

**GUIDELINES FOR
RESEARCH AWARDS
DURING XI PLAN
(2007-2012)**



**UNIVERSITY GRANTS COMMISSION
BAHADUR SHAH ZAFAR MARG
NEW DELHI – 110 002
Website : www.ugc.ac.in**



XI PLAN GUIDELINES

UNIVERSITY GRANTS COMMISSION

Research Awards

1. Introduction

Teachers who have a doctorate degree and have shown excellence in their fields are considered for the award. The **Research Award** is given to only those lecturers, senior lecturers, and selection-grade lecturers, readers and professors who are in continuous regular service in a recognised institution on permanent posts and are under 45 years of age at the time of submission of their application. In the case of Women, SC/ST/OBC (non-creamy layer)/ Physically Handicapped. Minorities the age limit shall be 50 years. The awardee will be eligible to avail of the Research Award only once.

2. Objectives

The objectives of the scheme are to provide opportunities to regularly appoint permanent teachers of universities/institutions to pursue research in their area(s) of specialisation for a period of two years without undertaking any research guidance. A provision for extension of tenure of Research Award has been made for one year only on the recommendation of the subject experts in exceptional cases. The total numbers of **100 slots** are available under the scheme every alternate year

In order to remain in touch with the latest developments in their respective areas of teaching and research, the awardees may take classes/teach in their place of work/institution of implementation of the Award, without any additional remuneration. This period of teaching is inclusive of the full tenure of the award.

3. Target Group/Eligibility

Regularly appointed permanent teachers who have a doctorate degree and have shown an aptitude for research may apply for the Award. They must have been published papers/articles in reputed/referred journals, and have made contributions to editorial boards, collaborative research nationally, internationally or with industries/national organisations and universities/institutions recognised under Sections 2(f) and 12(B) of the UGC Act. The applicant should possess a Ph.D degree.

Lecturers, senior lecturers, and selection-grade lecturers, readers and professors who are finally selected for the Award are eligible for taking classes marginally as already

prescribed above. However, they are restricted from taking any other assignment paid/unpaid during their tenure.

4. Procedure for Applying for the Scheme

The Commission will invite applications for these awards through a notification in Employment News along with short notifications in leading national dailies and by circulation to universities. **The candidate is required to send the application (in duplicate) in the prescribed pro-forma Annexure-I, copies of two best publication/research work along with the application as rated best by him/her.** The application form duly recommended and authenticated by the Head of the Department and the Registrar/Principal may be sent to: **The Joint Secretary, Selection and Awards Bureau, University Grants Commission, South Campus, Delhi University, Benito Juarez Marg, New Delhi-110021.**

Incomplete applications (in any form), directly sent applications and applications received after the due date will not be considered.

5. Procedure for Approval by the UGC

The conferment of the Research Award will be based on the recommendations of an expert committee constituted by the UGC, which will also interview short listed candidates. The Commission reserves the right of canceling or withdrawing the Award without assigning any reason.

6. Pattern of Assistance Available Under the Scheme

The financial assistance available under the scheme is as follows:

- Full salary of the awardee with admissible allowances will be reimbursed to the institution where the awardee is undertaking research except the CPF/GPF contribution, as the same is to be borne by the parent institution.
- Research grant to meet expenditure on books and journals, chemicals and equipment for the entire period is as under: (i) Humanities and Social Sciences: Rs.2.00 lakh (ii) Sciences/Natural Sciences/Engineering and Technology: Rs.3.00 lakh
- The awardee, being on duty leave, will continue to earn normal increment and maintain his/her seniority in the parent university/institution.
- He/she will be entitled to holidays and all other privileges as per his/her entitlement in the university/institute, including facilities of staff quarters/medical assistance, etc. during the period of the award.
- Expenditure towards travel within the country in connection with research work has to be met out of the research grant only. No additional funds will be provided for this purpose.
- Foreign visit in connection with the approved research work of the awardee will be limited to once in a year with the prior approval/no-objection of the

Institution/University where the project work is being undertaken along with that of UGC. This will be further subject to no financial liability on the part of UGC.

- The expenditure towards engagement of any project assistant duly selected by the Selection Committee constituted by the concerned University/College/Institute will have to be met out of research grant for a maximum amount of Rs.5000/- p.m. (consolidated) during the tenure of the award only. The tenure of the project assistant will be co-terminus with the Research Award.
- The Commission will not provide any grant towards the salary of the substitute, if appointed, in place of the awardee.

7. Procedure for Release of Grants by UGC

The Commission will release one-third of the total allocation of the research grant as the first installment and one year's salary and allowances as per entitlement of the awardee on the receipt of the joining report (**Annexure II**), through the concerned university/institute in favour of the scholar. The balance of the grant will be released equitably for the remaining period after receiving the statement of expenditure and utilization certificate (**Annexure III**).

Finally, an audited statement is to be obtained from the university/institute (temporarily that of a chartered accountant will be acceptable if it is a government college, and that of the statutory audit authority's should be made available later). Any claim submitted by the awardee should be forwarded by the concerned institution where the awardee is working.

8. Procedure for Monitoring the Progress of the scheme

The awardee shall submit a mid-term progress report (**Annexure IV**) of the research work through the head of department as well as the Registrar of the University/Principal of the college within 12 to 15 months from the commencement of the project. It will be considered by the expert committee of UGC for mid-term evaluation and correction required, if any. In case the research work is found unsatisfactory, the award will be discontinued. On completion of the award, one copy of the final report of the project should be submitted by the awardee through Head of department to the UGC along with an abstract. In the consolidated report, the awardee must outline the objectives set forth and objectives achieved, along with possible application of the research output and names of user agency/organisation and industry that can take advantage of the research.

The awardee may also mention in the research publication that the research has been sponsored by the UGC under the Research Award Scheme. Copies of the final report will be retained in the library of the university/institution where the awardee has worked. However, no extension is permissible beyond the total period of two years, and the awardee ceases to be UGC Research Awardee immediately after expiry of the date. Any claim/reference to this effect will be illegal and the individual may have to face disciplinary action.

9. Reservation

The Commission will provide 15% reservation for Scheduled Caste candidates, 7.5 % Scheduled Tribe candidates and 27% for OBC (non-creamy layer) candidates

10. Other Conditions

The change of the proposed place of research chosen by the awardee and mentioned in his/her application will not be permitted at a later stage. The awardee may use the research grant for travel in India as per university/college rules.

The maximum period of leave entitlement during two years is six months, which may be utilised for research and other academic activities in India. The awardee shall be entitled for salary during the leave period. The period spent on leave will be counted towards the total tenure of the award.

The awardee will decide the manner of Utilisation of the grant for the purchase of books, journals, stationery items and equipment (approved by the UGC expert committee) as necessary. The expenditure on the above items will be accounted for and audited by the auditors of the university/college as any other departmental expenditure. The books, journals and equipment purchased out of this grant will become the property of the department of the university on completion/termination of the Award.

The amount for purchase of equipment will be sanctioned in one installment. No import of any equipment is permissible out of the research grant. However, voluntary donation by any agency from abroad will be governed by Government of India rules with the prior permission of the UGC.

11. Cancellation of Award

The fellowship is liable to be cancelled in case of:

- Misconduct.
- Unsatisfactory progress of research work.
- Candidate found ineligible later.



ANNEXURE- I

UNIVERSITY GRANTS COMMISSION
APPLICATION FORMAT FOR RESEARCH AWARD
 (To be filled in by the applicant in block letters only)

PART A

Affix attested Passport-size photograph

1. Name of university/college (parent organisation):
2. Whether:
 - a. Approved under Section 2(f) of the UGC Act:
 - b. Approved under Section 12(b) of the UGC Act:
3. Name of applicant: Dr./Prof.
4. Whether belong to Scheduled Caste/Scheduled Tribe/OBC/PH (write 1 for SC
2 for ST, 3 for OBC 4 for PH):
 (Tick the appropriate category and attach copy of the relevant certificate).
5. Date of birth:
6. Name of the department:

a. Designation:	Date of appointment:
b. Name of the college:	
c. University to which affiliated:	
d. Telephone:	Fax:
7. Address for correspondence:
 PIN: Telephone/fax number/E-mail:
8. Permanent address:
 PIN: Telephone/fax number:
9. Experience:
 - a. Research:
 - b. Teaching:
- 10 Field of specialisation:
11. Educational qualifications:

Degree	Year	University/college	% of marks	Division
B.A./B.Sc.				
M.A./M.Sc.				
Ph.D.				
D.Litt.				
D.Sc.				

(Attach attested copies of degrees)

12. Any other study/research done for the proposed topic in India or abroad other than own university/college

13. Number of papers published

a. In foreign journals:

b. In Indian journals:

c. Number of books, if any:

d. Number of papers/books under publication, if any:

PART B

1. Name of the university/institution/college where the proposed project is to be undertaken:

College affiliated to which university:

Name of department:

2. Whether institution covered under Sections 2(f) and 12(B) of the UGC Act?

3. Details of the proposed project

a. Subject:

b. Title of the project (block letters):

c. A synopsis of the project indicating:

(i) Problem to be investigated:

(ii) Objective of the project:

(iii) Hypothesis:

(iv) Research design and methodology:

(v) Details of the tools, etc. required for the project:

(vi) Academic significance of the project:

(vii) Relevance to present-day problems:

(viii) Relevance to needs of society/country:

(ix) Its likely contribution to knowledge:

4. Are you aware of work being done on identical projects in any other institution in the country? If so, attach a note in this regard, giving present status of such work as well as the proposed measures you would like to adopt to cover any gap, if untouched.

5. In case you are finally selected by the UGC, please indicate that you are aware that no change of centre of work will be permitted at a later stage:

6. Please indicate whether you have already submitted or availed of any other project with financial assistance from the UGC or from any other agency: If yes, give the following details:

Year	Amount received	Date of completion

7. Any other information of academic/technical nature about this project that you would like to provide in support of the application:

UNDERTAKING

I, Dr. _____ possess a Doctorate of Philosophy (Ph.D.) degree and am now working as a permanent teacher at _____ since _____.

I certify that general facilities such as furniture, study space and library facilities are available accessible to me for this project in the university/college.

I shall abide by the rules governing the scheme in case assistance is provided to me from the UGC for the above project.

I shall complete the proposed project within the stipulated period, and if I fail to do so, or in case the progress of research work is found unsatisfactory, the Commission may terminate the project immediately and the grant paid by the Commission will be refunded by the university/college.

In case I make any wrong declaration of facts or conceal anything, I shall be liable for any deterrent action, as the Commission deems necessary.

Signature of the applicant with date

**UNIVERSITY GRANTS COMMISSION
UNDERTAKING FROM THE UNIVERSITY/INSTITUTION/COLLEGE**

Dr. _____, who is an applicant for the scheme of Research Award, is working at _____ since _____. In case he/she is selected, he/she will be relieved from teaching responsibilities for the period of award and will be entitled to all seniority and other benefits as available to him/her under the employing conditions of the university/institution/college.

The centre of work initially opted by the applicant will not be permitted to be changed at later stage.

The Commission may reject any application without assigning a reason.

Signature of Registrar/Principal/Director

Seal of the Office with Date



ANNEXURE II

UNIVERSITY GRANTS COMMISSION
SELECTION & AWARD BUREAU
SOUTH CAMPUS OF DELHI UNIVERSITY
BENITO JUAREZ MARG NEW DELHI 110 021

JOINING REPORT

Name of awardee:

Award letter number and date:

This is to certify that _____ has joined the department of _____ under the above scheme of the University Grants Commission with effect from _____ (F.N./A.N). He/she will be provided with all necessary facilities during his/her tenure. Also certified that he/she will not be a recipient of emoluments from any other source after joining the fellowship. The total amount due for the period _____ towards his/her fellowship comes to Rs. _____.

Registrar/Principal:

University/institution: (with seal)



ANNEXURE III

**UNIVERSITY GRANTS COMMISSION
SELECTION & AWARD BUREAU
SOUTH CAMPUS OF DELHI UNIVERSITY
BENITO JUAREZ MARG NEW DELHI 110 021**

Form for Submitting Accounts of Contingency Grants and Utilisation Certificate

1. Name of awardee:

2. Code number:

3. Name of the scheme under which he/she is working:

4. Period for which the account of contingency grant relates:

5. Expenditure:

From:
Amount:

To:
Date:

(b) Research staff

(c) Books and allied items

(d) Typing (tracing and ammonia printing)

(e) Stationery

(f) Postage

(g) Chemical and electrical goods 6. Period for which contingency grants is payable:

Certified that the expenditure of Rs. _____

(Rupees _____) out of the contingency grant of Rs. _____

sanctioned vide Commission letter number F _____, dated _____ in respect

of _____ has been utilised for the purpose for which it was

sanctioned in accordance with the terms and conditions laid down by the University Grants Commission.

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

Signature of Awardee

**Head of Department
Registrar/Principal**

STATEMENT OF RESEARCH STAFF & DATE OF UGC SANCTION LETTER NUMBER
DATED _____

Designation & scale of pay	No. of posts approved	No. of appointments made	Name of the the persons appointed with qualification	Date of appointment	Initial salary of appointment	Actual expenditure during tenure	Estimated expenditure for
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Total _____

1. It is certified that the appointment/awards have been made in accordance with the terms and conditions laid down by the University Grants Commission.

2. It is certified that the expenditure shown is not being incurred for the purpose of grant in the expenditure statement for any other scheme.

Signature of Principal/Registrar



ANNEXURE V

**UNIVERSITY GRANTS COMMISSION
SELECTION & AWARD BUREAU
SOUTH CAMPUS OF DELHI UNIVERSITY
BENITO JUAREZ MARG NEW DELHI 110 021**

UTILISATION CERTIFICATE

Certified that an amount of Rs. _____ (Rupees _____) has been utilised out of the sanctioned grant of Rs. _____ (Rupees _____) for the purpose for which it was sanctioned in accordance with the terms and conditions laid down by the UGC in respect of Prof. /Dr. _____ under the scheme of _____, sanctioned vide letter number _____, dated _____ to the _____. The unspent amount of Rs. _____ has been carried forward/refunded vide demand draft number _____ dated _____ for Rs. _____ .

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

**Supervisor
(Rubber stamp)**

**Head of Department
(Rubber stamp)**

**Registrar/Principal
(Rubber stamp)**

N.B.: For any correspondence in this regard, the Commission's letter number and date may please be quoted without fail.