

Research and Study Scheme of Planning Commission

(XII FIVE YEAR PLAN)

Guidelines for Operation of the Research and Study Scheme

PLANNING COMMISSION

(RESEARCH DIVISION)

October, 2013

GUIDELINES

I. INTRODUCTION-RESEARCH AND STUDY SCHEME

1. Main Activities supported

The 'Research and Study Scheme' (hereinafter referred to as 'the Scheme' in these guidelines) of the Planning Commission would aim at supporting studies, Research and Investigation in areas related to the Economy, Development and Planning processes. Projects as well as publications on these themes will be encouraged. In addition, Seminars, Workshops, Conferences colloquiums around these topics will also receive support under this Scheme.

- 1.2 The Scheme is implemented by the Research Division in the Planning Commission, in partnership with the Subject Matter Divisions (SMDs) in all relevant matters as required. Under the Scheme, grants-in-aid to Universities / Research Institutions would be provided, to the extent admissible under the Scheme, for carrying out the aforesaid activities on topics/subjects of interest to Planning Commission, as decided by the Competent Authority.

2. The Objective of the Scheme:

The objective of the Scheme is to stimulate and encourage research and studies that are suitable for enhancing the understanding of (i) plan formulation (ii) future requirements for Planning—both short-term and long term, (iii) the processes of implementation of plans and programmes and the need for re-defining them to suit the objectives of the planning process, (iv) conducting socio-economic studies, (v) studying the plans and policies of the country in the context of international economic environment and such other processes as may be deemed fit. To ensure that the scheme is operated only to fulfill these objectives, the Planning Commission would fund those studies/research projects selected on subjects/topics chosen and duly communicated

to the short-listed organisations/institutions or advertised by the Planning Commission, as per GFR-compliant procedures delineated in these guidelines. In the case of Seminars/Workshops and for of publication of research/study reports/books/monographs, etc., even proposals submitted *suo moto* would be entertained for consideration, subject to the condition that they meet the objectives and are so certified by the appropriate authority required under the guidelines.

II. GENERAL CONDITIONS AS APPLICABLE FOR THE ENTIRE SCHEME

3. *Main Components Eligible for Grants-in-Aid under the Scheme:*

Grants-in-aid will be given, for the following activities:

- (1) **Research Studies** including grant of permission for publication of the findings/report of such research studies conducted/undertaken with funding under the Scheme;
- (2) **Seminars/Workshops** by institutions
- (3) **Publication of research** undertaken by Institutions, as well as researchers affiliated to Institutions, and, individual researchers based on the merits of the cases received by the Planning Commission. These proposals may be received *suo moto* or solicited from identified deserving persons. The grant-in-aid will be subject to ensuing that only quality research reports/ works are funded under this Scheme and they enrich the knowledge-base in the fields and directions considered important by Planning Commission.

4. *Eligibility of Institutions for seeking grants-in-aid under the Research and Study Scheme:*

4.1.1 Grants-in-aid under the Research and Study Scheme shall be given only to eligible institutions/organisations. Eligibility for funding under the Scheme would be decided as per the following criteria (to be fulfilled by the applicant institutions/organizations) as given below.

- (i) An Institution or Organisation set up as an Autonomous Organisation under a specific statute or as a Society registered under Societies Registration Act, 1860 or Indian Trusts Act, 1882 or other statutes and academic institutions accredited / affiliated to, or recognized, as a University or Deemed University would be considered eligible.
- (ii) For any Institution other than those covered under (i), the Institution
 - a) Must qualify to receive annual recurring grants by specific establishments of the Government like UGC, ICSSR etc., **or**
 - b) must have successfully executed projects* for certain institutions of Central Government which have been established for financing research, like CSIR, ICMR, ICAR or similar Central Government Organization set up primarily for the purpose of funding research work, **or**
 - c) Must have successfully executed a research project study* entrusted by any Ministry/Department of the Govt. of India or State Government.

*Successful execution of a research project/study (in this instance, for the purpose of ii)b) and ii)c) above) is determined by acceptance of the completed project report and the Utilization Certificate (UC) for the expenditure incurred for the purpose by the concerned Central Government Institution/ Ministry/ Department or Office that has released grants-in-aid to the institution for the relevant

research project (i.e., the project taken up under funding from that other authority).

Or

- (iii)** An institution/organisation that was granted approval and sanction earlier under the SER Scheme of the Planning Commission, till the XI Five Year Plan, and completed the research/study successfully Debarment on any account or any proven complaint of financial / any other irregularity would render the institution/organization ineligible under this Scheme.

Note: As regards the eligibility of an institution/organization under 4.1.1(iii), the Research Division would take a decision in consultation with the SMD concerned. It is to be noted further that institution/organization would also have to be not-for-profit to be eligible under this Scheme for assistance.

4.1.2 As regards the decision on whether or not a particular institution/individual is eligible to be considered for funding under this scheme, the Research Division would make relevant analysis and make relevant enquiries and then forward to the SMD dealing with the relevant topic/subject of research/study for which proposals have been solicited, for their vetting on the eligibility of the institution concerned. In case the SMD differs from the Research Division on the decision in this regard, except in cases covered under the provision 4.1.1 (iii) above, the matter would be put up to Secretary, Planning Commission, for his/her decision on the issue.

4.1.3 However, there may be cases where the institution had earlier applied for research/study relevant to one SMD and is now applying for research study in a subject relevant to some other SMD. If the institution is asking for consideration of its eligibility under 4.1.1 (iii) above, then the SMD dealing with the completed research/study would be the relevant

SMD responsible for comments and views as per 4.1.1 (iii) of these guidelines.

4.1.4 Research Division shall also be the Secretariat for the operation of the Scheme. Further modalities for assessment of competence of the institution for research will be determined after due consultation with the concerned Subject Matter Divisions and other Government institutions or Universities working in the relevant field, if such consultation is considered necessary for the purpose.

4.1.5 Any institution, which has been or was, black-listed or debarred from receiving any grant from the Government for any specific period, will not be considered for funding under the Scheme for the relevant specific period. ***For the purpose of operation of the Scheme, in the case of any breach of the conditions laid down in the approval letter coming to notice, organization will be black listed from receiving any grant under the Research and Study Scheme for a period of five years from the date of approval of the Competent Authority on such a decision of debarment.***

4.1.6 Ordinarily no multinational institution/UN affiliated organization would be considered for funding under the Research & Study Scheme, as it is anticipated that their programmes are adequately funded.

III. SUPPORT TO RESEARCH/STUDY PROPOSALS

5.PROCEDURES FOR INVITING/DEALING WITH/DISPOSING OF RESEARCH/STUDY PROPOSALS UNDER THE SCHEME:

Research study proposals that are submitted in response to such advertisements/notifications as would be issued in pursuance of these Guidelines should be submitted in the format as per **Annexure-1 (A to D)**. Ordinarily, proposals for evaluation study shall not be considered, for funding, under the Research and Study Scheme.

5.1 PROCEDURE:

5.1.1 Subject Matter Divisions (SMDs) of the Planning Commission shall identify Thrust Areas / Topics for Research Studies and inform the Research Division about the same twice in a year i.e. in April and December each year and the Research Division, in turn, will invite proposals from eligible Institutions on these Thrust Areas/Topics by following the procedures as laid down herein. Research Division would also suggest any such Thrust Area/Topic *suo moto* without any specific recommendation from the SMD, particularly in multi-disciplinary areas of study that encompasses more than one SMDs.

5.1.2 While inviting proposals for study/research under this scheme, the Research Division reserves the right to cancel the process at any stage, without assigning any reasons therefor.

5.1.3 While deciding on such Topics/Thrust Areas, the views of the concerned Ministry/Department may be obtained by the Subject Matter Division. The exact procedures to be followed are as laid down in para 5.2 below.

5.2 PROCEDURE FOR RECEIPT AND PROCESSING OF RESEARCH/STUDY PROPOSALS:

5.2.1 Choice of topic/subject: Once the topic/subject is chosen in the manner as defined/detailed above, the concerned SMD would be requested by the Research Division to define the study to be undertaken in terms of context, content and time-frame for its completion as well as the objective/end-use of the study proposed to be undertaken. Once the same is done, Adviser of the SMD would convey the same to Adviser (Research), in writing. However, the Research Division itself may choose any such topic/subject as already pointed out and, in such cases, defining the study would be the responsibility of the Research Division.

5.2.2 Quality: While forwarding a subject for study, the concerned SMD should also bring out why the research/study as proposed should be entrusted to an external agency to be engaged and how their requisite expertise is considered to be useful for undertaking such a study. For the purpose of these guidelines, such external agencies have been referred to as institutions/organizations.

5.2.3 Objectives, Scope, etc.: Once the requisite information/comments are obtained from the concerned SMD or one firmed up by the Research Division as per the procedures laid down in paras 5.2.1 and 5.2.3 above, the Research Division, after due consultation with the concerned SMD, will prepare the requirements, objectives and the scope of the particular assignment as well as special technical eligibility and pre-qualification criteria, if any, for an applicant to meet for taking up this particular assignment. Reasonable expenditure for the relevant assignment may also be suggested.

5.2.4 Short-listing of Eligible Institutions/Organisations: The short-listing of eligible institutions/organizations for estimating the assignment thus firmed up would be done on the basis of the provisions as contained in Rules 168 and 169 of the GFR. If three Institutions/Organisations cannot be short-listed even after following that procedure, then, an open tender may be invited for the purpose. As far as

the procedures laid down in Rule 168 (i) of the GFR are concerned, the relevant inquiries from other concerned Ministries/Departments/Organizations would be made by the concerned SMDs whereas the Research Division may also suggest names of such institutions/organisations on the basis of the list of eligible institutions available in its records.

5.2.5 GFR Procedures as regards 'Procurement of services': The GFR lays down the procedure to be followed in the matter of 'Procurement of Services' by the Central Government authorities. The procedures to be followed for implementation of the instant Scheme shall be, as far as possible, comply with the abovementioned guidelines, as modified from time to time.

5.2.6 Eligibility Analysis: The eligibility analysis of Institutions/organisations would be done as per the yardsticks provided in Para 4 above. Only the eligible institutions/organizations are to be short-listed for the purpose of further processing. Efforts would be made not to short-list too many eligible institutions/organizations for a particular assignment and, in case, names of too many institutions/organizations are available for a particular assignment, only a few of them (less than 10) would be short-listed on the basis of (i)their past performance/association with the Planning Commission, (ii)their research works/performance in the relevant field, (iii)nearness of such institutions/organizations in the areas of survey, if any such surveys are to be undertaken for the purpose of execution of the assignment concerned. This short-listing would be done on the basis of the suggestions of the concerned SMD, and due vetting of the SMD, at the levels of Advisers and above.

5.2.7 ToR and RFP: The Terms of Reference (ToR) and the Request for Proposal (RFP) for any such study proposal would be prepared by the

Research Division on the basis of the inputs provided by the concerned SMD. The document, thus prepared, would then be duly vetted by the SMD concerned. Once the RFP is ready, the same, containing the relevant TOR, would be duly sent to the short-listed institutions/organizations, requesting them for response to the same by stipulated date/time. The responses of the willing applicants should be sent in the format as prescribed in Annexure-I (A to D). Annexure-I (B) would constitute the technical bid and Annexure-I (C) and Annexure-I (D) would constitute the financial bid. Every shortlisted institution/organization will have to submit Technical [Annexure-I (B)] and Financial bid [Annexure I (C) and I (D)] separately in sealed envelopes, as per the normal procedure in this regard.

5.2.8 Research Evaluation Committee: For examination of the proposals submitted by the short listed institutions/organizations in response to the RFP, there would be a standing Research Evaluation Committee (REC) chaired by Senior Adviser/Adviser (Research) and consisting of Senior Adviser/Adviser of the SMD, and the representative of the IFD (not below the rank of Director), besides the Chairperson. The REC will devise its own procedures.

5.2.9 REC shall recommend the research/study to be awarded to some organization/institution following the procedures laid down in Rules 172-175 of the GFR. However, the REC may declare the process as infructuous on any of the following grounds:

- (i) None of the proposals is as per the format prescribed in the RFP or accompanied by requisite documents or none of these takes into account the directions / suggestions of the REC as regards the proposed study;
- (ii) Submission of the Reports of earlier studies conducted by the short-listed institutions/organizations or the Utilization

Certificates or any other information sought in connection with the study proposal are pending beyond any reasonable limit;

- (iii) The methodology proposed by the short-listed applicants for the concerned study is considered not relevant to the objectives/subject matter of the study as given in the RFP or not as per the requirements of the Planning Commission;
- (iv) The institutions/organizations otherwise eligible are found lacking in expertise in the relevant field;
- (v) The costs claimed by the institutions/organizations are too exorbitant,
- (vi) The sample size, area of coverage or methodology proposed by the shortlisted applicants are found to be not up to the mark, in the context of the research/study proposed to be undertaken.

5.2.10 Studies of Special Importance : The study proposals based on specific recommendations on topics/subjects as received from Prime Minister's Office, Deputy Chairman or Members, Planning Commission, shall be considered as Priority Studies for approval and due sanction of Grants-in-aid, subject to fulfillment of other terms and conditions as laid down in the instant guidelines. In other words, in the cases of such requests/references, all the guidelines would be followed but, as regards their processing, the procedure would be fast-tracked in the sense that, if necessary, they would be approved/sanctioned even if others in the queue before them cannot be, due to lack of funds. Under this provision, the Planning Commission may also nominate some renowned/reputable institution/organization as a knowledge partner if so decided by Secretary, Planning Commission. If an institution/organsiation is to be engaged by the Planning Commission as a knowledge partner, the two organizations would have to draw up a Memorandum of Understanding

(MoU) clearly delineating the deliverables from both the sides. In such cases, the relevant SMDs would be doing all the necessary work for concluding the relevant MoUs and the Research Division and the IFD would vet the MoU before it is finalized for signing. However, all other conditions as regards funding research/study proposals would be applicable in such cases if the partnership proposal is to be considered/funded under the Research and Study Scheme.

5.2.11 Approval and Sanction Process: Once the REC recommends a study proposal to be undertaken, the same would be referred to the Internal Finance Division (IFD), Planning Commission for concurrence and, then, to Secretary, Planning Commission for sanction/administrative approval on the proposal and, concurrence and sanction of the 1st installment of the study/research. On due sanction/approval, Research Division will issue the Sanction Order (a sample of such an order is attached). In case of any breach of the terms and conditions of the project, the remaining amounts to be sanctioned would be forfeited.

5.3 AMOUNT OF FINANCIAL SUPPORT AND TIME LIMIT FOR RESEARCH STUDIES:

5.3.1 (A) Grants-in-Aid for Studies: The ceiling for the **grant-in-aid to be sanctioned for studies** is as indicated below:

- i. In case of research studies not requiring field survey and sample collection, up to **Rs. Ten Lakhs**.
- ii. In case of research studies requiring detailed field survey and sample collection activities, up to **Rs. Twenty lakhs**.

5.3.1 (B) Definitions for use in the context of instant para

The following standards and norms shall be considered for respective categories of the studies for grants-in-aid, based on average possible sample size of 250 sample units per State/UT, with suitable/

appropriate distribution of the total sample across the districts covered within the States under coverage.

Very Small Sample (VSS) Size: Generally covering from one to three States/Union Territories with a total of at least one to three districts from the selected States/ UTs and total sample sizes not less than 600 final stage units (respondents).

Small Sample Size (SS) Study: Generally covering at least four to eight States/ Union Territories (UTs) with a total of at least four to eight districts from the selected States/UTs and total sample sizes not less than 1000 final stage units (respondents).

- Both VSS and SS size studies above are subsumed within the category 5.3.1 (A) (i) in the sense that costs of such studies would be decided in accordance with these definitions and, for VSS size studies, the cost ceiling would be Rs. 6.00 (Six) lakhs.

Medium Sample (MS) Size Study: Generally covering at least eight to sixteen States /Union Territories (UTs) with a total of at least eight to sixteen districts from the selected States/UT and total sample size not less than 1,500 final stage units (respondents).

Big Sample (BS) Size Study: Sample size of the study or coverage of states or districts beyond those of medium sample size study, covering a total sample size not less than 2,000 final stage units, would come in this category.

- * Both MS and SS size studies above are subsumed within the category 5.3.1 (A) (ii). For MS size studies, the cost ceiling would be Rs. 15.00 (Fifteen) lakhs.

5.3.1(C) Clarifications: However, within the ceiling limits for categories/sub-categories of studies mentioned in 5.3.1 (A), the actual cost to be approved would depend upon the man-hours/man-months

required for different categories of research manpower, as per the cost criteria given in Annexure-1 (C).

5.3.2 The Time Limit for completion of any research study is in case of **(i)** a research/study project with approved cost of not more than Rs. 10 lakhs, not more than 6 Months and **(ii)** any other research/study project, not more than 12 Months. The requests for extension in the period for completion of the on-going study may be considered on merits by the Research Division ***and maximum period of extension may be granted for six months.*** However, any request for such extension must reach the Research Division at least 15 days before the completion of tenure already approved.

5.3.3 The date of release of the first installment shall be considered as the date of commencement of the research study for consideration of the duration/period of completion of the assigned research/study.

5.4 **DISBURSEMENT OF AMOUNT FOR RESEARCH STUDIES:**

Grants-in-aid for research studies shall be disbursed in three installments as under:

Installment	Percent of Sanctioned Amount	Stage
1st	30	On approval and after receiving the acceptance of Terms and Conditions on Bond* on ten rupees Non-Judicial Stamp duly executed by Head of the Institution, authenticated on each page along with the draft structured / Non-structured questionnaire / Schedules of every level of data / information collection for the study. The questionnaire/Schedule will be reviewed in accordance with these Guidelines for release of First Installment.
2nd	40	After the review of Draft Report or Progress Report containing modified / updated Schedules / Questionnaires and out put in physical terms e.g.: data collected, compiled and table plan/tables prepared etc. of the work done with the brief analysis/report and the receipt of UC (in the prescribed Format*) of the First Installment released for the study, duly signed by the Head of the Institute. The 2nd installment would not be released unless and until the grantee submits a draft report containing preliminary findings as regards the study (on the issues/aspects mentioned in the TOR/RFP, with special mention of the physical progress of the study in quantifiable terms). The second installment would be processed only if the expenditure of at least 5% of total cost out of the 10% of total cost to be borne by the grantee is reflected in the Utilization Certificate of the First installment.
3rd	30	After receipt of desired number of copies of Final Report of the study [<u>Printed and bound (not spiral) in</u>

		a book form in A5 or A4 size best quality paper], CD -ROM containing complete final report, UC of full amounts sanctioned and the portion of cost to be born by the grantee and certified statement of expenditure of amount incurred on the study, duly signed by the Head of the Institute. However, if there is any shortcoming in the draft report (so adjudged by the SMD), then the 3 rd installment would be withheld till such time the observations thus received from the SMD are addressed. Hence, the grantees are requested to send at least three copies of the final report before sending the same for printing / finalizing the same for publication. The third installment would be processed only if the expenditure of the balance cost of the 10% to be borne by the grantee is reflected in the Utilization Certificate of the second installment.
TOTAL	100	

* **Specimens of Bond and Utilization Certificate are at Annexure-3 and Annexure-4** respectively.

5.5 ASSESSMENT AND REVIEW OF PROGRESS OF STUDIES

5.5.1 Adviser (Research Division) shall seek advice / views/ comments of the Adviser of the concerned Subject Matter Division on Questionnaire / Progress Report / Draft Report / Completed Study Report. Every grantee will be required to submit a quarterly progress report on the study/research undertaken, at the end of each quarter starting from the date of approval/sanction of the project. The progress report format would be proposed by the concerned SMD and vetted by the Research Division. These progress reports would be compiled by the Research Division FY/quarter-wise and the same would be submitted to Secretary for his/her kind perusal and further instructions.

5.5.2 Assessment regarding acceptability of Questionnaire / Progress Report / Draft Report / Completed Study Report shall be made by Adviser (Research Division) based on the comments given by the Adviser of the concerned SMD or observations of the SMD made on the presentation, if any, given by the concerned institution/organisation.

IV. FUNDING FOR SEMINARS/WORKSHOPS

6. General Principles:

- (I) Only National level Seminars /Workshops shall be considered for grants-in-aid under the Research and Study Scheme.
- (II) Proposals for Seminars/Workshops must be submitted strictly in the format as per **Annexure-2** at least **12** weeks before the date of the seminar/workshop for consideration of grants-in-aid under the Scheme.
- (III) During a particular financial year, only one proposal from a grantee for conducting a Seminar/Workshop shall be considered for grants-in-aid.
- (IV) Proposals for *ex-post facto* request for sanction of grants-in-aid for seminar/workshop shall be considered under the Scheme, only in exceptional circumstances with full justification.
- (V) Only eligible institutions would be considered for grant of fund under this scheme for holding seminars/workshops. The eligibility conditions would be the same as in para 4 of the instant guidelines, *mutatis mutandis*.
- (VI) Seminar/Workshop proposals from individuals shall not be admissible for seeking grants-in-aid under the Research and Study Scheme.

6.1 OBJECTIVE: Purpose of providing grants-in-aid for Seminars/Workshops shall be to stimulate an informed discussion or debate on research themes/topics essential to planning process and development ***with active participation and partnership by Planning Commission from supporting SMDs, as well as renowned names in the relevant field.*** .

6.1.1 Proposals by Invitation: Advisers-in-Charge of Planning Commission may propose to invite proposals on research themes/topics on which Seminars/Workshops need to be supported under this Scheme. However, if some such proposal is to be invited, the concerned SMD

would request the Research Division, accordingly and the Research Division would place an advertisement online, on the web-site of the Planning Commission requesting for such proposals with a mention of the specific topic and the manner in which the Seminar/Workshop would be conducted, seeking for Expressions of Interest (EoIs). The Research Division may also propose research themes and topics. In all cases, advertisements would be placed online on the web-site of the Planning Commission after obtaining approval of Secretary, Planning Commission, in that regard. On receiving the EoIs in the prescribed format as given in Annexure-2 of these guidelines, the eligible ones will be duly short-listed and then bids would be invited from those short-listed eligible institutions/organizations for holding the Seminars/Workshops. Once the bids are received, a suitable recommendation would be made as regards the seminar/workshop proposal in question by a Bid Evaluation Committee consisting of Senior Adviser (Research), Adviser (Research), Director (Research), and Director of the concerned SMD.

6.1.2 Other Proposals: Proposals submitted *suo moto* by Institutions/Organisations are termed as **Other Proposals**. These proposals should be submitted, directly, Senior Adviser/Adviser (Research Division) and comments and views of the concerned Adviser-in-charge of the Subject Matter Division will be obtained. Advisers are empowered to recommend a proposal for Seminar/Workshop, keeping in view the usefulness of its subject matter and the priorities of that Division. Proposals with such recommendation also would have be considered within the category of 'Other Proposals'. The Bid Evaluation Committee, as mentioned in para 6.1.1 above would make a suitable recommendation on such a proposal received in the format as given as Annexure-2 of these guidelines.

6.2 PROCESSING OF SEMINAR/WORKSHOP PROPOSALS & DECISION:

6.2.1 All proposals of Seminars/Workshops received by the Planning Commission shall be initially processed by the Research Division with the approval of Senior Adviser/Adviser-in-charge in accordance with these guidelines and in consultation with the Adviser-in-charge of the concerned SMD.

6.2.2 The grants-in-aid shall be sanctioned for organizing Seminars/Workshops after obtaining the concurrence of the AS & FA and approval of the Secretary, Planning Commission, under the Research and Study scheme.

6.2.3 The Research Division shall thereafter issue a detailed approval letter specifying terms and conditions for acceptance by the Institute for organising the Seminar/Workshop that will also include the time frame for holding/completion of the seminar/workshop thus approved as well as the maximum amount approved for sanction.

6.2.4 However, the sanction/release of the amount or the actual expenditure, whichever is less, would be made in one lump-sum installment and only on re-imburement basis, i.e., in lump-sum, after the event is over and all necessary supporting documents/vouchers are duly submitted to the Planning Commission. It implies that the grantee would have to incur the entire expenditure from its own resources and then claim re-imburement that would be granted as per the terms and conditions laid down in the approval letter. The grantees would be required to submit any bill/voucher if as required by the Planning Commission for processing the sanction/release of the grant-in-aid.

6.2.5 For any such seminar/workshop, Planning Commission may require the national emblem/logo/name banner of Planning Commission may require that shown/displayed prominently and the support of Planning Commission may be acknowledged. The Planning Commission also reserves the right of nominating upto two persons with sufficient knowledge in the field to so as to participate in the event.

6.3 AMOUNT OF FINANCIAL SUPPORT AND CEILING LIMITS FOR SEMINAR / WORKSHOP:

6.3.1 Grants-in-aid for Seminar / Workshop: The revised limit for Grants-in-aid for a Seminar / Workshop shall be as under:

(i). up to **Rs. Six lakhs** for **National Level Seminar** wherein at least 25% key participants come from outside the State in which the Seminar/Workshop would be held, limited to the actual expenditure incurred by the grantee institute/organization in the case of the seminars/workshops. The proposals, which are accompanied by authentic document of acceptance or confirmation of participation by key participants along with the subject matter of their papers or lectures to be presented in the seminar/workshop, mentioning the level and nature of the seminar shall be considered for categorization as National Seminars for the purpose of sanction of grants-in-aid. Only National Seminars meeting the criteria mentioned above would be funded under the Scheme.

6.4 **DISBURSEMENT OF AMOUNT FOR SEMINAR / WORKSHOP:**

Grants-in-aid for Seminar / Workshop shall be disbursed in the following manner as under:-

Installment	Percent of Sanctioned Amount	Stage
1st	NIL	On Approval- After receiving the acceptance of Terms and Conditions on Bond* on Non-Judicial Stamp Paper of Rs.10/= duly executed by Head of the Institution, authenticated on each page along with the Final Schedule of the Seminar along with confirmation regarding participation of key participants and formal Invitation to Planning Commission for attending the seminar and in the case of International Seminars, copy of clearance obtained from the nodal / administrative ministry.
Sole Installment	100% of sanctioned amount limited to the of the actual expenditure	After receipt of ten Copies of Proceedings of the Seminar/ Workshop; CD, if possible/required, containing complete proceedings of seminar, UC* for the full amount approved or the actual expenditure incurred on the seminar/workshop and duly certified statement of expenditure on Seminar by the head of the Institution.
TOTAL	100	

*** Specimen of Bond and Utilization Certificate are at Annexure-3 and Annexure-4 respectively. *Request for release of the sole installment will have to be sent by the organization within the two month of holding the seminar.***

V. PROPOSALS FOR PUBLICATION OF RESEARCH WORK/STUDY

7. Introduction:

The proposal for publication of research work undertaken by an eligible institution or an individual researcher or a researcher affiliated to an eligible institution should be submitted enumerating details about the usefulness and application of the publication for scholars engaged in research on development planning.

7.1 GRANTS-IN-AID FOR PUBLICATIONS:

7.1.1 The grants-in-aid for publication of Quality Research Work of an Institution or individual affiliated to an Institution shall be sanctioned conditionally* based on its usefulness in research and development planning. Publication of the Studies/Research works of basic and theoretical nature also would be considered for funding under this scheme. The Publication grant shall be considered only in those cases, where no grants-in-aid under the Research and Study Scheme have been provided for the concerned research work.

***Conditions for acceptance by the grantee institution are mentioned in Annexure-5.**

7.1.2 (a) The amount of grants-in-aid for publication of research work shall be upto ***Rs. Four lakhs*** to eligible institutions or individual Researchers or Researchers affiliated to eligible institutions. Eligibility of an institution would be adjudged in terms of the conditions laid down in Para 3 above. As regards the eligibility of an individual researcher not affiliated to an institution, the same would be recommended by Senior Adviser/Adviser or in-charge of the Research Division in consultation with his counterpart in charge of the concerned SMD to Secretary, Planning Commission, for his/her decision. However, no individual would be considered eligible unless and until either (i) he is an eminent

academician in the relevant field with a Ph.D. or published works in the relevant field or (ii) he is an eminent serving / retired civil servant with long and distinguishing career in the relevant field.

(b) The grants-in-aid shall be limited to the amount prescribed in the Guidelines or the actual expenditure incurred by the grantee, whichever is less.

7.2 PROCESSING OF PROPOSALS FOR PUBLICATION GRANT:

All proposals for publication grant received by the Planning Commission shall be initially processed by the Research Division with the approval of Senior Adviser/Adviser (Research) in accordance with these guidelines and in consultation with the Adviser-in-charge of the concerned SMD.

7.2.1 Advisers-in-charge of SMDs shall be competent to recommend a proposal for publication grant keeping in view the usefulness of its subject matter to that Division and for wider research.

7.2.2 The grants-in-aid shall be sanctioned for publication under the Research and Study scheme, after obtaining the concurrence of the AS & FA and approval of the Secretary, Planning Commission.

7.2.3 The Research Division shall thereafter issue a detailed sanction specifying terms and conditions for acceptance by the Institute for publication grant

7.3 DISBURSEMENT OF AMOUNT FOR PUBLICATION GRANT:

Grants-in-aid for publication shall be disbursed in Two installments as under:-

Installment	Percent of Sanctioned Amount	Stage
No amount would be disbursed at the time of the approval of the proposal.		

1st	50	After receipt of the fully edited proof of the print showing that all requirements of the Planning Commission in terms of terms and conditions agreed upon at the time of the approval have been met/incorporated.
2nd	50	After receipt of desired number of copies of document (book) / publication; CD, if possible/required, containing complete material of the publication, UC* for the full amount approved and duly certified statement of expenditure on publication by the head of the Institution/Researcher.
TOTAL	100	

*** Specimens of Bond and Utilization Certificate are at Annexure-3 and Annexure-4 respectively.**

VI. FURTHER GENERAL CONDITIONS AS REGARDS THE SCHEME

8. DISSEMINATION & FOLLOW UP ACTION ON COMPLETED RESEARCH:

8.1 The fact that Planning Commission provided financial Support under the Scheme of Research and Study will be duly acknowledged on any document produced with its support, whether or not circulated widely, and the disclaimer indicated below will be prominently displayed on such a document.

“DISCLAIMER The Institution has received the grants-in-aid under the Research and Study Scheme of the Planning Commission to produce the document. However, Planning Commission is not responsible for findings or opinions expressed in the document prepared. This responsibility rests with the Institution.”

If there is any specific requirement of Planning Commission as regards such acknowledgement in a particular manner, then the same would be mentioned in the terms and conditions and, once the same is accepted by the grantee Institution/Organisation, they would have to abide by that.

8.2 The copyright of the published project report of research studies undertaken under the Research and Study Scheme or research work published with the help of the grant-in-aid meant for this purpose under the Scheme shall vest with the Planning Commission.

8.3 Copies of **Final Report** of the study/ **Proceedings of seminar** etc./**Publication** funded would be provided to the concerned Subject Matter Division and senior officers in the Planning Commission by the Research Division. SMD may further disseminate the study report, etc., to the Ministries/ Departments of Central / State Governments concerned for discussion, use and action in the process of development planning and programmes.

8.3.1 The findings of a study may be discussed with the Administrative Ministries during the Annual Plan discussion for fine tuning of the schemes and programmes of the concerned Ministries.

8.3.2 *Reports are to furnished by SMDs as regard to the usefulness of the report supported by them in matter of policy decision/plan discussion/modification of existing Scheme.*

8.4 PERMISSION FOR PUBLICATION OF FINDINGS/STUDY REPORTS ETC. FOR WIDE USE:

8.4.1 Permission for publication of Findings/Report of the Study carried out with the grants-in-aid provided under the Research and Study Scheme shall be granted to the Institution/Researcher, subject to the acceptance of the conditions* of Planning Commission. The request for permission of such publication will be considered only after 6 months of submission of the Final Report of the assigned study. Request for any financial assistance for bringing out such publication under the SER Scheme will not be entertained

*Conditions for acceptance by institution/ researcher are mentioned at **Annexure-5.**

8.4.2 The Report of the completed study and the proceedings of selected Seminars/ Workshops shall be posted on the **web-site** of the Planning Commission for wider dissemination.

9. INSTRUCTIONS FOR SUBMISSION OF RESEARCH PROPOSALS AND CONDITIONS FOR EXECUTION OF RESEARCH:

9.1. Submission of Research Proposal:

9.1.1 The proposals for Research Works/Studies/Seminars/Publications etc. from Institutions/Universities/Researchers for consideration of Grants-in-aid complete in all respect may directly be addressed to the:

Senior Adviser or Adviser-in-charge (Research Division)

**Planning Commission
(Government of India)**

Yojana Bhavan

Sansad Marg

New Delhi-110 001

The proposal submitted through any other channel will not be accepted by the Research Division.

9.1.2 Any proposal for grants-in-aid under the Scheme from an any Institutions/Organisations should be submitted by the Head of the concerned Institutions/Organisations or by an officer of the institution empowered to execute legal documents on behalf of the institution along with the following requisite documents required in consonance with General Financial Rules, 2005

1. The Audited Statement of Accounts of the Institute/University of the previous two years.
2. Copy of the Constitution/MOA (Memorandum of Association) and Bye- laws of the Institute/University
3. 'Undertaking' that: "The Institute/ Organisation/University (name) has not applied for or obtained grant for the same purpose/proposal for conducting study/ seminar on "-----" from any Ministry/ Department of Centre / State Governments. It is solely depending on the grant of Planning Commission".
4. Copy of the Institution/Society/Trust Registration Certificate.

N.B. An Academic Institution affiliated / accredited with a University or a Deemed University will submit their research proposal only through the Registrar of the University; otherwise the proposal will not be admissible for grants-in-aid.

9.2 On-going Study and Submission of Fresh Study Proposal:

Any University/ Institution/Individual Researcher/ Principal Researcher or Project Director who had earlier been assigned a research study under the Research and Study Scheme may be given grant-in-aid for fresh study under the scheme even just after the submission of the earlier report. However, in exceptional cases and on the recommendation of the concerned Subject Matter Division, the University/ Institution/Principal Researcher or Project Director with proven track record in the field and area of the proposed study can be considered for sanction of grant-in-aid for conducting another study even when the final report of the earlier study is pending for submission but all other stages as regards the earlier study/project are over to the satisfaction of the Planning Commission.

9.3 Conditions for Execution of Funded Projects (Research Studies/Seminars/Publication of Research Works):

9.3.1 The Institution will have to execute a Bond in favor of the Planning Commission on non-judicial Stamp Paper of Rs. 10/- for receiving grants-in-aid.

9.3.2 The Institution will maintain a subsidiary account of grants-in-aid received from the Planning Commission.

9.3.3 The Institution or the Director-in-charge of the project will not accept any financial assistance from any other source(s) for the project assigned under the scheme.

9.3.4 Institutions will have to bear a *minimum amount of 10%* part of expenditure from their internal resources, in the cases of all

sanctioned proposals for research/study projects and seminars. All proposals for financial support will need to be approved by the Planning Commission before the commencement of research study or the date of holding Seminars/Workshops.

9.3.5 No capital expenditure will be incurred from the grants-in-aid provided for the project.

9.3.6 Certificate of expenditure incurred, against approved amount of grants-in-aid on the Planning Commission project, will be issued by Registrar of the University, Head/Secretary of the Society and/or by any officer of the institution empowered to execute legal documents on behalf of the institution, in the form as prescribed in the GFR of the GoI for the purpose.

9.3.7 The intimation/information about the preparatory work including selection/ appointment of staff and their training, pilot study, drawing of sample, schedule construction, collection & compilation of data etc. for the study may be sent to the Dy. Secretary/ Dy. Adviser, Director (Research) in accordance with the Budget/Time Frame proposed prior to approval of the study by the Planning Commission to facilitate monitoring of the execution and performance of the assigned study.

9.3.8 **Head of the SMD**, Planning Commission will be the '**Nodal Officer**' for monitoring the financial and physical progress of the research study. Hence, a copy of all the correspondence pertaining to the study should also be endorsed to Head of the SMD **by the grantee organization**

9.3.9 Planning Commission, if desired, may carry out site visit for review of field survey/work being carried out by the grantee for the study. Officials from Research Division and SMDs will be deputed to make

field visit for monitoring purpose with the objective of verifying the genuinity of the respondent.

9.3.10 Any intimation or Progress/ Draft/ Final Report of research study or Proceedings of Seminar etc. will be submitted to Deputy Adviser / Deputy Secretary/Director (Research), Planning Commission by the Project Director / Principal Research Worker or Head of the Institution through the proper channel.

9.3.11 The assignment should be completed within the time stipulated in the agreement. Delay in submission of the report of study / proceedings of seminar etc. beyond the stipulated time will attract penal provisions of the bond executed by the grantee ***penalty will be deducted from the release as per the provisions of the GFR and these guidelines.*** For factors beyond the control of the Institution in completing the assignment in time, extension of time may be considered, provided the institution is able to furnish adequate justification for the delay.

9.3.12 No extra/additional amount would be paid for any escalation in the cost of the study/ assignment/seminar beyond the time period stipulated in the letter of approval.

9.3.13 The grants-in-aid for the study as accepted by the Institution will include service tax and other taxes, if any, and the liability of payment of the tax will be of the Institution conducting the study.

9.3.14 During the period of the assigned research, Planning Commission may modify the TOR (Terms of Reference) and other terms and conditions of the assignment, if necessary, in order to widen its scope /coverage in consultation with the grantee organization without any escalation in cost or duration of the study.

9.3.15 If the progress or performance of the grantee conducting the research study/seminar/publication work is not found to be

satisfactory by the Planning Commission, the grants-in-aid sanctioned shall be discontinued, and the amount already paid to the Institution shall be recovered, if considered necessary in accordance with conditions of the Bond executed by the grantee and the conditions as laid down in these guidelines as regards the forfeiture of the Performance Guarantee obtained from the grantees (in the case of studies/research projects funded under the Scheme).

10. OTHER CONDITIONS FOR ACCEPTANCE OF THE GRANTEE FOR UNDERTAKING RESEARCH:

10.1 Planning Commission sanctions the amount of the grant-in-aid in favour of the Institution or University with which the Director/Principal Research Worker of the project is associated / employed. All sanctions of the Planning Commission for supporting any research study or any seminars/workshops will be issued in favour of the grantee Institution/Organisation and not to any individual of the institution/organization. Project Director or the Principal Research Worker of any research study funded under the Scheme will be specified by the Planning Commission in the letter of approval.

10.2 The Institution will be required to submit a certificate from the Director/Principal Research Worker-in-charge of the project to the effect that the expenditure has been incurred in accordance with the conditions specified in the letter of approval.

10.3 The persons employed in the project will be treated as the employees of the Institution and not of the Government and the conditions of their service will be governed in accordance with the rules and order of the Institution applicable to such persons. In regard to traveling and daily allowance, the scale appropriate to the respective classes of employees of the above named institution will be applicable to them. Foreign travel is not allowed.

10.4 The Institution shall provide infrastructure facilities, viz., accommodation, furniture, research facilities, library, laboratory, equipment, etc. secretarial & managerial staff and material and secretarial assistance required for the project for which a budget provision may be made by the Institution under "Overheads". The '**Overhead Cost**' admissible is up to 12% of the total cost, which may accrue to the institute for meeting expenses on account of the use of the

infrastructural facilities and permanent facilities of the institute/organization for the purpose of the research study that cannot be shown separately on account of the concerned research study (e.g., a portion of electricity bill, cost of hiring common vehicles, a portion of telephone bills, etc.) Another amount of 3% of the total cost can be taken as Contingency budget i.e., the budget for meeting expenses other than those clearly specified.

10.5 Final installment/amount of the total grants-in-aid will be withheld till the Planning Commission receives (i) 15 or desired number of copies of the final report of the research study /proceedings of seminar, (ii) CD-ROM containing the complete report of study/ if possible, of seminar containing complete proceedings (iii) Utilization Certificate for the full amount approved, and (iv) Certified Statement of expenditure on the research project / seminar from the Institution concerned. ***The requisite documents must be received within the time frame prescribed in the letter of approval. In case it is not received penal action will be taken as detailed hereinabove.***

10.6 The Institution or the Director/Principal Research Worker of the project will not make available data collected for the project to any other person without the prior approval of the Planning Commission. The project shall not be used by the Director-in-charge or his associates for the preparation of their Doctoral thesis or for other degrees/diplomas, etc. till the report is published.

10.7 The Institution or the Director-in-charge of the project shall make suitable arrangements for the safe custody of raw data such as filled in schedules, tabulation or working sheets, tapes, CD/Floppies, manuscripts of the reports, etc. relating to the research work for a period of three years after completion of the Research Study. The Planning Commission may ask at any time for perusal/review of raw or processed data collected

for the assigned study under the Research and Study Scheme by the grantee.

10.8 If the Project Director associated with the project leaves the Institution/Organisation at any stage after commencement of the study, the project may be continued by appointing a new Project Director by the institute, under intimation to Planning Commission and without causing any hindrance in the progress of the study. Thereafter, if the progress of the work of the study is not found satisfactory by Planning Commission, the study may be discontinued and the amount released till date shall be recovered, (as per Para 4 of the Bond executed) from the Institutions/Organisations.

10.9 On the completion of the study, the Institution will have to submit two copies of the draft report for comments and suggestions of Planning Commission and desired number of copies of the final report along with full report on a floppy (3.5") or a CD-ROM for the use of Planning Commission.

10.10 *The concerned institution/organization will have to bear all responsibilities regarding any discrepancy and irregularity in the studies undertaken with funding from the Planning Commission.*

GUIDELINES for Preparation & Submission of Research Study Proposal under the Research and Study Scheme

A research study proposal on aspects of economic/ social development and need assessment having direct bearing on plan formulation or implementation of policies, plans and schemes is entertained by the Planning Commission for approval and financial support.

2. The Project Director/Principal Research Worker has to work in an honorary capacity. He can draw TA/DA and out-station expenses but not any honorarium. Ongoing research studies or those commenced without Planning Commission's prior approval are not considered for being financed. The proposal for grants-in-aid has to conform to Guidelines prescribed by Planning Commission for this scheme. A copy of the Guidelines can be obtained from Director/Deputy Adviser/Deputy Secretary (Research), Planning Commission. Guidelines and Formats for the Scheme are also accessible from the Planning Commission **Web-site:** <http://planningcommission.gov.in/> About us / Divisions / Socio-Economic / Guidelines for Preparation, Submission and Processing of Research Proposals.

The research grants given by Planning Commission are, institution based.

A. Forwarding Form for submission of Research Study Proposal:

1. Name of the Proposal/Project:
2. Study Team Composition:
 - i) Name of the Project Director/Principal Research Worker:
 - ii) Faculty Members/Staff for the Study (Names, address, qualifications and experience in research field):
3. Terms and Conditions of Employment/Association of the Person in item 2 (i) with the Institution.
4. Other activities or personal time granted/proposed to be granted by the Institution to the Project Director / Research Worker till the completion of the proposed Research Work.
5. Name of the Institution:
6. Total Budget of the Study proposed:
7. Duration of the Study proposed:

I am forwarding the research proposal for financial support to Planning Commission (Research Division).

The institution agrees to administer the project, manage, its finances, provide accommodation, furniture and the research facilities such as library, equipment, and secretarial staff, etc. required for project and also provide the material and managerial assistance for the project, which would be considerable under the proposed 'Overhead' cost.

It is certified that no similar research proposal has been submitted for funding to any other Government Department.

It is certified that the Project Director/Principal Research Worker, _____ will/is likely to continue with the Institution till the completion of the proposed study. In the instance of the Project Director/Principal Research Worker leaving the institution without completing the study, the Institution undertakes to get the study completed without any additional financial liability on the part of the Planning Commission and within the stipulated time.

However, if the Planning Commission desires to transfer the project to some other institution, this Institution will have no objection to the same.

A brief resume of the activities and financial position of the Institution is enclosed.

Bio-data containing brief resume on research activities of the Project Director/Principal Research Worker is enclosed.

**Signature and Seal of the Administration/
Head of the Institution**

B. Format for preparation of Research Study Proposal:

Outline of the Research Study proposed should be drawn as per the following guidelines:

1. Literature Review on the Subject of the Study with Bibliography:

- A review of research literature, summarizing the status of research done in the field proposed for the research study may be depicted, so that an assessment of the need for financing further research work can be made.

2. Relevance and Need of the Study:- A brief, not exceeding 300 words, explaining how the proposed activity will contribute to work of Planning Commission, may be depicted. The relevance of the study may be clearly indicated as to how it will be useful for the Planning Commission.

3. Objectives: The focus and orientation of the study may be indicated and specific objectives spelt out.

4. Hypotheses to be tested: The hypotheses to be tested may be listed.

5. Type and Methodology: - The extent to which the proposed study is reflective or empirical may be indicated. It may also be clarified whether it is intended to utilize data already available or whether collection of primary data is aimed at. In the former case, it may be indicated whether the available data are in published form or whether they are still unpublished. Relevant sources of data may also be listed in all cases. Where collection of primary data is aimed at, the approach should be spelt out as to whether it would be a sample survey or a case study.

6. Reference period / Base year of the proposed study: - Period / year of the expected field survey and of the secondary data being used for the study may be indicated.

7. Statistical Design and Tools: - In case fresh survey is to be taken up for primary data, sampling design/ sample size for the study as

well as broad content of the schedules and questionnaire may be given.
Statistical tools and analyses to be used for the purpose may be outlined.

8. **Major variable for data collection**, cross-classification and analysis and their sources should be indicated. Concepts and definitions to be followed in the study should be defined and important lines of analysis spelt out.

9. **Tabulation arrangements**: - Time phasing of the tabulation programme where primary data are proposed to be collected and also where secondary data are proposed to be utilized may be drawn up.

10. **For case study**: - the number of units proposed to be studied and the method and justification for their selection may be indicated.

11. **Synopsis**: Synopsis/chapterisation of chapter plan of the report may also be given.

12. **Staffing pattern**: - The supporting staff and the period for which they are required and the remuneration to be paid to each of them may be indicated.

13. **Budget**: - The proposal should indicate the financial requirements broken down under different items (**as per Format prescribed on page- 23**).

14. **Time Frame/Project Duration**: - The time required for completing the Proposed Study and submission of the report may be indicated (**as per Format prescribed on page- 24**).

15. **Bio-Data of the Project Director**: - Broad details of academic qualifications and research experience of the Project Director may be indicated separately.

16. **Brief of the Institution**:- A brief note indicating the activities of the Institution during the last three years, its constitution, research expertise available with it for conducting studies and infrastructure facilities available to conduct research work, should also be appended.

* * * * *

C. FINANCIAL BUDGET for the Study:

ITEMS OF PROPOSED EXPENDITURE:

I. Salaries (Research and other Study Staff Category wise):

<u>Job Tasks to be done</u>	<u>Monthly Salary</u>	<u>Duration</u>	<u>Amount (in Rs.)</u>
1. Project Director(Principal Research Worker (only one)		up to Rs. 1,00,000/- as a one-time contractual payment as the principal resource person in the project since the project proposal is anchored on his/her name and credentials, for the time and intellectual capabilities to be devoted by him/her for the purpose of directing/conducting the project as funded.	
2. Research/Faculty Staff:		Upto Rs. 40,000/- p.m. per person, if he/she is a Ph.D in any of the relevant disciplines Or Upto Rs. 30,000/- p.m per person, if he/she is not a Ph.D in the relevant disciplines	
3. Field Staff:		Upto Rs. 18,000/- p.m. per person.	
4. Electronic Data Processing Personnel		Upto Rs. 12,500/- p.m. per person. In all the three cases Sl. Nos. 2, 3 and, 4, different grades	

may be introduced in every category to suit the needs/requirement of the grantee institute.

II. Domestic Traveling* and DA:

- i. for field staff:
- ii. for Project Director (if essential):

No specific Percentage limit , not beyond the ceiling limits of Rs. 1500/-per person per day for the field staff and Rs. 5000/- per person per day for Project Director.

*Admissible only for domestic travel and by rail, AC III tier class.

III. Data Processing including computation &

Computer Work (Subject to the condition that the salary of

Electronic Data Processing

personnel would not be admissible if the data processing is outsourced): upto 5% of the total cost.

IV. Stationery, printing, photocopying, postage, etc.: upto 7.5% of the total cost

V. Books and Journals (if required): upto 75000/-

VII. Any other (up to Rs.2,00,000/- For **hiring services of technocrats /experts / testing laboratory etc** if required, for the research/study project like Interlocutor/Doctor/ Engineer/Anthropologist/ Psychologist /Pathologist /Laboratory Technician etc. for a fixed duration on consolidated amount or **Holding -Workshop /Seminar / Debate discussion**: For expert advice and suggestions of the group of distinguished scholars /researchers, in case, of revamping and improving the quality of the study, that should specifically be justified in the proposal along with details of participating scholars / researchers /luminaries from the field of the subject concerned. The amount for such proposed seminar may be considered

only based on the number, quantum and size of the seminar/workshops) held. However, in this regard, the cost ceiling limits as given in Annexure-2 (related to Seminars/Workshops under the instant scheme) would also be applicable.

Total (B)

Total Cost (A+B)

VIII. *Overheads: - upto 12% of the total cost

IX. Miscellaneous/contingencies:- upto 3% of the total cost

Total Budget {Total (A+B) + Overheads +
Miscellaneous/contingencies}:- _____

D. TIME BUDGET/FRAME for the Study:

<u>Sl. No.</u>	<u>Items</u>	<u>Months of the duration</u>	<u>Days</u>
		<u>Of the study.</u>	

1. Preparatory work including selection of Staff and their training:
Pilot Study, if any, required:
2. Drawing of sample:
3. Schedule Construction-their pre-testing and printing etc.:
4. Data Collection:
5. Data processing:
6. Data Analysis:
7. Report Writing, typing, binding, etc.:

Total Duration: _____

9. Date from which the research personnel will be in position to commence work in the event of approval of research work by Planning Commission:

Date:

**Name and Signature of the
Project Director/Principal
Research Worker**

**Name and Signature of the
Head of the Institution
(Official Seal)**

Note: 1. Justification for financial and time budget must be distinctly indicated in the proposal submitted for approval.

2. The project is to be planned in suitable convenient stages and the time required for completion of each stage should be indicated.

Annexure-2

GUIDELINES for Preparation & Submission of Seminar/Workshop Proposal for consideration of Grants-in-aid under the Socio Economic Research Scheme (At least 6 weeks before the date of the event):-

Purpose of providing grants-in-aid for Seminars/Workshops shall be to stimulate an informed discussion or debate on research themes/topics essential to planning process and development.

The detailed information on items given below may be furnished for consideration of grant-in-aid under the SER scheme:

A. Venue of Seminar:

B. Date/Tentative Date:

1. Title/Subject of the Seminar:
2. Brief literature review on the subject along with bibliography:
3. Main objectives of the Seminar:
4. Themes and Sub-themes:
5. Key/Principal Participants/Scholars/Institutions/Organizations (A list with their name, address and their field of experience):
6. Presentation of Papers and their Authors:
7. Association/Collaboration with any Institutions, Universities, Ministries, Government Departments:
8. Experience / Expertise of the Institution in conducting research / seminar / workshop (Furnish available material or details thereof):
9. Programme Details (Seminar):
Date/Time Paper/Topics of discussion Author/Participant
10. Budget for the Seminar- In Format (On next page)

**Name and Signature
of the Head of the Institute
(Official Seal)**

Budget for the Seminar

A).	<u>Item</u>	<u>Detail</u>	<u>Amount /Percentage of the total cost</u> (In Rupees)
1.	Honorarium/Hospitality*:	<i>up to 20% of the total cost</i>	
2.	Boarding & Lodging**: (For Outside Participants)	<i>up to 30% of the total cost</i> <i>For such boarding/lodging, not more than Rs. 5000/-per person would be admissible</i>	
3.	Travel and Transportation**: (Local and outside of the place of the venue)	<i>up to 25% of the total cost.</i>	
4.	Seminar material viz. Invitations, Banners and Posters (Stationery/Printing charges etc.):	<i>Rs. 400/per participant up to 10% of the total cost</i>	

Total Cost (A)

5. Overhead Cost (up to 12%) & Contingencies (3%): **up to 15% of the total cost**
(Others - Audio-Video aids/Photography / Communications etc.)

Total (B)

Total Budget (A+B)

* May be considered only for principal scholars/ experts presenting papers.

** May be considered only for outside key/principal scholars/ experts presenting papers, for their domestic travel limited to Economy Class air fare (if travelling by air) or to AC II tier fare (if travelling by rail)

General Condition: No expenditure would be admissible under the scheme for the instant component on account of rent for the venue of the seminar/workshop (the actual/imputed cost for the same would be treated as an expenditure to be incurred by the

concerned institution/organization) and on account of any food/tea/snacks/working lunch etc..

B). Other Sources of funding-

1. Own- (Institution / University funding):

2. Others - i). Expected Collection from Registration fee etc.-

ii). From Collaborative Non- Govts Organizations /

Agencies -Name/Address and Amount

(Received /Expected /Sought)

Total (C)

Total Budget (A+B-C)

**Name and Signature
of the Head of the Institute
(Official Seal)**

BOND FORM

Know all me by those present that.....
.....
..... Samiti / Sansthan / Institution / An Association registered under the Societies / Trust Registration Act (Specify the respective Act) and having its office at _____ in the State of _____ (hereinafter called the "Obligator") and (I) Sh. son of Sh. Resident of (II) Sh. son of Sh. Resident of Aadhar Card No.....(Attested copy must be enclosed). (Here in after sureties) are held and firmly bound to the **President of India** here in after called the Government in the sum of Rs..... (Rupees.....) together with interest thereon at the prevailing borrowing rate of the Govt. of India from the date of receipt of the said amount by the Obligator up to the date of refund thereon to the Government.

2. Signed this day ofin the year

3. Whereas on the Obligator's request the Government has as per Planning Commission letter No.dated.....and here in after referred to as the letter of sanction (which forms an integral part of those presents and a copy where of is annexed here to Annexure 'A' agreed to make in favor of the Obligator for the purpose ofa grant of Rs. (Rupees.....) out of Rs..... (Rupees.....) have already been paid to the Obligator (the receipt where the obligator do hereby admit and acknowledge two

securities in the terms and conditions manners contained here in after which the obligator and at its request the sureties have agreed to do.

4. Now the conditions of the above written obligator is such that if the obligator shall dully fulfill and comply with all its conditions mentioned in the letter of grant then the above written bond or obligation shall be void and of no effect, but otherwise it shall remain in full force, effect and virtue. These presents further witness that:-

- (a) That decision of the Secretary, Planning Commission, Govt. of India or the Administrative Head of the Planning Commission, Govt. of India administratively concerned with the matter, on the question whether there has been breach or violation on the part of the Obligator or any of the terms and conditions mentioned in the letter of sanction, shall be final and binding on the Obligator.
- (b) The liability of the sureties here under shall not be impaired or discharged by reason of time being granted by the Govt. or any forbearance, act or omission by or on the part of the Government whether with or without the knowledge or consent of the sureties in respect or in relation to the obligation or conditions to be performed or discharge in the obligation or by reason of the matter or thing whatsoever, which under the law relating to the sureties shall but for this provision have the effect of so releasing the sureties from such liability, nor shall it be necessary for the Government, to pursue the obligator before using the sureties or either of them the amount due here under.
- (c) The Society / Trust / Institution agrees and undertake to surrender / pay to Govt. the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of grant for purpose other

than that of which the grant was intended or the assets, purchased largely from out of "Government Grants". The decision of the Secretary, Planning Commission or the administrative head of the department concerned as regards the monetary value of aforementioned to be surrender / paid to the Govt. will be final and binding on the Society / Trust / Institution.

(d) The Obligator or the sureties shall in the event of breach or violation of the terms and conditions mentioned in the letter of sanction, refund to the Govt. on demand and without demur the entire amount of Rs. (Rupees) or such part thereof as may be mentioned in the notice demand issued by the Govt. along with the interest thereon at the prevailing borrowing rate of the Govt. of India from the date of receipt of the said amount by the Obligator up to date of refund thereof to the Govt.

(e) The Govt. has agreed to bear the stamp duty, if any chargeable on these presents.

5. In witness thereof these presents have been executed on behalf of the Obligator and the Sureties the day and year here in above written and accepted for (Name and Designation) on the day and year appearing against his signature.

Signed for and on behalf of

**Signature of Head of
Institution with date
(Stamp/Seal)**

in the presence of:

1.....

(Name & Address of witness) (Signature)

Aadhar Card No.....

2.....

(Name & Address of witness) (Signature)

Aadhar Card No.....

Accepted for and on behalf of the President of India.

----- ■

Form of Utilization Certificate

Sl. No.	Sanction Order No. & Date	Amount (In Rs.)
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=====

Certified that out of Rs. _____ of Grants-in-Aid sanctioned by Planning Commission during the year in favour of " _____ " under the Ministry / Department letter number given above and Rs. _____ has been utilized for the purpose of carryout the Research Study / Seminar on " _____ " for which it was sanctioned and the balance of Rs. _____ remaining unutilized will be adjusted towards the Grants-in-Aid payable.

2. Certified that we have satisfied ourselves that the conditions on which the Grants-in-Aid was sanctioned have been dully fulfilled and that we have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kind of checks exercised.

Signature of the Head of the Institution

(Stamp/Seal)

Place _____

Dated _____

Annexure-5

Conditions for Acceptance by Institution/Researcher for Publication of Research Work:

1. Desired number of copies (Maximum twenty copies) of the published documents will have to be submitted to the Planning Commission.
2. The institution/organization/individual researcher will clearly acknowledge that the present publication is the outcome of the research work carried out by the institution/organisation with the fund provided under the Research and Study Scheme or by the institution/organisation with its own funding.
3. **Disclaimer** “The document/publication has been prepared with the support provided under the Research and Study Scheme of the Planning Commission. However, the Planning Commission is not in any way responsible for findings of, or opinions expressed in, the document/ publication. The responsibilities for the same rest with the institution/organization/researcher concerned”.
4. The fact that Planning Commission provided financial support under the Research and Study Scheme will be acknowledged on any document produced with its support, whether or not circulated widely, and the **Disclaimer at Sr. No. 3** above will be prominently displayed on such a document.
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