

University Grants Commission

Research Project for Teachers

***XII Plan guidelines
(2012-2017)***

University Grants Commission

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UNIVERSITY GRANTS COMMISSION

12th PLAN GUIDELINES FOR PROVIDING GRANTS TO UNIVERSITY/COLLEGE TEACHERS FOR MAJOR RESEARCH PROJECT

1. INTRODUCTION

The University Grants Commission strives to promote teaching and research in emerging areas in Humanities, Social Sciences, Languages, Literature, Pure sciences, Engineering & Technology, Pharmacy, Medical, Agricultural Sciences etc. The emphasis would be supporting such areas that cut across disciplines and subjects such as health, gerontology, environment, biotechnology, nanotechnology, stress management, WTO and its impact on economy, history of science, Asian philosophy and many other areas as would be identified by subject experts. There are disciplines such as defence and strategic studies which include national security affairs, insurance and banking, economics and world trade which in a true sense are multidisciplinary in nature, cutting across disciplines of sciences, humanities and social sciences, and are of importance in a rapidly changing global scenario. These and allied disciplines need to be studied and researched in a more organized manner. Institutionalization of such activities is a need of the present times.

2. OBJECTIVES

The universities have been the centres of research. Although, the Government has a network of science and technology laboratories for research and development, the major base of researchers in science and technology remains with the universities and colleges. Hence, university and college teachers need to be supported to meet their requirements for individual research in specialized areas.

To promote excellence in research in higher education by supporting research programmes of University and College teachers in various disciplines.

3. ELIGIBILITY/TARGET GROUP:

The University Grants Commission will provide support to permanent/regular, working/retired teachers in the Universities and Colleges (Under Section 2(f) and 12 B of UGC Act, 1956) only.

The permanent teachers working in self financing Institutions [Self financing colleges subject to fulfilment of conditions stipulated in the UGC (Fitness of Institution for grant Rules, 1975) and subject to the condition that fees charged by such colleges are in accordance with the State/University fee regulations or as laid down by any law in force also eligible to apply under the scheme.

A teacher, working or retired can avail only one project/ scheme of the UGC at any given time. The one, which is offered and accepted first irrespective of Principal Investigator/Co-Investigator, must be completed before the other offer is accepted. **Failure to abide by this rule shall make the Principal Investigator/Co-Investigator and the Institution liable to refund the entire amount paid by the UGC in all such schemes. They may be also debarred from participation in future UGC programmes.** It would be the responsibility of the Principal Investigator/Co-Investigator and the host Institution for total accountability of the project. After completion of one project (date of finalization of accounts of the project). **If a teacher desires to undertake another UGC project, a gap of one year will be necessary.** The Principal Investigator should publish two papers in a reputed journal in the form of

Books/Article/Presentation in seminar etc. from the said project completed.

Retired teachers can apply under the scheme up to the age of 67 years and must have a Co-Investigator (Permanent Teacher) from the same Department, where the project is likely to be undertaken.

Only the teaching faculty of Library Science, Physical Education, Principals and Vice-Chancellors will also be eligible to participate in the scheme.

Colleges/Universities/ Institutions forwarding the proposal should have a dequate r esearch facilities.

4. NATURE OF ASSISTANCE:

The quantum of assistance for a research project will be as under:

Major Research Project in Scie nces including Engineering & T echnology, Medical, Pharmacy Agriculture etc. - Rs. 20.00 lacs.

Major Research Project in Humanities, Social Science, Languages, Literature, Arts, Law and allied disciplines - Rs. 15.00 lacs.

The Commission will provide financial support for the items like Equipment, Books and Journals, **(Project Fellow)**, Hiring Services, Contingency, Chemicals and Consumables, Travel and Field work.

Non-Recurring Grants

a. Equipment

b. Books and Journals

The equipment as well as books & journals grants may be utilized to procure the essential equipments and books & journals needed for the proposed research work.

The escalation, if any, in the cost of approved equipment may be met out of savings/re-appropriation from Non-recurring head only with the approval of Principal/ Registrar of the college/ University under intimation to the Commission.

The equipments and books & journals acquired by the Principal Investigator under a Major Research Project must be deposited to University/ College/Institution or in the departmental library or the central library after the completion of the project which will be the institutional property. The University/colleges/Institution should make every effort to put all the equipment available in the laboratories in effective use.

Recurring Grants

a. Honorarium to Retired Teachers

Honorarium to retired teachers is admissible at the rate of **Rs.18,000/- p.m.** upto the age of 70 years. If the Principal Investigator attains the age of 70 years during middle of the tenure of the project and some more work needs to be done, the Principal Investigator should complete the work without any honorarium for the rest of the period. If a teacher retires during the tenure of the project, he/she will also be eligible for honorarium on receipt of an affidavit indicating his/her date of birth, date of superannuation and that he/she is not employed anywhere or is not drawing

honorarium from any other Government/Non-Government organization, duly oath commissioned and witnessed by the Registrar/Principal/Director of the University/College/Institute.

b Project Fellow

Project Fellow may be appointed with a consolidated fellowship of:

- i) **NET/GATE qualified**-Rs. 16,000/- p.m. for initial 2 years and Rs. 18,000/- p.m. for the third year.
- ii) **Non-GATE/Non-NET**- Rs. 14,000/- p.m. for initial 2 years and Rs. 16,000/- p.m. for the third year.

The person to be considered for appointment as Project Fellow must have second class master degree with a minimum of 55% marks for general category (50% in case of SC/ST/PH) or M.Phil in the subject concerned or a related subject. The candidate to be appointed as Project Fellow should be below the age of 40 years at the time of appointment. **The Project Fellows should do work full time in the project and get the fellowship from one source only.**

The Retired Principal Investigators are not entitled for Project Fellow. They should do work full time research.

HRA

Suitable hostel type accommodation may be provided for Project Fellow failing which they are eligible for HRA as per rules of the University/Institution.

Project Fellow who has been provided accommodation in a hostel recognized/ maintained by the Institution may be reimbursed the hostel fee.

Leave

The Female Project Fellows would be eligible for maternity leave at full rates for a period not exceeding four months once only during the tenure of MRP. Project fellows will not be entitled to avail vacations, e.g., summer, winter and pooja etc.

MEDICAL FACILITIES

Project fellow may be provided medical facilities as per rules of the University/Institution. However, the UGC will not provide any financial assistance on this account.

MODE OF SELECTION

The selection of the Project Fellow may be made by an open selection through a duly constituted Selection Committee. The constitution of the Selection Committee will be as under:

- 1 Head of the Department will act as Chairperson
- 2 One Subject Expert (External) (from the institute other than the Institute where the project is undertaken)
- 3 One nominee of the Vice-Chancellor/Head of Institution/Principal (in case of college)
- 4 Principal Investigator

The University/College should inform the UGC in the prescribed proforma certifying that all norms have

been followed while selecting the Project fellow.

The University/College(s) will disburse fellowship amount to the Project Fellow from the date of joining out of first instalment released to the Principal Investigator which also includes 50% of the fellowship of the Project Fellow.

(c) Hiring Services

This is meant for specialized technical work, such as sample analysis, for which the University/Institution either has no infrastructure or such services are available on payment basis. Stenographic/ Data Entry Operator services may be hired for the purpose of preparation of questionnaire/ schedule or report writing and not for routine correspondence.

Such of the Principal Investigators who have not been given Project Fellow on a regular basis, may hire a person for technical assistance and the person so engaged must fulfil the qualifications prescribed for Project Fellow. He/she may be paid remuneration at par with the Project Fellow, limited to a maximum of 6 months in the total tenure of the project.

(d) Contingency

The admissible contingency grant may be utilized on spares for apparatus, photo-stat copies and microfilms, typing, stationary, postage, telephone calls, internet, fax, computation and printing needed for the project. Expenditure towards advertisement for post of Project Fellow and the audit fee may also be claimed under contingency head.

(e) Special Needs : Assistance may be provided for any other special requirement in connection with the project which is not covered under any other 'Head' of assistance under the scheme.

(f) Chemicals and Consumables

To meet expenditure on chemicals, glassware and other consumable items.

(g) Travel and Field Work

The amount allocated under the head travel/field work is to be utilized for data collection and collection of other information such as documents and visit to libraries within the general scope and sphere of the ongoing project. This should not be used for attending conferences, seminars, workshops and training courses etc. However, the PI's may travel by air or any other mode of transport if they are entitled for the same in their parent Organisation/Institutions restricted to the allocation under the concerned head. They may also avail special casual leave/duty leave for field work/collection of data as per University rules.
Foreign travel is strictly prohibited in this scheme.

(h) Institutional Overheads (only for institution)

The host Institute will be provided additional grant to the tune of 10% (ten percent) of the approved recurring grant as overhead cost, to provide infrastructural facilities including office support, administrative and accounting services to the PI's.

(i) Re-Appropriation

The Principal Investigator may re-appropriate maximum 20 per cent of the **recurring** grant allocated under each head with the permission of Registrar/Principal under intimation to the UGC with the justifications. **The fellowship/Honorarium/Institutional overhead grants cannot be re-appropriated.**

(j) Tenure and Implementation

Three years.

The effective date of implementation of the project will be given by the Commission in approval-cum-sanction letter.

5. PROCEDURE FOR APPLYING

All eligible teachers may submit their MRP applications ONLINE from 1st April to 31st July in the prescribed proforma available on the UGC website. Before submitting to the UGC the concerned institute should get the proposal assessed by their Research bodies with a certificate that the proposed research work is in conformity with the MRP guidelines. The downloaded three (3) copies of the same duly forwarded by the Registrar/Principal of the concerned University/College/Institution should be brought at the time of interface meeting.

The Minor Projects will be dealt by the concerned University out of the development grants.

The College teachers who wish to avail financial assistance for Minor Research Project should submit their Minor Research Proposal applications in the proforma to the UGC Concerned Regional Office located at Bhopal, Kolkata, Guwahati, Hyderabad, Bangalore and Pune. (list of Regional office is attached). The teachers from the colleges in the Northern Region including Delhi may apply to the UGC Northern Region Colleges Bureau at 35, Feroze Shah Road, New Delhi – 110 001.

6. PROCEDURE FOR APPROVAL

Major Research Project

The proposals (Online and downloaded) received duly forwarded by the concerned Universities/Colleges will be assessed with the help of a subject expert committee constituted by the UGC. The Principal Investigators whose proposals found complete in all respect will be invited for making presentations before the Committee. No TA/DA would be paid to the participants. The final decision will be taken by the

UGC on the basis of recommendations made by the Committee and the availability of funds under the scheme.

7. PROCEDURE FOR RELEASE OF GRANTS

Universities:

The first instalment of the grant shall comprise of 100% of the Non – Recurring including Over Head Charges, and 50% of the total Recurring grant approved by the Commission for the total duration of the project. The grant will be released to the Registrar/Principal of the University/College.

The amount released may be spent according to the approved heads/items within the approved allocation mentioned in sanction letter.

After one and a half year from the date of implementation of the project the UGC will organize Mid-term evaluation interface meeting wherein PI will present the progress of the project before the subjects experts. On the basis of recommendations of the experts, progress report, expenditure statement and utilization certificate, the UGC will release the 40% of the total recurring grant as the second instalment. If the **Non-Recurring** grant is not utilized before Mid-term Evaluation meeting, prior permission may be obtained from the Vice-Chancellor of the University.

Remaining 10% will be released on receipt of following completion documents as final reimbursement.

A copy of the final report of project along with soft copy.

It is mandatory to post the Executive summary of the report, Research documents, monograph, academic papers provided under Major Research Project on the website of the University/College.

Month – wise and year – wise detailed statement of expenditure towards salary of staff appointed under the project.

A consolidated item – wise detailed statement of expenditure incurred during the complete project period in the prescribed proforma duly signed and sealed by Registrar/Principal and the Principal Investigator.

A consolidated Audited Utilization Certificate for the amount actually utilized towards the project duly signed and sealed by Govt. Internal Auditor/ Chartered Accountant, Registrar/Principal as well as the Principal Investigator in the prescribed proforma.

The unutilized grant if any, may be refunded immediately through demand draft drawn in favour of the Secretary, University Grants Commission, payable at New Delhi.

The Principal Investigators/Institutions are expected to settle the accounts immediately on completion of the project. In case the balance grant, if any, is not claimed within **six months from the date of completion of the project, the same will lapse and no representation will be entertained on this behalf.**

8. MONITORING AND EVALUATION

The UGC will invite the fresh proposals from 1st April to 31st July of every year and final selection committee meetings will be organised subsequently.

Mid-term evaluation meetings for ongoing projects will be organised by the bureau after completion of minimum one and half year.

The Commission would decide the continuance of the project on the recommendations of the UGC Mid-Term Evaluation Committee. If Principal Investigator fails to attend mid-term review meetings, the Commission may discontinue/ cancel the project in normal circumstances and entire amount to be refunded by the Principal Investigator to the UGC.

After the completion of project tenure i.e. 3 years the parent institution of PI's should arrange to make the final assessment/evaluation of the project minimum by two expert members not belonging to their institution. Then institution should forward the completion documents along with the expert committee report.

9. GENERAL

a) After finalisation of the selection procedure of the Major Research projects the names of the selected PI will be posted on the UGC website. The PI should check their names and send their acceptance certificate duly forwarded by the Registrar/Principal of the institutions immediately, to enable the UGC to send the approval/sanction letters.

(b) Project is not transferable in any case.

c) Any Principal Investigator, who wants to go on any assignment outside the country not exceeding three months, in the absence of Principal Investigator Co-Investigator may act as Principal Investigator.

d) If the PI is transferred from his/her original place of work to another Institution (under Section 2 (f) and 12 (B) of the UGC Act, 1956) No Objection Certificate should be furnished for the transfer of the project from both the Institutions stating that necessary facilities will be provided by the Institution in which the awardee is transferred for the smooth running of the project.

e) PI may publish the results of the study on the project acknowledging the contribution made by the staff appointed for the project and the support received from the UGC.

f) Project Fellow engaged in the project may enrol for Ph.D. The data generated and the results obtained out of the Project may be incorporated by the Project Fellow in his/her thesis with the concurrence of the Principal Investigator.

g) If a Principal Investigator fails to complete the project, he/she has to refund the entire amount sanctioned with interest.

h) No extension in tenure is permissible in any circumstances.

Annexure - I

(Application Form Online)

Url: <http://www.ugc.ac.in/mrp/>

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ACCEPTANCE CERTIFICATE FOR RESEARCH PROJECT

Name _____

No.F. _____ dated _____

Title of the Project _____

1. The research project is not being supported by any other funding agency.
2. The terms and conditions related to the grant are acceptable to the Principal Investigator and University/College/Institution.
3. At present, I have no research project approved by UGC and the accounts for the previous project, if any have been settled.
4. The College/University is fit to receive financial assistance from UGC and is included in the list of Section 2(f) & 12 (B) prepared by the UGC.
5. The Principal Investigator is a retired teacher and eligible to receive honorarium as he/she is neither getting any honorarium from any agency nor is he/she gainfully employed anywhere.
6. (i) His/her date of birth is _____
(ii) Age _____
7. The date of implementation of the project is _____

Principal Investigator

**Registrar/Principal
University/College**

(Seal)

Co-Investigator

Dated: _____

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STATEMENT OF EXPENDITURE IN RESPECT OF MAJOR RESEARCH PROJECT

1. Name of Principal Investigator _____
2. Deptt. of Principal Investigator _____
University/College _____
3. UGC approval Letter No. and Date _____
4. Title of the Research Project _____
5. Effective date of starting the project _____
6. a. Period of Expenditure: From _____ to _____
b. Details of Expenditure _____

S.No.	Item	Amount Approved (Rs.)	Expenditure Incurred (Rs.)
i.	Books & Journals		
ii.	Equipment		
iii.	Contingency		
iv.	Field Work/Travel (Give details in the proforma at Annexure- IV).		
v.	Hiring Services		
vi.	Chemicals & Glassware		
vii.	Overhead		
viii.	Any other items (Please specify)		

c . Staff

Date of Appointment_____

S.No	Items	From	To	Amount Approved (Rs.)	Expenditure incurred (Rs.)
1.	Honorarium to PI (Retired Teachers) @ Rs. 18,000/-p.m.				
2.	<u>Project fellow:</u> i) NET/GATE qualified -Rs. 16,000/- p.m. for initial 2 years and Rs. 18,000/- p.m. for the third year. ii) Non-GATE/Non-NET - Rs. 14,000/- p.m. for initial 2 years and Rs. 16,000/- p.m. for the third year.				

1. It is certified that the appointment(s) have been made in accordance with the terms and conditions laid down by the Commission.

2. If as a result of check or audit objection some irregularly is noticed at later date, action will be taken to refund, adjust or regularize the objected amounts.

3. Payment @ revised rates shall be made with arrears on the availability of additional funds.

4. It is certified that the grant of Rs. _____ (Rupees _____ only) received from the University Grants Commission under the scheme of support for Major Research Project entitled _____ vide UGC letter No. F. _____ dated _____ has been fully utilized for the purpose for which it was sanctioned and in accordance with the terms and conditions laid down by the University Grants Commission.

SIGNATURE OF PRINCIPAL INVESTIGATOR

REGISTRAR/PRINCIPAL

(Seal)

SIGNATURE OF THE CO-INVESTIGATOR

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STATEMENT OF EXPENDITURE INCURRED ON FIELD WORK

Name of the Principal Investigator:

Name of the Place visited	Duration of the Visit		Mode of Journey	Expenditure Incurred (Rs.)
	From	To		

Certified that the above expenditure is in accordance with the UGC norms for Major Research Projects.

SIGNATURE OF PRINCIPAL INVESTIGATOR

REGISTRAR/PRINCIPAL

(Seal)

SIGNATURE OF THE CO-INVESTIGATOR

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Utilization certificate

Certified that the grant of Rs. _____
(Rupees _____
_____ only) received from the University Grants Commission under the scheme of
support for Major Research Project
entitled _____

vide UGC letter No. F. _____ dated _____ has been fully
utilized for the purpose for which it was sanctioned and in accordance with the
terms and conditions laid down by the University Grants Commission.

**SIGNATURE OF THE
PRINCIPAL INVESTIGATOR**

REGISTRAR/PRINCIPAL
(Seal)

STATUTORY AUDITOR
(Seal)

SIGNATURE OF THE CO-INVESTIGATOR



**PROFORMA FOR SUPPLYING THE INFORMATION IN
RESPECT OF THE STAFF APPOINTED UNDER THE
SCHEME OF MAJOR RESEARCH PROJECT**

UGC FILE NO. F. _____ (HRP)

YEAR OF
COMMENCEMENT

TITLE OF THE PROJECT :

1.	Name Of the Principal Investigator :	Prof./Dr.				
2.	Name of the University/College					
3.	Name of the Research Personnel appointed					
4.	Academic qualification	S.No.	Qualifications	Year	Marks	%age
		1.	M.A./M.Sc./M.Tech.			
		2.	M.Phil			
		3.	Ph.D.			
5.	Date of joining					
6.	Date of Birth of Research Personnel					
7.	Amount of HRA, if drawn					
8.	Number of Candidate applied for the post					

CERTIFICATE

This is to certify that all the rules and regulations of UGC Major Research Project outlined in the guidelines have been followed. Any lapse on the part of the University will liable to terminate of said UGC project.

Principal Investigator

Head of the Deptt.

Registrar/Principal

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**MAJOR RESEARCH PROJECT COPY OF THE SPECIMEN OF HOUSE RENT
FOR PROJECT FELLOW**

Certified that Shri/Dr. _____ is paying House Rent of Rs. _____ and is eligible to draw House Rent Allowances @ _____ as per University Rules.

**Registrar/Principal
(Signature with Seal)**

Certified that Shri/Dr. _____ is not staying independently and therefore is eligible to draw House Rent @ of Rs. _____ p.m. minimum admissible to a Lecturer as per University Rules.

**Registrar/Principal
(Signature with Seal)**

Certified that Shri/Dr. _____ has been provided accommodation in the Hostel. But he/she could not be provided with single seated flat type accommodation as recommended by the Commission, Hostel fee @ Rs. _____ per month w.e.f. _____ is being charged from him/her.

**Registrar/Principal
(Signature with Seal)**

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**Annual/Final Report of the work done on the Major Research Project.
(Report to be submitted within 6 weeks after completion of each year)**

1. Project report No. 1st/2nd/3rd/Final _____
2. UGC Reference No.F. _____
3. Period of report: from _____ to _____
4. Title of research project _____
5. (a) Name of the Principal Investigator _____
(b) Deptt. _____
(c) University/College where work has progressed _____
6. Effective date of starting of the project _____
7. Grant approved and expenditure incurred during the period of the report:
 - a. Total amount approved Rs. _____
 - b. Total expenditure Rs. _____
- c. Report of the work done: (Please attach a separate sheet)
 - i. Brief objective of the project _____
 - ii. Work done so far and results achieved and publications, if any, resulting from the work (Give details of the papers and names of the journals in which it has been published or accepted for publication _____)
 - iii. Has the progress been according to original plan of work and towards achieving the objective. if not, state reasons
 - iv. Please indicate the difficulties, if any, experienced in implementing the project _____

- v. If project has not been completed, please indicate the approximate time by which it is likely to be completed. A summary of the work done for the period (Annual basis) may please be sent to the Commission on a separate sheet.

- vi. If the project has been completed, please enclose a summary of the findings of the study. One bound copy of the final report of work done may also be sent to University Grants Commission.

- vii. Any other information which would help in evaluation of work done on the project. At the completion of the project, the first report should indicate the output, such as (a) Manpower trained (b) Ph. D. awarded (c) Publication of results (d) other impact, if any

SIGNATURE OF THE PRINCIPAL INVESTIGATOR

REGISTRAR/PRINCIPAL

(Seal)

SIGNATURE OF THE CO-INVESTIGATOR

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PROFORMA FOR SUBMISSION OF INFORMATION AT THE TIME OF SENDING THE
FINAL REPORT OF THE WORK DONE ON THE PROJECT

1. Title of the Project.....
2. NAME AND ADDRESS OF THE PRINCIPAL INVESTIGATOR
3. NAME AND ADDRESS OF THE INSTITUTION
4. UGC APPROVAL LETTER NO. AND DATE
5. DATE OF IMPLEMENTATION
6. TENURE OF THE PROJECT
7. TOTAL GRANT ALLOCATED
8. TOTAL GRANT RECEIVED
9. FINAL EXPENDITURE
10. TITLE OF THE PROJECT
11. OBJECTIVES OF THE PROJECT
12. WHETHER OBJECTIVES WERE ACHIEVED
- (GIVE DETAILS)
13. ACHIEVEMENTS FROM THE PROJECT
14. SUMMARY OF THE FINDINGS
- (IN 500 WORDS)
15. CONTRIBUTION TO THE SOCIETY
- (GIVE DETAILS)
16. WHETHER ANY PH.D. ENROLLED/PRODUCED OUT OF THE PROJECT.....
17. NO. OF PUBLICATIONS OUT OF THE PROJECT
- (PLEASE ATTACH)

(PRINCIPAL INVESTIGATOR)

(REGISTRAR/PRINCIPAL)

(Seal)

(CO-INVESTIGATOR)

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ASSESSMENT CERTIFICATE
(to be submitted with the proposal)

It is certified that the proposal entitled" _____"by
(Dr./Prof./Mr./Mrs.) _____ Deptt.
of _____ has been assessed by the
_____committee consisting the following
members for submission to the University Grants Commission, New Delhi for
financial support under the scheme of Major Research Projects:

Details of Expert Committee:

The proposal is as per the guidelines.

(REGISTRAR/ PRINCIPAL)

(Seal)

To certify that:

- a. The University/College/Institute is approved under Section 2(f) and 12(b) of the UGC Act and is fit to receive grants from the UGC.
- b. General physical facilities, such as furniture/space etc., are available in the Department/College.
- c. 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.
- d. 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.
- e. The above Research Project is not funded by any other agency.

Name and Signature of Principal Investigator

Signature of Co- Investigator

**Registrar/Principal
(Signature with Seal)**