publication may be considered with the help of an Expert Committee to be constituted by the universities for this purpose.

- (ii) Proposals from the college teachers who wish to get their Ph.D. theses/Learned research work published may also be considered by the respective universities as for other scholars who have been awarded Ph.D. degree and desire to have their thesis/research work published.

The university may get such work/thesis evaluated by two experts other than the examiners.

The university may pay honorarium upto Rs. 200/- to each of the experts, up to a maximum of two experts, for evaluating a thesis/research work out of the allocation made by the UGC.

- (iii) Universities participating in book exhibitions, organised by the Association of Indian Universities, may incur expenditure for participating in each exhibition from the grant made available under this scheme.
- (iv) The publication of proceedings of international or national conferences or seminars, hosted by a university, could also be considered by the university and expenditure on such publication may be met out of the grant allocated to the university under the above scheme.
- (v) The university may provide assistance for continuing publication of quality journals identified by the UGC, on the advice of various panels, for assistance upto a maximum of Rs. 15,000/- per annum for a journal, initially for a period of 3 years, out of the amount allocated to it under the scheme of publication of research work including doctoral thesis.

The quantum of assistance to a particular journal may be determined on the merit of each case, keeping in view the circulation of the journal, the number of printed pages each year, the number of copies printed and sold during the past 3 years; the rate of subscription and income, including subsidy from various sources and expenditure.

- (vi) Repetitive publication of books should not be considered under this scheme. Assistance would be available only once for the first publication. The publication should be printed in India only.
- (vii) The university may either publish the work under its supervision and control or get the thesis published through reputed publishers. Payments towards the cost of a publication should not be made to the author, but directly to the publisher by the university. The author could be consulted regarding the publisher, if it is not done through the university press.
- (viii) The authors should not be required to make any financial contribution towards publication of their work under this scheme.
- (ix) The university may follow the Indian Copyrights Act for deciding the question of copyright of the work approved for the publication grant.
- (x) With a view to ensuring high academic standards, the universities should take utmost care in making proper selection of the research work and thesis for publication. The manuscripts should be assessed by experts, usually by two (other than the examiners), in the specific area.
The university may avail of the services of professional people for editing, referencing, spacing of the manuscripts from the point of view of quality and presentation, and may meet expenditure in this regard out of the grant allocated for publication.
- (xi) Besides seeking the advice of commercial publishers/distributors while selecting a manuscript for publication, the universities may consider the desirability of appointing sole and/ or regional selling agents/ distributors.
- (xii) The amount of subsidy for publication of a thesis should not exceed Rs. 15,000/- unless the university is itself publishing the thesis on its own, in which case it may meet actual expenses on its publication.
- (xiii) Where assistance to a publication is substantial, the university should undertake it as its publication and a major part of the money realised through the sale (after making provision of royalty to the author, commission to retailers, etc.) should be credited to the fund for publications so that it can support other books to be published. The money obtained through sales of books published with UGC support, should not be used by the universities as revenue.
- (xiv) There should be proper coordination among the agencies providing financial assistance for similar purposes, i.e. ICHR, ICSSR, NBT, Indian Institute of Advanced Study, Simla. To avoid duplication of assistance, the universities should provide a column in the proforma inviting proposals for financial assistance to obtain information as to whether a particular scholar has approached any other organisation for the same publication and if so, with what result.

GROUP D : SUPPORT FOR MINOR RESEARCH PROJECTS : UPTO 20% OF THE TOTAL ALLOCATION

1. Universities may provide assistance from Rs. 15,000/- to Rs. 50,000/- for research in science, humanities, including languages and social sciences in three instalments as mentioned below:

- i) 40% at the time of sanction.
 - ii) 50% on submission of progress report.
 - iii) 10% on submission of manuscript completion report.
2. The projects should not exceed normally 2 years, but in no case should it go beyond 3 years.
 3. Preference may be given to Readers and Lecturers for undertaking Minor Research Projects.
 4. The university may constitute a Research Academic Committee for Minor Research Projects with representatives from major Faculties/ Departments. Such committees will invite proposals and monitor research.
 5. It should meet at least once in six months to review ongoing projects.
 6. The Committee will sanction the proposals and use expert advice where required.
 7. Teachers seeking research support under this programme are required to submit a detailed research proposal. Only such proposals should be accepted and screened as per above procedures.
 8. External experts may be paid on honorarium of Rs. 200/- for evaluation of research proposals sent to them.

ANNEXURE-I**UTILISATION CERTIFICATE**

It is certified that the following expenditure has been incurred by the university for the Unassigned Grant Scheme during the year.

| <i>Items</i> | <i>Allocation</i> | <i>Actual expenditure</i> |
|----------------------------|-------------------|---------------------------|
| A - Travel grant | Rs. | Rs. |
| B - Seminar/ symposia etc. | Rs. | Rs. |
| C . Publication grant | Rs. | Rs. |
| D - Minor Research Pfoject | Rs. | Rs. |
| Total | Rs. | Rs. |

The details of above expenditure has been given in the enclosures.

If, as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken to refund or adjust the objected amount.

It is further certified that all conditions laid down by the UGC vide its letter No. F. _____ dated _____ have been strictly enforced.

Signature of the
Registrar or
Finance Officer

Dated:

Seal of the University

**STATEMENT OF EXPENDITURE AGAINST THE ITEMS
GROUPED UNDER GROUP 'A' UNDER THE SCHEME OF
"UNASSIGNED GRANT" DURING THE YEAR**

1. Travel grant to teachers/scientific and technical officers for participation in international conferences/seminars/symposia held abroad

| <i>Name & Designation</i> | <i>Department</i> | <i>Name of Conference etc. attended with dates</i> | <i>Exp. incurred</i> | <i>Amount paid out unassigned grant</i> | <i>Source for the balance, if, any</i> |
|-------------------------------|-------------------|--|--------------------------|---|--|
|-------------------------------|-------------------|--|--------------------------|---|--|

2. Travel grant to teachers selected under the International Collaboration Exchange Programme with CSIR, INSA and other agencies etc.

| <i>Name & Designation</i> | <i>Department</i> | <i>Name of programme attended with dates</i> | <i>Exp. incurred</i> | <i>Amount paid out unassigned grant</i> | <i>Source for the balance, if, any</i> |
|-------------------------------|-------------------|--|--------------------------|---|--|
|-------------------------------|-------------------|--|--------------------------|---|--|

3. **Travel grant to teachers/administrative officers/scientific/technical officers for visiting centres of research or to attend academic conferences/seminars within India**

| <i>Name & Designation</i> | <i>Department</i> | <i>Name of Conference etc. attended with dates</i> | <i>Exp. incurred</i> | <i>Amount paid out unassigned grant</i> | <i>Source for the balance, if, any</i> |
|-------------------------------|-------------------|--|----------------------|---|--|
|-------------------------------|-------------------|--|----------------------|---|--|

4. **Academic Exchange of teachers within India**

| <i>Name & Designation of the expert invited</i> | <i>Department</i> | <i>Expenditure incurred</i> |
|---|-------------------|-----------------------------|
|---|-------------------|-----------------------------|

It is Scertified that a expenditure of Rs. _____ under the scheme of 'Unassigned Grant' under Head – A has been incurred during the year as per details given above in accordance with the guidelines laid down by the UGC and that all the terms and conditions of the grant have been fulfilled. If, as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken to refund or adjust the objected amount.

Signature of the
Registrar or
Finance Officer

Dated:

Seal of the University

GROUP 'B'

**STATEMENT OF EXPENDITURE FOR ORGANISATION OF SEMINARS/SYMPOSIA/
WORKSHOPS/TRAINING PROGRAMMES/CONFERENCES (INTERNATIONAL/
NATIONAL/STATE LEVEL)**

(Strike out items not applicable/Add what is relevant)

1. Name of the Programme :
2. Duration :
Opening Date : Closing Date :
3. Number of Participants
 - a) Out-station
 - b) Local
 - c) Total
4. Name of the Director:
5. Items of expenditure incurred:
 - i) Board and lodging charges for _____ out-station participants/ resource persons Rs.
 - ii) Hospitality to _____ local participants/ resource persons Rs.
 - iii) TA & incidental charges to out-station participants _____ including resource persons _____ etc. Rs.
 - iv) DA to foreign participants (if any) Rs.
 - v) Internal Travel to foreign participants (if any) Rs.
 - vi) Honorarium to Director and resource persons Rs.
 - vii) Misc. & Contingencies Rs.

Total expenditure incurred Rs.

Grant received from the UGC Rs.

Income from any other source
(Please indicate the source and amount)

Rs.

Total

Rs.

Income

Rs.

Expenditure

Rs.

Balance

Rs.

Certified that an amount of Rs. _____ against the grant of Rs. _____ has been spent for organisation of _____ as per UGC guidelines. If as a result of check or audit some irregularity is brought to the attention of the university, action will be taken to regularise the same as per rules of the audit.

Signature of the
Director of the Programme

Signature of the Registrar or
Finance Officer

GROUP 'C'

**STATEMENT OF DETAILS OF EXPENDITURE ON PUBLICATION OF RESEARCH/
LEARNED WORK INCLUDING DOCTORAL THESIS FOR THE YEAR _____**

| S. No. | <i>(a) Title of thesis/ work and (b) Name and designation of the author</i> | <i>(a) Name and designation of the 2 experts on whose recommendations the publication was approved and (b) date of approval (c) Remuneration, if any paid to experts.</i> | <i>(a) Total estimated cost on publication (b) Assistance subsidy approved (c) cost of the book and (d) Number of copies printed</i> | <i>Total exp. incurred including honarium if any, paid to experts</i> |
|-----------|---|---|--|---|
| 1 | 2 | 3 | 4 | 5 |

In case where no assistance
was approved, indicate number
of such cases.....

Total: Rs. _____

Certified that an expenditure of Rs. _____ as per details given above was incurred by the university on publication of research/ learned work including doctoral thesis in accordance with the guidelines. It is also certified that the grant was utilised for the purpose for which it was sanctioned. If as a result of check or audit objection some irregularity is noticed at a later stage, action will be taken to refund or adjust the objected amount.

Signature of the Registrar
or Finance Officer

Seal of the University

GROUP 'D'

STATEMENT OF DETAILS OF EXPENDITURE INCURRED FOR SUPPORT FOR MINOR RESEARCH PROJECTS

| S.No. | (a) Name and designation of the teacher/undertaking the project | Title of the project | Amount approved for the project | Amount spent during the year |
|-------|---|----------------------|---------------------------------|------------------------------|
| | (b) Department | | | |

Total

Certified that a sum of Rs. _____ (Rupees _____) has been utilised in accordance with the guidelines, and that the grant was utilised for the purpose for which it was sanctioned and all the terms and conditions in this regard have been fulfilled. If as a result of check or audit objection some irregularity is brought to the attention of the university action will be taken to regularise the same as per rules of the audit.

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DOC, No D-10813
Date 04-12-99

Signature of the Registrar

Seal of the University

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