



**The UGC Research Development and Innovation Programs  
Implementation Guidelines, 2019**

**Fifth Edition  
September, 2019**

**University Grants Commission  
Sanothimi, Bhaktapur  
Nepal**

**Acronyms**

CC	Cluster Committee
Co-I	Co-Investigator
EC	Evaluation Committee
HEI	Higher Education Institution
HEP	Higher Education Policy
HERP	Higher Education Reforms Project
NPHERD	National Program for Higher Education Research and Development
PI	Principal Investigator
PIM	Project Implementation Manual
PS	Professional Society
QIP	Quality Improvement Programs
RC	Research Council
RD	Research Division
RDI	Research Development and Innovation
RI	Research Institution
RIC	Research Integrity Committee
RMC	Research Management Cell
SHEP	Second Higher Education Project
TBD	To be decided
UGC	University Grants Commission
URDIPIG	UGC Research Development and Innovation Programs Implementation Guidelines

## Contents

<b>SECTION I: INTRODUCTION AND IMPLEMENTATION ARRANGEMENT .....</b>	<b>1</b>
<b>1.1 About this Guideline.....</b>	<b>1</b>
<b>1.2 Definition of the Key Terminologies .....</b>	<b>1</b>
<b>1.3 Higher Education Reforms .....</b>	<b>2</b>
<b>1.4 Objectives of Research Funding .....</b>	<b>3</b>
<b>1.5 Guiding Principles of Research Funding .....</b>	<b>4</b>
<b>1.6 Research Funding Policy .....</b>	<b>6</b>
1.6.1 No Conflict of Interest.....	6
1.6.2 Reward for Performance.....	6
1.6.3 Penalty for Non-performance.....	6
1.6.4 Limitation on Research Proposal Submission .....	6
1.6.5 Duplicate Grants and Fraud .....	6
1.6.6 UGC Barred List .....	6
1.6.7 Research Output.....	7
1.6.8 Acknowledgement .....	7
1.6.9 Procedure for Dealing with the Delay.....	7
1.6.10 Abandonment Due to Circumstances Beyond Control and Settlement .....	8
1.6.11 Policy on Replacement of Investigator .....	8
1.6.12 Record of Research .....	8
1.6.13 Research Misconduct .....	8
1.6.14 Funding Limit.....	8
1.6.15 Number of Awards .....	8
1.6.16 Institutional Overhead Cost .....	9
1.6.17 Research Management Cell .....	9
1.6.18 Financial Management of the Grant for Faculty Members.....	9
1.6.19 Action in Event of Hindrance and Mismanagement of Fund .....	9
1.6.20 Fellowship and Research Support for Students .....	9
1.6.21 Involvement of Students .....	10
1.6.22 Policy for Underprivileged Group and Institutions .....	10
1.6.23 Recognized Foreign Universities .....	10
1.6.24 Grievance Redressal.....	10
<b>1.7 Subject Clustering.....</b>	<b>10</b>
<b>1.8 Classification of Research .....</b>	<b>11</b>
<b>1.9 Institutional Arrangements.....</b>	<b>12</b>
1.9.1 Research Council (RC).....	12
1.9.2 Research Integrity Committee (RIC).....	13
1.9.3 Academic Committee (AC) .....	13
1.9.4 Research Division (RD) .....	13
1.9.5 Cluster Committee (CC).....	14
1.9.5 Evaluation Committee (EC) .....	14
1.9.6 Roster of Reviewers .....	15
1.9.7 Institutional Review Committee (IRC).....	15
1.9.8 Specific Responsibilities .....	15
<b>1.10 Fund Allocation for Quality Improvement and Research Support Programs for 2017-2018</b>	<b>18</b>
<b>1.11 Institutional Eligibility for Research Funding.....</b>	<b>18</b>
<b>1.12 Beneficiaries and Selection Mechanism for Research Funding.....</b>	<b>19</b>
<b>1.13 Selection Process for Research Grants .....</b>	<b>20</b>

<b>1.14 Research Ethics.....</b>	<b>23</b>
1.14.1 Ethical Clearance and Compliance .....	23
1.14.2 Responsible Conduct of Research .....	23
1.14.3 Research Misconduct .....	23
<b>1.15 Priority Areas for Research Funding .....</b>	<b>24</b>
1.15.1 Evaluation of Research Proposals for National Priority .....	25
<b>SECTION II: FELLOWSHIP AND RESEARCH SUPPORT FOR STUDENTS .....</b>	<b>26</b>
<b>2.1 Introduction .....</b>	<b>26</b>
<b>2.2 Eligibility .....</b>	<b>27</b>
<b>2.3 Bases of Selection.....</b>	<b>28</b>
<b>2.4 Seats Allocation.....</b>	<b>28</b>
<b>2.5 PhD Fellowship and PhD Research Support .....</b>	<b>29</b>
2.5.1 PhD Fellowship .....	29
2.5.2 The UGC PhD Research Support.....	29
2.5.3 Forms and Documents .....	30
2.5.4 Evaluation Criteria for PhD Fellowship / Research Support.....	30
<b>2.6 MPhil Fellowship .....</b>	<b>30</b>
2.6.1 Scope .....	30
2.6.2 Forms and Documents .....	31
2.6.3 Applications, Selection and Award.....	31
2.6.4 Allocation of Seats.....	31
2.6.5 Fellowship Amount .....	31
<b>2.7 The UGC Masters/MPhil Research Support .....</b>	<b>31</b>
2.7.1 Scope .....	31
2.7.2 Funding.....	32
2.7.3 Evaluation.....	32
2.7.4 Distribution of Award and Disbursement of Fund .....	32
2.7.5 Application and Evaluation Forms.....	32
2.7.6 Masters/MPhil Research Support (Disability Group) .....	32
<b>2.8 Partial Support for PhD Fellow .....</b>	<b>33</b>
<b>2.9 Bachelors Scholarship for Underprivileged Group.....</b>	<b>33</b>
<b>2.10 Monitoring and Evaluation .....</b>	<b>33</b>
2.10.1 Expected Outcomes .....	33
<b>SECTION III: RESEARCH GRANTS FOR FACULTY.....</b>	<b>35</b>
<b>3.1 Introduction .....</b>	<b>35</b>
The Research Grants program primarily intends to support the university and campus staff and faculty in their research, development and innovation in the process of knowledge production through scientific inquiries and rigorous academic engagements. Further, it intends to train graduate students, transform them into dedicated scholars with sound academic backgrounds, and link research with teaching. ....	35
<b>3.2 Types of Research Grants.....</b>	<b>35</b>
<b>3.3 Eligibility .....</b>	<b>35</b>
<b>3.4 Selection for Award .....</b>	<b>36</b>
<b>3.5 Funding and Disbursement .....</b>	<b>37</b>
<b>3.6 Incentive for Collaboration with Community Campus .....</b>	<b>37</b>
<b>3.7 Seats Allocation.....</b>	<b>37</b>
<b>3.8 Collaborative Research Grant .....</b>	<b>37</b>
3.8.1 Scope .....	37
3.8.2 Documents and Forms .....	38
<b>3.9 Faculty Research Grant .....</b>	<b>38</b>

3.9.1 Scope .....	38
3.9.2 Document and Forms.....	39
<b>3.10 Small Research, Development and Innovation Grant (Small RDI Grant) .....</b>	<b>39</b>
3.10.1 Scope .....	39
3.10.2 Documents and Forms .....	39
<b>3.11 Extramural Research Collaboration .....</b>	<b>40</b>
<b>3.12 Postdoctoral Fellowship.....</b>	<b>41</b>
3.12.1 Eligibility of Candidate for Postdoctoral Fellowship .....	41
3.12.2 Application, Selection and Award of the Postdoctoral Fellowship .....	41
3.12.3 Forms and Documents .....	42
<b>3.13 Matching Co-Fund for Research, Development and Innovation .....</b>	<b>42</b>
<b>3.14 Special Research.....</b>	<b>43</b>
<b>3.15 Support for Publication of Research Articles in Ranked Journals .....</b>	<b>43</b>
<b>3.16 Program Monitoring and Evaluation.....</b>	<b>43</b>
<b>3.17 Additional Funding Provisions.....</b>	<b>43</b>
<b>3.18 Expected Outcomes .....</b>	<b>44</b>
<b>SECTION IV: INSTITUTIONAL SUPPORT FOR STRENGTHENING RESEARCH INFRASTRUCTURE.....</b>	<b>45</b>
<b>4.1 Introduction .....</b>	<b>45</b>
<b>4.2 Scope .....</b>	<b>45</b>
<b>4.3 Strengthening the HEI Libraries.....</b>	<b>45</b>
<b>4.4 Research Laboratory Support.....</b>	<b>45</b>
<b>4.5 Support for indexing Peer-Reviewed Journal .....</b>	<b>45</b>
<b>4.6 Support for Publication of Research Reference Material.....</b>	<b>46</b>
<b>4.7 Support to Research Management Cell (RMC).....</b>	<b>46</b>
4.7.1 Scope .....	46
4.7.2 What is RMC.....	46
4.7.3 Funding.....	46
4.7.4 Application and Selection.....	47
4.7.5 Forms.....	47
<b>4.8 Expected Outcomes.....</b>	<b>48</b>
<b>SECTION V: MISCELLANEOUS .....</b>	<b>49</b>
<b>5.1 Monitoring and Evaluation .....</b>	<b>49</b>
<b>5.2 Evaluation of the Research Quality .....</b>	<b>49</b>
<b>5.3 Monitoring of Research Management Cell .....</b>	<b>50</b>
<b>SECTION VI: APPENDIXES.....</b>	<b>51</b>
<b>Appendix 1 Funding .....</b>	<b>51</b>
Appendix 1.1 Research Support Programs 2076/77 .....	51
<b>Appendix 2 Fellowships and Research Supports .....</b>	<b>52</b>
Appendix 2.1 The UGC PhD Fellowship Funding Scheme .....	52
Appendix 2.2 The UGC PhD Research Support .....	52
Appendix 2.3 The UGC MPhil Fellowship Funding Scheme .....	52
Appendix 2.4 The UGC Masters and MPhil Research Support Funding.....	53
Appendix 2.5 The UGC Partial Support for PhD Fellow.....	53
Appendix 2.7 PhD Research Support Budget Outline .....	60
Appendix 2.8 PhD Research Proposal Evaluation Form .....	61
Appendix 2.9 PhD Proposal Oral Presentation Evaluation Form .....	63
Appendix 2.10 Evaluation of the Application for the PhD Fellowship .....	66
Appendix 2.11 The PhD Fellowship and Research Support Agreement .....	67
Appendix 2.12 Application Form for the UGC MPhil Fellowship .....	72

Appendix 2.13 The MPhil Fellowship Interview Evaluation Form.....	76
Appendix 2.14 Evaluation of the Application for the MPhil Fellowship .....	77
Appendix 2.15 The MPhil Fellowship Agreement .....	78
Appendix 2.16 Application Form for the UGC Masters/MPhil Research Support .....	81
Appendix 2.17 Masters/MPhil Research Proposal Evaluation Form .....	86
Appendix 2.18 Evaluation of the Application for the Masters/MPhil Research Support .....	88
Appendix 2.19 The UGC Masters and MPhil Research Support Agreement.....	89
Appendix 2.20 Application form for Masters/MPhil Research Support (Disability Group) .....	93
Appendix 2.21 Application Form for the Partial Support for the PhD Fellows .....	96
<b>Appendix 3 The UGC Research Grants for Faculty Members .....</b>	<b>100</b>
Appendix 3.1 List of the UGC Research Grants for Faculty Members.....	100
Appendix 3.2 Application Form for the UGC Research Grant for Faculty Members (Generic)..	101
Appendix 3.3 UGC Research Grants Budget Outline.....	108
Appendix 3.4 Application Form for the Included Student .....	110
Appendix 3.5 Collaborative Research Grant Proposal Evaluation Form .....	114
Appendix 3.6 Format for the Oral Presentation of the Research Proposal (all) .....	116
Appendix 3.7 All Faculty Research Proposal Oral Presentation Evaluation Form.....	117
Appendix 3.8 Evaluation of the Application for the Collaborative Research Grant.....	120
Appendix 3.9 The UGC Research Grant Agreement with Faculty Members.....	122
Appendix 3.10 Faculty/Small Research Grant Proposal Evaluation Form.....	127
Appendix 3.11 Evaluation of the Application for the Faculty Research Grant.....	129
Appendix 3.12 Small "Development/Innovation" Proposal Evaluation Form .....	131
Appendix 3.13 Small "Development/Innovation" Proposal Oral Presentation Evaluation .....	133
Appendix 3.14 Evaluation of the Application for the Small RDI Grant .....	136
Appendix 3.15 Call of Application for the Postdoctoral Position.....	138
Appendix 3.16 Application Form for the UGC Postdoctoral Fellowship .....	139
Appendix 3.17 Postdoctoral Fellowship Award Letter.....	142
Appendix 3.18 Suggested Format for Joining Report for the Postdoctoral Fellow.....	143
Appendix 3.19 Suggested Format for the Certificate of Completion of the Postdoctoral Tenure .....	144
Appendix 3.20 Procedure for Matching Co-Fund for Research, Development and Innovation	145
Appendix 3.21 Application Form for the UGC Support for Publication of Research Article .....	146
<b>Appendix 4 Research Infrastructure.....</b>	<b>149</b>
Appendix 4.1 The UGC Support for Research Management Cell.....	149
Appendix 4.2 Application Form for the UGC Support to New RMC.....	150
Appendix 4.3 Evaluation of the Application for New RMC .....	155
Appendix 4.4 Check List for RMC Feasibility Site Inspection .....	158
Appendix 4.5 Application Form for the UGC Continuing Support for Old RMC.....	162
Appendix 4.6 Evaluation of the Application for the UGC Support to Old RMC .....	167
Appendix 4.7 RMC Feasibility Site Inspection Report format .....	170
Appendix 4.8 Post-Award RMC Monitoring Framework.....	172
<b>Appendix 5 Evaluation .....</b>	<b>176</b>
Appendix 5.1 Suggested format for Logbook of Research Projects.....	176
Appendix 5.2 Format for Progress Report submitted by MPhil Fellow .....	177
Appendix 5.3 Format for Progress Report submitted by PhD Fellow .....	178
Appendix 5.4 Format for Research Progress Report submitted by Faculty Member .....	180
Appendix 5.5 Format for Oral Presentation of Progress Report (all).....	182
Appendix 5.6 Progress Report Oral Presentation Evaluation Form .....	183
Appendix 5.7 Cover Letter for Final Report Submission (Student) .....	185
Appendix 5.8 Cover Letter for Final Report Submission (Faculty) .....	186
Appendix 5.9 Format for the Final Research Report submitted to the UGC .....	187

Appendix 5.10 Evaluation of the Final Research Report Submitted to the UGC ..... 189  
**Appendix 6 Priority List for Funding Research Projects ..... 191**

## SECTION I: INTRODUCTION AND IMPLEMENTATION ARRANGEMENT

### 1.1 About this Guideline

The UGC Research Development and Innovation Programs Implementation Guidelines, Fifth Edition, 2019, is a revised version of the earlier Guideline of The UGC Research Development and Innovation Programs Implementation Guidelines, Fourth Edition, 2017 and it covers all quality and research support programs of the University Grants Commission including the Research Development and Innovation Support (Disbursement Linked Indicator -7A) component of the Higher Education Reforms Project (HERP).

This document may be referred to as “The UGC Research Guidelines” for brevity.

All programs in this document are referred to as the UGC Research Support Programs and the funding allocation (QIP or HERP) is indicated where relevant. The funding allocations and support provisions may be adjusted by the UGC in line with the contextual priority needs and the scope of budgetary provisions.

The UGC Research Support Guidelines is updated every year with new annual budget for the Research Support Programs. It may also be revised to incorporate changes made to overcome difficulties experienced and meet new challenges. The revision is proposed by the UGC Research Council and approved by the UGC.

### 1.2 Definition of the Key Terminologies

- a. Cluster Committee (CC): A group of expertise-style committee, consisted of members drawn from a specific subject area covers full ranges of activities across the universities. The members are responsible for the evaluation of proposals using pre-determined criteria and for monitoring the progress of the UGC-supported activities.
- b. Co-Investigator (Co-I): A Faculty Member in the research team led by the Principal Investigator
- c. Collaborative Research: A large sized research grant for at least three collaborating faculty members has been named “Collaborative Research Grant” in the UGC Research Support Programs. Research collaboration is a major focus of this program.
- d. Evaluation Committee (EC): The committee comprising coordinators of Cluster Committees and high-level research professionals designated to provide technical and professional support to research programs, evaluation and research guidelines.
- e. Faculty Category: A quota of Fellowship reserved for Faculty members. Candidates who are awarded with such awards may also be referred to as Faculty Category.
- f. Faculty Member: University teacher and researcher appointed as a faculty member. Study leave faculty members are not eligible for the application of any research grants.
- g. Faculty Research: This refers to the research conducted by faculty members with the involvement of graduate students. A medium sized research grant for at least two collaborating faculty members has been named “Faculty Research Grant” in the UGC Research Support Programs.
- h. Higher Education Institutions (HEIs): Universities, affiliated campuses, research centers and any structures within them are collectively referred to as Higher Education Institutions.
- i. Indexed Journals: Journals that are indexed by international indexing services.



- j. Peer-reviewed Journal: Scholarly journal which uses the peer-review process to accept the manuscript for publication. Also known as refereed journal.
- k. Principal Investigator (PI): A Faculty Member who is the leading investigator for a given research project. The Principal Investigator bears the responsibility of leading the team and the project.
- l. Professional Society (PS): Any registered society of professionals from a specific discipline
- m. Ranked Journal: Journal included in Web of Science (Clarivates Analytics), Journal Citation Reports or SCImago Journal Ranking
- n. Research Council (RC): An advisory body within the UGC to advice on matters related to research; it also functions as the apex body for research-related activities of the UGC.
- o. Research Fellow/Staff: A researcher engaged in research being conducted in Higher Education Institutions and Research Institutions. It may also include supporting research staff.
- p. Research Institutions (RI): Research Centers of Universities, national research institutions, and for collaborative purpose, non-governmental or international research institutions are collectively referred to as Research Institutions.
- q. Research Integrity Committee (RIC): A committee with a fixed tenure and terms of references formed by the UGC to promote responsible conduct of research and to hear complaints regarding research misconduct done by the recipients of the UGC support and individuals under the responsibilities of the UGC.
- r. Research Misconduct: Any wrongful act of fabrication, falsification or plagiarism of research documents.
- s. Responsible Conduct of Research: Activities that maintain ethics and integrity of research and its reporting.
- t. Small Research Development and Innovation (Small RDI): This involves small research development and innovation activities that lead or contribute to the generation of commercially or socially valuable technology, product or knowledge. Project representing any step, from the basic or applied research to the experimental development and innovation, is recognized as the RDI for the purpose of support.
- u. Young Student Category: A quota of Fellowship open for all including fresh students.

### 1.3 Higher Education Reforms

One of the important roles of the University Grants Commission (UGC), as envisioned in its Act, is to support research activities in universities in Nepal. This support is an integral part of enhancing the quality and relevance of higher education in the country. Since its inception, the UGC has been providing several grants, including PhD and MPhil fellowships to faculty and young students. Faculties of different campuses and universities receive support grants, mini-research grants, collaborative research grants and travel grants. Similarly, research students receive thesis support grants. Likewise, institutions are offered support funds for trainings and seminar –workshops, grants for RMC, among others. The UGC has also been supporting activities related to research and quality of education in the country's higher education institutions. The Second Higher Education Project (SHEP), 2007-2014, the World Bank –supported major reform initiative of the Government of Nepal helped enhance the capacity of the UGC as well as expand research activities of faculty members and students in higher education institutions. The UGC has established the Research Division as a permanent functional entity for facilitating policy formulation and management of its research support and fellowship programs. It has set up a comprehensive research funding structure consisted

of the Research Council, the Evaluation Committee, and various subject area-specific Cluster Committees for effective and efficient management of funds. It has brought into function a mechanism and procedure for competitive selection of candidates for research support award. The SHEP helped introduce new provisions on the PhD scholarship, and faculty research and institutional research awards. It also helped strengthen the thesis support program and research methodology training. It has helped the higher education institutions strengthen their research capacity by supporting the establishment of research management cells. It has opened industry and university dialog, and most importantly, initiated a dialog on culture of inquiry. It has also strengthened libraries and laboratories. Precisely, the SHEP research support aimed at improving quality of higher education teaching and learning practices by substantiating research culture in the university education system, and thus, making higher education more relevant to national needs and priorities.

Drawing on the experience and outcomes of the Second Higher Education Project, the current Higher Education Reforms Project (HERP) 2015-2020, has planned to consolidate the UGC research funding system and extend research funding to further enhance academic excellence through research development and innovation (RDI). The HERP has undertaken four major areas for reform:

1. strengthening higher education system;
2. reforming in higher education programs;
3. enhancing equity and inclusion in access; and
4. enhancing academic excellence through research, development and innovation.

The funding of the HERP is based on seven important disbursement linked indicators (DLIs). Academic excellence through research, development and innovation constitutes the seventh DLI. The DLI7 is further divided into two components. One component (DLI7B) is for supporting Tribhuvan University to hire a certain number of faculty through a special selection for academic excellence in research, and the other component (DLI7A) is for supporting research, development and innovation in all higher education institutions in Nepal through the University Grants Commission. The HERP emphasizes on linking research funding with national priorities.

#### **1.4 Objectives of Research Funding**

The UGC –sponsored Quality and Research Support Programs aim at promoting research, development and innovation through research funding to HEIs, the faculty and students as well as to strengthen research infrastructure of HEIs in the country in line with the Higher Education Policy 2016. It also draws on the objectives of the broader framework of the proposed National Program for Higher Education Research and Development (NPHERD) and its currently implemented component, the Higher Education Reforms Project (2014-2020), and the national developmental priorities outlined in the Fourteenth Plan Approach Paper (2016).

The UGC research funds are directed to reinforce opportunities for academic programs and research initiatives on relevant and appropriate fields and disciplines. Supporting the faculty and institutions financially along with required expertise and resources helps colleges and universities maintain research-based higher education. Moreover, these institutions can prepare trained scholars and researchers competent in policy making, knowledge production and dissemination in the greater interest of the nation and the entire world. It can further

strengthen the research capacity development, inculcation of investigative and inquisitive academic culture in higher education institutions and increase in research output.

The National Program for Higher Education Research and Development stresses on identifying and developing research, innovation and academic programs in the areas of national priorities and potential for excellence. The Fourteenth Plan Approach Paper envisions innovative human capital for social and economic transformation through higher education that is made accessible, competitive and research oriented with an increased investment in science, technology and research, capacity development, and collaboration between university and research institutions.

The Higher Education Reforms Project (2014-2020), with its major component of the project programs in support to higher education institutions, aims to sustain academic excellence in priority areas through research, development and innovation awards. The priority area is defined as areas of potential academic excellence, science and technology, and areas of developmental priority. Research output as the quality and the volume of publication in peer-reviewed is one of the major indicators of the success of the RDI support programs of the project.

### 1.5 Guiding Principles of Research Funding

The UGC employs the following set of principles in selection, implementation, monitoring and evaluation of research support programs. These principles draw on Principles for Scientific Merit Review endorsed at the May 2012 Global Summit on Scientific Merit Review as well as national policies of the HERP and practices at the UGC.

Table 1.1 Guiding Principles of Research Funding

Guiding Principles	Descriptions
<b>General</b>	
1. Standard of Research	A research is a scientifically designed and planned study carried out within an institutional framework and support, conducted or supervised by an investigator or a team of investigators with adequate knowledge about the subject of research and relevant regulatory issues, and training in the methodology and methods being applied in the research, and finally validated by peer-reviewed publication of the study.
2. Research Funding	Funding for a research project shall be based on the scientific merit review of the grant proposal and credentials of the researcher including research output from the previously funded projects.
3. Competence	A single investigator must be either professionally competent for independent research or be supervised by a qualified supervisor/collaborator.
4. Participation of Student	It is mandatory for all research projects funded by the UGC to involve students for their theses and academic advancement.
5. Research Output	All research funding must have targeted output. The primary output for research grants are students' theses, conference presentations and publications in peer-reviewed journals.
6. Timeliness	Each program to be executed and accomplished within the

	stipulated timelines. Unjustified delays in progress reporting and completion should have appropriate penalties.
7. Fiscal Responsibility	No grants are personal income of the grantee. Grants must be used responsibly according to the proposal and in compliance with the applicable conditions of the UGC and relevant laws. Funding must be acknowledged in research publications (See Section 1.6.8).
8. National Priority	National priority is an <i>a priori</i> appraisal of academic and developmental priorities and one of the indicators for the evaluation of the proposal. Researcher must be allowed to explain the proposed project's association to the national priority.
9. Communication	Timely communication of information through pre-specified channels
10. Integrity and Ethics	Maintenance of professional integrity and ethics in research activities, review process and administration must be maintained. Research misconducts, such as fabrication, falsification, plagiarism, misuse of fund and other harmful activities are subjects to investigation followed by due penalty.
11. Participation	Rigorous participation of beneficiary institutions and individuals must be sought at every level of planning, implementation, monitoring, and control mechanism. Underprivileged group must be given due benefit for equitable participation.
12. Quality Control and Assurance	The research funding procedure must have a mechanism for quality control and assurance in the proposal review and awarding of the grants
13. Grievance Redressal	There must be a mechanism and procedure for accepting and addressing the grievances of the applicants and stakeholders
<b>Scientific Merit Review</b>	
1. Quality	Proposals, reports and publications must be evaluated based on meritocracy, rational legitimacy, academic value and potential technological and societal impact.
2. Expert Assessment	Reviewers should have the appropriate knowledge and expertise in a broad context of the research field, specific objectives and methodologies. Reviewers should be selected based on specific relevant criteria.
3. Transparency	Decisions must be based on clearly described rules, procedures and evaluation criteria that are published <i>a priori</i> .
4. Impartiality	Proposals must be assessed fairly and on their merit. Conflicts of interest must be declared and managed according to defined processes.
5. Appropriateness	The review process should be consistent with the nature of the call, the research area addressed, and proportion to the investment and complexity of the work.
6. Confidentiality	All proposals, including related data, intellectual property

	and other documents, must be treated in confidence by reviewers and the UGC. The identity of reviewers involved in the peer-review process must be kept confidential.
--	---

## **1.6 Research Funding Policy**

Following policies are adopted to encourage productivity, quality, fairness and responsible conduct of research and to discourage negligence and research misconduct.

### ***1.6.1 No Conflict of Interest***

Persons with the conflict of interest with the UGC are not allowed to apply for the UGC funding. The UGC board members, members of the Research Council, the Evaluation Committee, the Research Integrity Committee and the Cluster Committees, the UGC employees and members from other active committees formed by the UGC are not eligible to apply for the UGC funding.

### ***1.6.2 Reward for Performance***

Researchers who have received the UGC research funding previously and have published the work in peer-reviewed journals and fulfilled all required obligations as per contract with the UGC are eligible to apply for the UGC research funding in the same or a new area.

### ***1.6.3 Penalty for Non-performance***

Researchers who have received the UGC research grant previously and have not published the work in peer-reviewed journals as per the agreement are not eligible to apply for the UGC research grant. Those who have not submitted the final report or not approached to the UGC to settle any dues and arrears are not eligible to apply for the UGC research grant.

### ***1.6.4 Limitation on Research Proposal Submission***

A faculty member cannot submit more than one grant proposal in any capacity in one application season. An investigator of the UGC funded research project/program who has not completed the project/program yet cannot apply for any other grant/program until submitting the final report of the previous research project/program.

### ***1.6.5 Duplicate Grants and Fraud***

Any concealment of fact which should have been disclosed or any false statement in application, proposal or report submitted to UGC, with intention to mislead the UGC and derive ineligible benefit, is regarded as a fraud. Non-disclosure of any duplication of grants from multiple sources and false information about person, degree and work are examples of fraud. The UGC action against fraud may include cancellation of UGC support, refunding and inclusion of the individual in the UGC Barred List.

### ***1.6.6 UGC Barred List***

UGC Barred List refers to UGC decision to bar an individual, team or institution to receive UGC grants and supports for certain period of time or permanently as an administrative action against failure on part of the individual, team or institution to fulfill the obligation associated with previously received grants and supports or against unethical activity or fraud as per the UGC Research Development and Innovation Programs Implementation Guidelines.

### 1.6.7 Research Output

All of the research grants have targeted output that includes student's theses, conference presentations and publications in peer-reviewed journals. Publication in peer-reviewed journal is mandatory for all of the research projects. Investigator should plan so as to publish the research work as soon as possible. The final report (Appendixes 5.7, 5.8 and 5.9) to the UGC should include publication or a proof of process towards publication (Submission to journal, Acceptance for publication or a journal-ready manuscript).

### 1.6.8 Acknowledgement

All scientific publications including research article, conference presentation and final research report, based on research funded by the UGC must have an acknowledgement for the funding. The acknowledgement should include the type of grant and the year of award. For example: (a) This research was funded by University Grants Commission, Nepal (Faculty Research Grant 2075 -76). (b) This research was partially funded by the University Grants Commission Travel Grant 2075-76).

### 1.6.9 Procedure for Dealing with the Delay

The date of signing of the grant agreement by the UGC representative and that of admission (MPhil)/ proposal approval (PhD) is considered the starting date of research grants and fellowships, respectively. The date of the viva voce of the student by the concerned institution and the date of submission of the first draft of the final research report or final presentation at the UGC by the researcher to the UGC is regarded as the completion of the work. Researchers who are unable to complete the assigned work in the specified time are required to request for the extension of the deadline before the final deadline by furnishing the justification. Those who do not complete the work within the extended deadline and do not contact the UGC shall be placed in the *UGC Barred List* to be published in the UGC website and any remaining installment of funding will be forfeited. Similarly, those who request and are granted the extension of one year but fail to submit the Final Report within the extended deadline will be placed in the *UGC Barred List* and the remaining installment will be forfeited. They will be cleared from the *UGC Barred List* if they submit the Final Report within next one year. Beyond that they will be placed in the *UGC Barred List* permanently. The actions on part of the grantee and the consequences are listed in the following table:

Table 1.2 Consequences of not meeting the deadline for completion

	Action	Consequences of not meeting the deadline		
		Year 1	Year 2	Beyond Year 2
1	A request for the extension of the deadline made before the final deadline	Extension of the deadline for one year granted	Remaining installment forfeited; placed in the <i>UGC Barred List</i> until the submission of the Final Report	Placed in the <i>UGC Barred List</i> permanently
2	Request for the extension of the deadline not made before the final deadline	Remaining installment forfeited, placed in the <i>UGC Barred List</i> until the submission of the Final Report	Placed in the <i>UGC Barred List</i> permanently	



The UGC may apply this policy to settle the similar issues with the research grants and supports awarded in previous years.

#### ***1.6.10 Abandonment Due to Circumstances Beyond Control and Settlement***

If a funded project/program is to be abandoned due to circumstances beyond its reasonable control, the grantee must immediately inform the UGC and fully cooperate to take appropriate action by the UGC. In case of abandonment, previously unreported expenditure in the project/program (any expenditure since the last Progress Report submitted to the UGC) is to be refunded to the UGC. When the awardee refunds to the UGC, the unreported fund as determined by the UGC is considered a settlement. Eventually, an awardee is not eligible for UGC grants until the unreported fund is settled. This provision may be applied retrospectively to settle previous cases as well.

#### ***1.6.11 Policy on Replacement of Investigator***

Except for the circumstances beyond control, the Principal Investigator and Co-Investigators of the UGC funded research project must commit to complete the project. In case of termination of involvement of any Investigator under the circumstances beyond control during the research project, the UGC may consider transferring the responsibility of the Principal Investigator to a qualified Co-Investigator and recruit a new Co-Investigator. For selecting a new Investigator or for granting new responsibility to the existing Co-Investigator, the UGC will conduct the process of application followed by the selection procedure based on the evaluation of the application and an interview with the applicant by the UGC.

#### ***1.6.12 Record of Research***

Investigators must keep a record of research activities in a Logbook (see Appendix 5.1 for suggested format) and data in appropriate medium safely. All norms of record keeping and integrity must be followed meticulously. The principal investigator/supervisor should monitor and keep record of the logbook.

#### ***1.6.13 Research Misconduct***

The cases of research misconduct, including fabrication, falsification, plagiarism and unethical conduct will be addressed with a due process of the UGC Procedure for Addressing the Allegations of Research Misconduct (see the Section 1.14 for elaboration).

#### ***1.6.14 Funding Limit***

Excepting the Minimum Limit, the rest of the fund limit specified by the UGC for particular programs are ceiling on funding for those programs. Requests for the UGC support must be based on the actual need of the proposed activity within the limit of the UGC funding. The UGC may determine the funding need of the proposed activity and make decision accordingly after its rational need analysis and assessment. The Minimum Limit, if specified, is the commitment of the UGC for the minimum funding. In such a case, the UGC assesses the funding need based on the proposal and determines the funding for awarding.

#### ***1.6.15 Number of Awards***

The UGC allocates numbers (quota) of awards for each program annually based on the projected demand and the budget allocated. The UGC may adjust the quota to meet the target by accumulating unconsumed seats allocated in previous years in order to maintain a reasonable competition. In case of inadequate applications, the UGC may reduce the quota

and/or make a call for a second time. In case of excessive applications, the UGC may increase the quota upon the availability of funding. While increasing or reducing the quota, the UGC shall determine the quota to applications ratio 3:4.

#### ***1.6.16 Institutional Overhead Cost***

All UGC research grants for the faculty members and PhD students include Institutional Overhead Cost to be paid to the host institution of the Principal Investigator of the research project and the PhD Fellow. The rate of the Institutional Overhead Cost is as per the rule of the institution but not exceeding 10% of the research grant if such rule does not exist. Research proposal submitted to UGC must specify Institutional Overhead Cost in its estimated budget section. Research Management Cell or any equivalent body in the Institution is expected to receive a part or whole of the Overhead Cost.

#### ***1.6.17 Research Management Cell***

All institutions being disbursed the UGC research grant for faculty members must have Research Management Cell (RMC) or equivalent body for facilitating research activities, managing institutional Overhead Cost support received from UGC and for institutional compliance of financial management of research fund and research ethics. (See Section 4.7 for detailed provisions for RMC).

#### ***1.6.18 Financial Management of the Grant for Faculty Members***

The UGC research grant is funding for the awarded research project and therefore, notwithstanding any deduction in tax in compliance with any applicable law, must not be treated as the personal income of the awardee. The grant is disbursed to the project through the host institution of the researcher. All research projects must maintain the project accounting and follow the financial norms and law of the land when making procurement and payments. While making payments to service provider, proof of deduction in amount paid by 15% income tax for professionals and 1% TDS for laborers/porters (source: Income Tax Act of 2058) must be maintained.

#### ***1.6.19 Action in Event of Hindrance and Mismanagement of Fund***

Any hindrance and unscrupulous delay in disbursement or misappropriation of the fund on part of the institution, the supporting staff and the researcher shall be considered the abuse of authority and breach of trust with the UGC. In such cases, the UGC will take appropriate actions that might include termination of the grant, refunding of the grant, placing the institution and individual in the *UGC Barred List* and forwarding the case to appropriate governmental agency.

#### ***1.6.20 Fellowship and Research Support for Students***

Except for the UGC PhD Research Support, all fellowships and research supports for students are disbursed directly to the recipient students. The UGC PhD Research Support is disbursed to the host institution of the Fellow and is managed by the same mechanism as that for research grant for faculty member. Fellowships for students are for covering educational expenses at the discretion of the recipient. The UGC Research supports to students are expended following the condition stipulated in the agreement between the student and UGC (see Appendix 2.19).



**1.6.21 Involvement of Students**

All research projects funded by the UGC must include as many students as possible for their theses, dissertations and student projects required for degrees. The minimum number of students for involvement is specified for each research support program. The Principal Investigator and Co-Investigator act as the Primary Supervisor or Co-Supervisors to the students. It is Principal Investigator and Co-Investigators' responsibility to generate appropriate thesis research projects from the UGC funded project by making necessary adjustments. As the students should follow the academic calendar and other requirements of the respective institution, it is the Principal Investigator and Co-Investigators responsibility to appropriately plan and supervise the students. The final report of the research project to the UGC (Appendixes 5.8 and 5.9) may include completed as well as in-progress theses of the students.

**1.6.22 Policy for Underprivileged Group and Institutions**

Principal Investigator from the underprivileged group receives additional marks during the evaluation of the application for Fellowship, Research Grants and Supports. Individuals belonging to Janajati, Madhesi and Dalit groups, women, persons with disability and individuals working in the institutions in the remote districts or community campuses are listed as the underprivileged group for the purpose of research support. Similarly, community campuses and institutions from the remote districts are considered the underprivileged institutions. Applications from the underprivileged institution receive additional marks during their evaluation for the award. Likewise, any research collaboration involving underprivileged institution receives additional marks in its evaluation for the award. The UGC may draft special provision to encourage such collaborations.

**1.6.23 Recognized Foreign Universities**

For the purpose of the UGC funding, such as Fellowship to Nepali Faculty Members and Students, and research collaboration, only the public universities, institutions recognized or accredited by respective country's national board/agency or the universities listed in the Times Higher Education World Universities Ranking, QS Top Universities, and Academic Ranking of World Universities (ARWU) are regarded as Recognized Foreign Universities.

**1.6.24 Grievance Redressal**

Administration Division of the UGC serves as a contact point for redressal of grievances of all forms received from the concerned stakeholders, including faculty members and students. Grievance letter should be addressed to the Member Secretary, University Grants Commission.

**1.7 Subject Clustering**

All the subjects operated in respective universities of Nepal and all research areas relevant to teaching and the national priority are eligible for the UGC support. For convenience, subjects are grouped into the following seven clusters:

1. Agriculture and Forestry
2. Engineering
3. Education
4. Health Sciences
5. Humanities and Social Sciences
6. Management, and

## 7. Science and Technology

Law and legal studies are included in the Humanities and Social Sciences Cluster. Agriculture and Forestry, Engineering, Health Sciences and Science and Technology clusters are regarded as ‘technical clusters’ and the rest as ‘non-technical clusters’. Subject clustering can be revised based on the need and recommendations from the Research Council and the Evaluation Committee.

Table 1.3 Broad Classification of the Subject Clusters

	Broad Cluster	Individual Clusters
1	Technical Clusters	1. Agriculture and Forestry 2. Engineering 3. Health Sciences 4. Science and Technology
2	Non-technical Clusters	1. Education 2. Humanities and Social Sciences 3. Management

### 1.8 Classification of Research

Research in all areas and disciplines under these seven subject clusters (Section 1.4) are eligible for the UGC funding. For costing purpose, research works are classified into three classes. The UGC also has programs to support small innovation projects. All four classes of research and innovation projects are shown in the Table 1.4.

Table 1.4 Classification of Research and Innovation projects for costing purpose

	Class	Research Type	Description	Cost Category
1	Class A	Wet laboratory based research	Research including laboratory experiment/analysis with or without field study	High cost
2	Class B	Social survey based research	Social survey with or without intervention study	Medium cost
3	Class C	Dry laboratory based or library based research	Computer based or library based study	Low cost
4	Class D	Small innovation project	Small scale development and innovation project	Medium cost

The ceiling of funding for each category of research is fixed for each program individually. For a mixed type of research, the applicant can propose a budget close to an approximate

weighted average. The final amount of funding for award is determined individually based on the proposed budget in the grant proposal and its appraisal by the UGC.

### 1.9 Institutional Arrangements

In order to implement research support programs effectively, the UGC has formed three different levels of advisory/technical bodies, the Research Council (RC) as the apex body, the Evaluation Committee (EC), the Research Integrity Committee (RIC) and the Academic Committee (AC) as the second tier bodies, and seven subjects cluster specific Cluster Committees, at the bottom. The Research Division (RD) is a permanent structure within the UGC to coordinate and function as the secretariat to RC, EC and RIC and implement the research support programs. RD also maintains the UGC roster of national and international research experts. The organizational framework for management of research support programs is illustrated in figure 1.

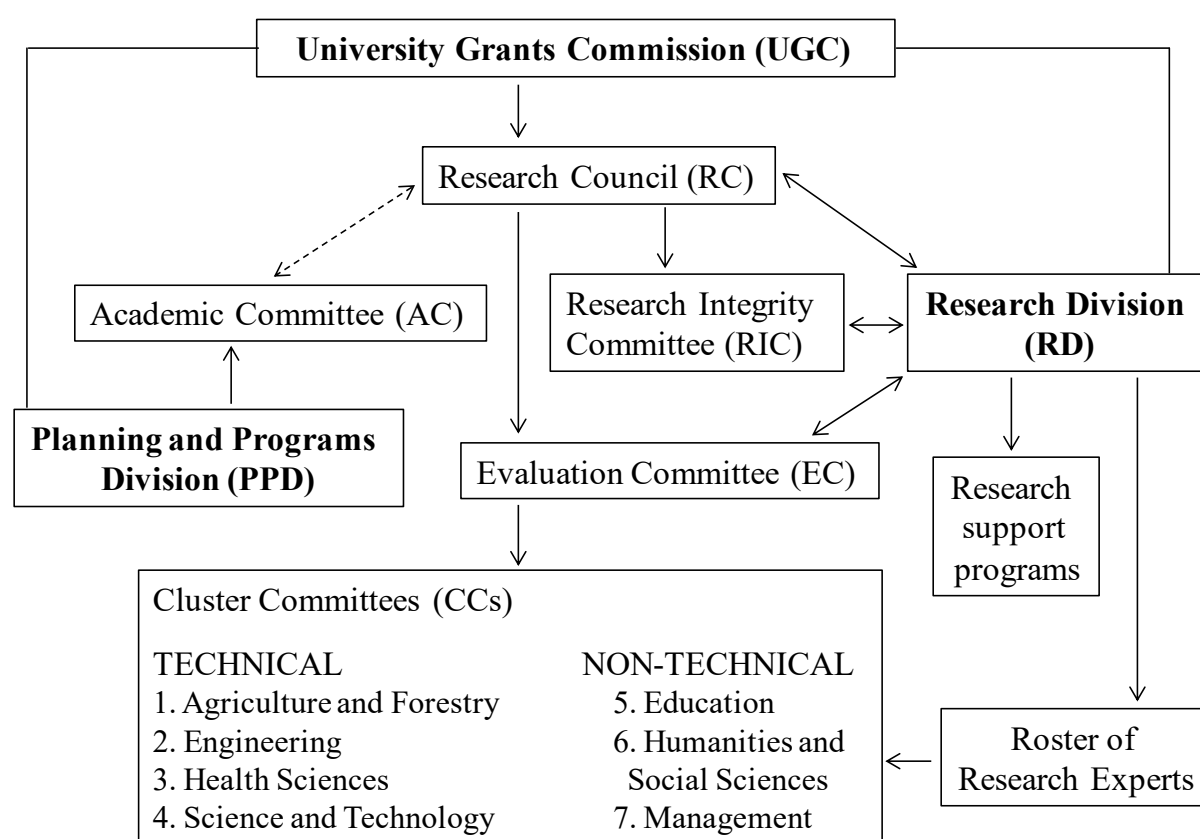


Figure 1: Institutional arrangement for administering research support programs of the UGC

#### 1.9.1 Research Council (RC)

The Research Council is an apex body for research programs of the UGC with mandate to advise and assist the UGC in formulation of research funding policy and programs, revision of programs guidelines, assurance of fairness and competence in evaluation of grant proposals and requests for support, promotion of research culture and integrity in higher education institutions, and promotion of national and international academic and research collaboration. The Research Council also functions as a body to receive the appeal in proceedings carried out in the UGC in relation to research misconduct.

Table 1.5 The Composition of the Research Council (RC)

	Representation	Membership
1.	Chairperson, UGC	Chairman
2.	Member Secretary*, UGC	Member
3.	Rector, Tribhuvan University	Member
4.	Member, National Planning Commission (Education)	Member
5.	Representing Professor, Other University (rotationally nominated)	Member
6.	Researcher, National Academy of Science & Technology (NAST)	Member
7.	Academician, Nepal Academy	Member
8.	Researcher, National Agriculture Research Council (NARC)	Member
9.	Chairman, Nepal Health Research Council (NHRC)	Member
10.	Joint-Secretary, Ministry of Education (Higher and Technical Education Section)	Member
11.	Representative, Federation of Nepalese Chambers of Commerce and Industry (FNCCI)	Member
12.	Researchers/Professionals nominated by UGC (5)	Member
13.	Director of the Research Division	Member Secretary

\* In absence of the Chairman, the Member Secretary shall preside over the Council.

### **1.9.2 Research Integrity Committee (RIC)**

The primary responsibility of Research Integrity Committee is to assess allegations of research misconduct brought to the UGC to determine if they fall within the definition of research misconduct and if the allegation is sufficiently credible and specific to warrant an investigation. RIC also oversees inquiries and investigations conducted in universities. Improvement and promotion of RIC Integrity Policy and the Procedure for Addressing Research Misconduct Allegation are among advisory responsibilities of the Research Integrity Committee.

The Research Integrity Committee will come into effect upon the endorsement of the provision and formation of the committee by the UGC.

### **1.9.3 Academic Committee (AC)**

The Academic Committee looks after the capacity development programs under the UGC's Quality Improvement Programs. These programs are administered by a separate guideline.

### **1.9.4 Research Division (RD)**

Responsibilities of the Research Division includes assistance to the Research Council and the UGC in formulation of research support policy and programs, day-to-day administration of the Research Development and Innovation Support programs and part of the Quality Improvement Programs of the UGC, quality control, quality assurance, monitoring and evaluation. The Research Division also serves as the secretariat to the Research Council, the Evaluation Committee, the Research Integrity Committee and is responsible for their regular meetings and functioning. The Research Division also functions as communication and information center for research support programs of the UGC. All administrative functions of the Research Division are governed by the general policies, rules and regulations of the UGC.

In carrying out its activities, the Research Division is responsible to both the UGC and the RC.

The staff structure of the Research Division is presented in table 1.6.

Table 1.6 Staff Structure of the Research Division (RD)

	<b>Job Position</b>
1	Director
2	Research Program Officers
3	Senior Administrative Assistants

*Note: The staffing of the Research Division is done according to the plan of the UGC and the number and position of staff members may change as per the overall requirement of the Division.*

### **1.9.5 Cluster Committee (CC)**

The primary responsibility of Cluster Committee is to help review grant proposals and their oral presentations following the UGC guidelines and the principles of the Scientific Merit Review. In order to cover all the academic disciplines and research areas, they are divided into seven clusters: (i) Agriculture and Forestry (ii) Health Sciences (iii) Science and Technology (iv) Engineering (v) Management (vi) Humanities and Social Sciences and (vii) Education.

For interdisciplinary programs, the responsibility of a Cluster Committee is carried out by the Evaluation Committee. A Cluster Committee is formed for each cluster. Cluster Committees are comprised of prominent scholars who have the expertise in the respective cluster areas and significant research experiences and research publications in last 10 years. The primary role of the Cluster Committee is to evaluate research proposals and reports in their subject area. The detailed role of the Cluster Committees is outlined in Table 1.5.

*Formation of Cluster Committees:* Each of the cluster committees consists of five members including a coordinator nominated from among the members. The members are proposed by the Research Council and appointed by the UGC. The Coordinator of the Cluster Committee also represents the Cluster Committee in the Evaluation Committee as its member.

With the recommendation of the Cluster Committee Coordinator, Research Director of the UGC or additional experts can be invited to the Cluster Committee meeting and activities, including oral presentation evaluation when needed. The Cluster Committee can draft its own procedures for its smooth operation of the research funding and supports to researchers and institutions. The procedure should, however, comply with the guidelines and regulations of the UGC.

A Cluster Committee has a two-year tenure term. This provision is applicable after the completion of the current committee.

Minimum qualification requirements for the members are a PhD degree and proven track record of research publications in last 10 years.

### **1.9.5 Evaluation Committee (EC)**

The Evaluation Committee is headed by the Member Secretary of the UGC and comprises of Coordinators of all seven cluster committees, research scholars selected by the UGC from

various research organizations, and an independent research expert as members, and the Director of the Research Division as the Member Secretary of the committee. The nominated members of the committee must have a PhD degree and/or a track record of significant research publications. The primary responsibility of the EC is to evaluate the graded proposals submitted by the Cluster Committee in a holistic manner, prepare a final merit list and send its recommendations to the Research Council for final selection. The Evaluation Committee also assists the Research Division in policy matters and coordination with relevant organizations and stakeholders. The roles and responsibilities of the Evaluation Committee are outlined in Table 1.8. The composition of the Evaluation Committee is given in Table 1.7.

Table 1.7 Composition of Evaluation Committee (EC)

Representation	Minimum Qualification	Membership	Number
Member Secretary, UGC		Coordinator	1
Coordinators, Cluster Committees		Members	7
Government/semi-government organizations	Minimum Joint Secretary level/10 <sup>th</sup> level officer with a PhD	Member	1
National/international expert	Associate Professor with a proven record significant research publications	Member	1
Director, Research Division, UGC		Member Secretary	1
<b>Total</b>			11

### 1.9.6 Roster of Reviewers

The UGC maintains a roster of independent national and international research experts and updates it regularly. The reviewers support the UGC mainly to evaluate research proposals and research reports. Their support is also called for other research program activities of the UGC and for advice on policy matters when necessary.

### 1.9.7 Institutional Review Committee (IRC)

The UGC will form an Institutional Review Committee (IRC) for health related research following the Guidelines for Institutional Review Committees for Health Research in Nepal of the Nepal Health Research Council and the UGC Research Development and Innovation Programs Implementation Guidelines will be updated accordingly.

### 1.9.8 Specific Responsibilities

Specific responsibilities of the UGC, the Research Council, the Evaluation Committee, the Cluster Committees, the reviewers and the Research Division are outlined in Table 1.8.

Table 1.8 Specific Responsibilities of Institutional System

Institutional System	Responsibilities
UGC Board	<ul style="list-style-type: none"> <li>Apex governing body for all the UGC functions</li> </ul>
Research Council	<ul style="list-style-type: none"> <li>Apex advisory body for all research support programs of the</li> </ul>

(RC)	<p>UGC</p> <ul style="list-style-type: none"> <li>• Proposes the annual budget for the research support programs of the UGC</li> <li>• Reviews the UGC Research Guidelines</li> <li>• Formulates research support policy and programs of the UGC coordinating with the Research Division as its secretariat</li> <li>• Makes recommendations for the appointment of members in the Research Integrity Committee, the Evaluation Committee and the Cluster Committees</li> <li>• Approves the functional activities of the Evaluation Committee</li> <li>• Functions as the apex body to make decision on disputes related to research programs</li> <li>• Receives the appeal arisen from the proceedings of the Research Integrity Committee on the matter of research misconduct</li> <li>• Networks with national and international research agencies for cooperation and resource mobilization</li> </ul>
Research Integrity Committee (RIC)	<ul style="list-style-type: none"> <li>• Develop policies, procedures and regulations related to the detection, investigation, and prevention of research misconduct and the responsible conduct of research</li> <li>• Review and monitor research misconduct investigations conducted by universities</li> <li>• Recommend research misconduct findings and administrative actions to the Research Council and the UGC for decision, subject to appeal;</li> <li>• Provide technical assistance to institutions that respond to allegations of research misconduct</li> <li>• Implement activities and programs to teach the responsible conduct of research, promote research integrity, prevent research misconduct, and improve the handling of allegations of research misconduct</li> <li>• Conduct policy analyses, evaluations and research to build the knowledge base in research misconduct, research integrity, and prevention and to improve the UGC research integrity policies and procedures</li> <li>• Administer programs for maintaining institutional assurances and responding to allegations of retaliation against whistleblowers</li> </ul>
Evaluation Committee	<ul style="list-style-type: none"> <li>• Advises on policy matter related to research programs</li> <li>• Prepares evaluation criteria for research proposal and</li> </ul>



(EC)	<p>reports</p> <ul style="list-style-type: none"> <li>• Helps the Research Division maintain a roster of research experts and reviewers</li> <li>• Provides assurance of the validity of the results produced by the Cluster Committees</li> <li>• Prepares the initial result of the awards based on the merit list, the allocation, and comments by the Cluster Committees.</li> <li>• Consults with the Cluster Committees and the Research Division when it deems necessary to prepare the award list.</li> <li>• Sends its recommendations to the Research Council for the final decision.</li> </ul>
Cluster Committees (CCs)	<ul style="list-style-type: none"> <li>• Assists the Research Division to assign the reviewers for reviewing the research proposals</li> <li>• Evaluates the research proposal oral presentations</li> <li>• Grades the research proposals for their association to national priority</li> <li>• Reviews the merit list of research proposals before sending them to the Evaluation Committee</li> <li>• Monitors the work progress of the awarded proposals and evaluates periodically their progress reports</li> <li>• Recommends for disciplinary action in the event that the work progress remains unsatisfactory at the periodic evaluation</li> <li>• Helps enforce academic integrity and research ethics</li> <li>• Reviews the UGC Research Development and Innovation Programs Implementation Guidelines for Cluster-specific proposal format and evaluation scheme</li> <li>• Helps in reform activities</li> </ul>
National/International reviewers	<ul style="list-style-type: none"> <li>• Evaluates research proposals according to the predefined criteria described in the UGC Research Development and Innovation Programs Implementation Guidelines</li> </ul>
Research Division (RD)	<ul style="list-style-type: none"> <li>• Coordinates to draft policies and programs of research support</li> <li>• Coordinating with the Research Council and the Evaluation Committee, revises The UGC Research Development and Innovation Programs Implementation Guidelines</li> <li>• Day-to-day administration of the quality improvement and research support programs following the UGC Act, the UGC Rules and The UGC Research Development and Innovation Programs Implementation Guidelines</li> <li>• Facilitates to assure the functioning of the Cluster Committees, the Evaluation Committee, Research Integrity Committee and the Research Council</li> <li>• Functions as secretariat for the Evaluation Committee, Research Integrity Committee and the Research Council</li> <li>• Assures quality in the evaluation of the proposals, awarding of the grants and the evaluation of the reports</li> <li>• Grievance Redressal</li> </ul>



	<ul style="list-style-type: none"> <li>• Carries out monitoring and evaluation</li> <li>• Maintains research database</li> <li>• Interagency, national and international coordination and communication on research related matters</li> </ul>
--	--

### 1.10 Fund Allocation for Quality Improvement and Research Support Programs for 2017-2018

Funding for the Quality and Research Support Programs of the UGC comes from two allocations: an annual budget allocated for *Quality Improvement Programs (QIP)* and the *Higher Education Reforms Project (HERP) currently in operation*. The HERP Research Support programs for the year 2019-20 (2076-77) is listed in the Appendix 1.1

### 1.11 Institutional Eligibility for Research Funding

Research funding from the UGC is primarily intended for public higher education institutions. However, private higher education institutions, non-governmental research institutions, industries and for-profit organizations also can participate in selected programs that benefits public higher education institutions and national research output. The Table 1.9 lists the potential participant institutions and individuals, and the UGC research support programs they are eligible to apply for.

Table 1.9 Institutions and individuals eligible for participating in the UGC programs

	Potential Participant	Eligible for
1	Community/Constituent Campuses	All
2	University Research Centers	All
3	Community/Constituent Campus Faculty Members	All
4	Students from the Community/Constituent Campuses	All
5	Private Campuses	Refresher Course, Conference
6	Private Campus Faculty Members	Competitive Research Grants
7	Students from Private Campus	All programs that are for students
8	Governmental Research Institutions	All collaborative programs in which HEIs take the lead
9	Not-for-Profit Non-Governmental Research Institutions	Collaborative research in which a HEI takes the lead, The UGC solicited Research Training
10	Registered Professional Societies	Research Training in association with a HEI, Conference with a HEI as a leading co-organizer
11	Industries and For-Profit Organizations	The UGC solicited Research Training, Industry-University Dialog, Sponsor for Matching Research Grant

### 1.12 Beneficiaries and Selection Mechanism for Research Funding

The primary beneficiaries of the UGC research funding are public universities and their faculty members, students and the staff. Faculty members and students from the private campuses can also participate in selected competitive funding programs. Researchers from the governmental and non-governmental research institution and the registered professional societies and from the recognized foreign universities and research institutions can collaborate with the faculty members of the universities of Nepal for collaborative research projects and activities. For all collaborative research projects to be eligible for the UGC research funding, the Principal Investigator must be a faculty member from one of the universities of Nepal. Other conditions are elaborated in the Section 3.3.

The list of intended beneficiary and the selection and administering mechanism is given in the Table 1.10.

Table 1.10 Program Administration Matrix

Support Program	Participants	Selection Mechanism	Time of Application
<b>Fellowship and Research Support to Students</b>			
PhD Fellowship	PhD students registered in the HEIs in Nepal or in a recognized* university in a foreign country	Competitive selection	Annual call
PhD Research Support	Applicants for the UGC PhD Fellowship who are registered in the HEI in Nepal are automatically considered for this support	The limit is decided by the UGC. The exact amount of the Research Support is decided by the UGC based on the proposal and funding need assessment by the UGC	
MPhil Fellowship	MPhil Student registered in HEIs in Nepal	Competitive selection	
MPhil/Masters Research Support	Final semester/year student	Competitive selection	
Partial Support for PhD Fellow	PhD Fellow without Fellowship	Eligibility-based award	Anytime within the eligible period
<b>Research Grants to Faculty Members and Researchers</b>			
Small RDI Grants	Faculty members from HEIs/research institutions associated with HEIs	Open-competition through proposal evaluation	Annual call
Faculty Research			
Collaborative Research			
Postdoctoral Fellowship	Open	Selection by PI of the UGC funded Collaborative	Anytime

		Research Project	
Publication of research articles in Ranked journals	Faculty Members, UGC Fellows	Evaluation of the application for support	Anytime within the eligible period
<b>Institutional Research Infrastructure</b>			
Library Networking	HEIs	Proposal	UGC Call
Research Laboratories	HEIs	Proposal/consultation with HEIs	
Research Management Cells	HEIs	Proposal	
Publication of Peer-Reviewed Journals	HEI, Research Institutions, Professional Societies	Consultation/ Competition	

\* See Section 1.6.23 (Recognized Foreign Universities) for the elaboration.

### 1.13 Selection Process for Research Grants

Research grants for faculty members and Research Support for students are awarded using the following steps for the process of application, evaluation and award.

#### Call for Submission

Every year, around the beginning of the month of January, the UGC makes a call for submission of research grant proposals from the faculty members from the higher education institutions in Nepal as well as students pursuing Masters, MPhil and PhD degrees in the universities of Nepal, and in case of PhD degree, in recognized foreign universities as well. In case of Masters and MPhil students, such call may be made twice a year to suit the semester system. The notice is published in a national daily and in the website of the UGC ([www.ugcnepal.edu.np](http://www.ugcnepal.edu.np)).

#### Application Submission

Interested faculty members and students can download Application Forms from the website of the UGC (also available in the Appendixes section of this guideline) and follow the instruction to complete the Application Form. Completed Application Form along with a research proposal written in the format specified in the Application Form, and the documents specified in the Document Checklist in the Application Form must be submitted within specified time period. The UGC has a plan to develop an online submission system for grant proposals. Until the system is developed, all applications must be submitted to the office of the UGC. Applicants from the institution outside the Kathmandu Valley can submit the digital copies of the application form and required documents via email to the UGC. As the Application Package is verified for completeness and authenticity before submission, it is advisable for the applicant to contact the UGC at least a week before the deadline. Incomplete Application will not be proceeded for evaluation.

#### Evaluation Process

##### Step I: Coding

After the proposal submission is closed, the Research Division at the UGC provides a code against the candidate's name to each of the received proposals and then sends them to the relevant Cluster Committee. The RD also provides a list of potential reviewers from the UGC

Roster of Experts. The Cluster Committee (CC) assigns two reviewers (only one reviewer in case of Master/MPhil Research Proposals) for each proposal. The RD sends the coded proposal along with the evaluation form and explanatory note to reviewers assigned by the CC. Evaluation from reviewers is either entertained confidentially through electronic media or is done at the office of the UGC.

**Step II: First selection**

Unless two reviewers' scores differ by 30% or more, the scores are averaged and those applicants who receive at least 50% average score are selected for the next step. In case the reviewers' scores differ by 30% or more, the proposals are sent to a third reviewer for evaluation and two closest scores are averaged for the selection. Candidates receiving 50% or more scores are selected for oral presentation.

**Step III: Oral Presentation**

All candidates securing 50% or more scores on their research proposals are invited for oral presentation in presence of the Cluster Committee and at least one subject expert will be invited if the cluster committee feels necessary for the research proposal being presented. The Research Director may attend the oral presentation as an observer and facilitator. Before the oral presentation, the Coordinator of the CC or the Research Director explains to the invited Expert the purpose of the presentation, the criteria for the evaluation of the presentation and the whole selection process. Next, the Research Director explains to all reviewers, including the invited Expert, the UGC Code of Conduct for the Reviewers. Then, the oral presentation and evaluation commence. The CC members and the expert use the program specific Evaluation Form to evaluate the oral presentation. A mean of the score from the Expert and the average score of other members of the Cluster Committee is taken as the final score of the oral presentation.

**Step IV:** The Research Division collects the Evaluation sheets and sums the score. The Research Director may add notes on the Interrater Deviation Score and on the comments by the Reviewers on the Evaluation Sheet. Any anomaly, if discovered, must be reported to the EC during the submission of the Score Report and the Merit List. The EC reviews the report and may consider scrutinizing the questionable scores. The UGC may provision and undertake additional scheme of evaluation of the proposals based on the recommendation of the Evaluation Committee.

**Step V:** The RD will evaluate the applicant's academic record, publication record and underprivileged status.

**Step VI:** A final Merit List of all applications is prepared by the RD based on the score from the proposal evaluation, oral presentation evaluation and the evaluation of the applicant's academic record, publication record and underprivileged status.

**Decision and Announcement of Award**

**Step I: UGC Guidelines Compliance Check**

The UGC asks the applicants or the institutions of the applicants to provide information/evidence regarding compliance of relevant UGC guidelines: the UGC Guidelines for Minimum Standard and Procedure for PhD/MPhil Degrees. Applications coming from the institutions not complying with the relevant UGC guidelines are verified by UGC and take necessary actions.

**Step II: Seat allocation**

Seats are allocated to each cluster based on the allocation scheme described in Section 2.4, and filling the seats from the Merit List prepared according to Step VI.

**Step III: Comment by the CC**

RD presents a report of the draft result consisting of the Merit List and seats allocation to each cluster to the CC for final comment. RD then presents the draft result together with the comment received from the CC and any comment/report from the Research Director to the Evaluation Committee (EC) for comment and decision.

**Step IV: Initial Decision by the EC**

EC comments and takes initial decision on the result and forwards it to the EC for final decision. EC may discuss any issue regarding evaluation, allocation and award, with the CC or the RD before making final comment and forwarding its decision to the EC.

**Step V: Final Decision by the RC**

The Research Council takes final decision on the selection of the candidates for the award.

**Step VI:**

The UGC Research Division announces the awards through the UGC website and invites the candidates, supervisors and the head of the institutions to sign a formal agreement.

**Step VII: Pre-agreement Revision of Research Proposal**

The UGC provides to the awardee all the major comments on the research proposal received from the UGC reviewers, experts and Cluster Committee members. Awardees revise the research proposal, including the budget estimate based on the comments received and other applicable norms and submit the revised proposal to the UGC.

**Step VIII: Agreement and Commencement of Research**

An agreement is made between awardee, awardee's institution/supervisor and the UGC (Appendixes 2.11 and 3.8) and the research project commence. The date of agreement is the starting date of the research project for the purpose of deadline. Awardees who have already started the research project or who can complete the project earlier than the deadline can submit the final report any time during the approved period of the project.

**Step IX: Inclusion of Research Students**

All awarded research projects for faculty are required to include certain minimum number of research students for their theses/dissertations/projects. Students can be selected by investigators anytime during the project after the announcement of the grant award. Included students have to submit a separate application form to the UGC (Appendix 3.4).

The Fellows and the Principal Investigator receiving the research grant awards are required to submit a progress report (Appendixes 5.3 and 5.4) of every six months and make an oral presentation on the progress before receiving third installment at the UGC. Fellows enrolled in a university in a foreign country do not have to make the oral presentation at the UGC. The progress report is reviewed by the Research Director. The oral presentation is reviewed by a subject expert. The Research Director facilitates the reviewing of the presentation. The major

output indicators to be used to evaluate the performance of each fellow researcher include progress reports, publications in research journals, paper presentations in seminar/workshops. Support may be discontinued to the Fellow/PI who fails to make satisfactory progress with their research works. A prior notice and at least one chance for improvement are given to such research fellows.

### **1.14 Research Ethics**

The UGC is committed to academic excellence and to fostering the highest ethical standards of honesty and integrity in research. All universities and affiliated institutions receiving the UGC grants are expected to have a Code of Academic Integrity, Responsible Conduct of Research and procedures for addressing allegations of research misconduct.

#### ***1.14.1 Ethical Clearance and Compliance***

Research projects approved for funding by the UGC need ethical clearances from concerned agencies/institutions. Research involving humans or animals must comply with the *National Health Research Council (NHRC) guidelines, National Ethical Guidelines for Health Research in Nepal* and *Standard Operating Procedures and Ethical Guidelines for the Care and Use of Animals in Health Research in Nepal*.

All institutions and laboratories receiving the UGC support should have occupational health, environmental, laboratory and biosafety guidelines and monitoring system in place. All UGC-funded activities should also follow provisions of Environment Monitoring Framework and Social Management Vulnerable Community Development Framework of the HERP.

#### ***1.14.2 Responsible Conduct of Research***

The higher education institutions receiving the UGC research funding are required to have a Responsible Conduct of Research Guideline and an instruction program to instruct the researchers about the guideline. The Responsible Conduct of Research Guideline must include all guideline for all aspects/steps of research including:

1. Data acquisition, management, sharing, and ownership
2. Supervisor/trainee responsibilities
3. Publication practices and responsible authorship
4. Peer review
5. Research collaboration
6. Research involving human subjects
7. Research involving animals
8. Research misconduct
9. Conflict of interest and commitment

Generally, the institutions shall follow the guidelines and instruction program of their affiliating university. The institutions may also draft and implement their own guideline and program. The UGC will provide support and instruction to universities to develop/improve the Responsible Conduct of Research Guideline and instruction program to provide appropriate training and oversight to students, faculty members and research collaborators.

#### ***1.14.3 Research Misconduct***

In order to define research misconduct more concretely for proper corrective measures and legally uniform administrative actions, the UGC will draft appropriate policy on Responsible



Conduct of Research and make it mandatory for universities to have a procedure for addressing allegations of research misconduct in compliance with the UGC policy. The UGC will also draft a guideline with procedure for addressing the cases of allegations of research misconduct filed in the UGC.

Research misconducts include deliberate fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, and harmful activities

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Harmful activities include deliberate harm caused to humans, animals and the environment, and misappropriation of public fund.
- Research misconduct does not include honest error or differences of opinion.

The policy/Guidelines on Research Misconduct shall be based on the principles of fairness and expedience. In case of alleged/suspected research misconduct, it is the institution's responsibility to conduct the initial inquiry, investigation, adjudication and appeal. Small institutions, which do not have adequate resource to conduct the investigation and subsequent procedure, can apply to the UGC for taking in the case.

#### ***1.14.4 Code of Ethics for the UGC Reviewer***

The UGC will prepare a Code of Ethics for the UGC Reviewers and incorporate it in this Guideline for its implementation.

### **1.15 Priority Areas for Research Funding**

The Higher Education Reforms Project has prepared a framework for National Priorities for Research Funding, which is drawn primarily from the 13<sup>th</sup> plan of the National Planning Commission (2014/15-2016/17), the Higher Education Policy (HEP) and the National Program for Higher Education Research and Development (NPHRD). The priority framework is presented in Appendix 6. The list of priority areas for funding research projects is as follows:

1. Science and technology
2. Engineering
3. Health sciences
4. Agriculture and forestry
5. Social Sciences and Education
6. Management and
7. Research activity associated with any of the following objectives and areas:
  - a. reduction of economic and human development poverty
  - b. employment generation
  - c. holistic development of national economy
  - d. economic, social and political transformation to develop culture of inclusive democracy

- e. conservation and development of national heritage
- f. promotion of indigenous knowledge, vocation, and technology
- g. conservation and sustainable use of natural resources and environment including biodiversity
- h. productivity enhancement in and diversification and commercialization of agriculture
- i. development of basic education, health, drinking water and sanitation, food and nutrition
- j. promotion of good governance
- k. transportation and other infrastructure
- l. water resources
- m. renewable energy
- n. small industries and business
- o. natural disaster and hazard management
- p. global warming and climate change
- q. public-private-community participation in development issues

#### ***1.15.1 Evaluation of Research Proposals for National Priority***

The format for research proposal for all research grants is designed to give opportunity to explain the association of the proposed research to the National Priority defined above. Proposal evaluation matrices incorporate an indicator for the association of the proposed research to the National Priority. The weight for this indicator increases from the small to large scale research. The reviewer grades the research proposal by the investigator's explanation in the proposal against the list of areas of National Priority explained in this Guideline.



## SECTION II: FELLOWSHIP AND RESEARCH SUPPORT FOR STUDENTS

### 2.1 Introduction

As an integral part of research funding component of the HERP and regular program of the UGC, this subcomponent covers the financial support to the faculty members from HEIs and fresh postgraduate students taking Masters, MPhil or PhD degrees. This program is also introducing provision of postdoctoral fellowship in the UGC funded large research projects. The primary purpose of this program is to support quality research in the areas of national priority and academic excellence leading to theses required for the postgraduate degrees. Young students as well as faculty members of HEIs of Nepal are beneficiaries to this program. There are two kinds of supports: Fellowship (MPhil and PhD) and Research Support (Masters, MPhil and PhD). The Fellowship consists primarily of a monthly stipend to partially support the educational cost of the Fellow. The Research Support is provided to cover the cost of the proposed research leading to the thesis of the Fellow.

For the funding of Masters and PhD research, apart from the regular policy and programs of the UGC to support graduate students' research for their theses, the inspiration is also derived from the announcement of the Prime Minister Research Scholarship by the Hon'ble Minister of Finance during the Budget Speech for the FY 2072-2073. The UGC will keep improving the research funding program following the spirit of the Prime Minister Research Scholarship and extend in all areas of national and academic importance.

Only the PhD and MPhil programs complying with the UGC Minimum Standard and Procedure for PhD/MPhil Degrees are eligible for the UGC Fellowship and Research Support. In case of foreign universities, public universities, institutions recognized or accredited by respective country's national board/agency or the universities listed in the Times Higher Education World Universities Ranking, QS Top Universities, and Academic Ranking of World Universities (ARWU) are regarded as Recognized Foreign Universities for the purpose of the UGC support. PhD/MPhil programs run by foreign universities in Nepal which do not meet the UGC Minimum Standard and Procedure for PhD/MPhil Degrees are not eligible for the UGC Fellowship and Research Support.

PhD fellowships to student for three years, financial support for PhD research provided through the host institution, MPhil fellowships for eighteen months, partial support for research or thesis preparation for Masters, MPhil and PhD students are grants in this program. A limited number of postdoctoral fellowships for up to 2 years are provided to qualified researchers to work in the research projects funded by the UGC or other funding agencies. Candidates from underprivileged groups (Women, Dalit, Janajati, Madhesi, persons with disability, and persons working in remote districts or a community campus) receive extra marks during evaluation of applications. Under special eligibility conditions, the upper age limit for candidates from the underprivileged group has been relaxed by 2 years.

## 2.2 Eligibility

Only Nepali citizens are eligible to apply for the UGC Fellowship and Research Support. A Nepali citizen enrolled in a PhD program in any HEI in Nepal or in any recognized university in foreign country can apply for the UGC PhD Fellowship. Only the candidates enrolled in higher education institutions in Nepal can apply for the UGC MPhil Fellowship and Masters/MPhil/PhD Research Supports. Other eligibility criteria are outlined in the Table 2.1.

Table 2.1 Eligibility criteria for the UGC Fellowship and Research Support

	Program	Category*	Affiliation	Minimum Grade	Age Bar**	Application Period	Special Criteria
1	PhD Fellowship	Faculty	HEI, three years full time teacher	Masters 2nd Division	50	Within one year from the date of acceptance of the Thesis	Enrolled in Nepalese or recognized*** foreign university
		Young	Open		40		
2	PhD Research Support	Faculty	HEI, three years full time teacher		50	Proposal to the date of the call	Enrolled in Nepalese university
		Young	Open		40		
3	Partial Support for PhD		Open			Anytime after acceptance of Thesis Proposal and before Viva Voce	No support received from any other source
4	MPhil Fellowship	Faculty	HEI, one year full time teacher		45	Within one year from the date of enrollment to the date of the call	Enrolled in a HEI in Nepal
		Young	Open		35		
5	MPhil Research Support		Open	Previous Year/Semesters: Technical: 70% or equivalent		Within one year from the date of acceptance of the Thesis	Enrolled in full time program in Nepalese or recognized*** foreign university
6	Masters Research Support		Open	CGPA Non-technical: 60% or equivalent CGPA		Proposal to the date of the call	
7	Masters/MPhil Research		Open			Anytime after the	Disability all categories

Support for Persons with Disability					acceptance of Thesis Proposal and within 6 months of acceptance of the thesis.	
-------------------------------------	--	--	--	--	--	--

Notes:

\* To be eligible for the Faculty Category, the candidate must be a full time teaching staff in any Nepalese HEI at least for two years at the time of the enrollment for the program applied for.

\*\* The date of call for application is used for counting the application eligibility period. The candidates from the underprivileged group get relaxation of 2 years in the age bar.

\*\*\* See the Section 1.6.23 (Recognized Foreign Universities) for the elaboration.

### 2.3 Bases of Selection

Specific requirements of each program are described in respective chapters in this Section. Evaluation of research proposal, oral presentation, interview and application are bases of selection of candidates for the UGC Fellowship and Research Support awards. Table 2.2 shows an overview of the selection bases.

Table 2.2 Bases of Selection for Fellowship and Research Support Awards

	Programs	Bases of Selection
1	PhD Fellowship, PhD Research Support,	Application, Research Proposal, Oral Presentation
2	MPhil Fellowship	Application, Interview
3	Masters/MPhil Research Support	Application, Research Proposal
4	Partial Support for PhD	Application
5	Masters/MPhil Research Support for persons with disability	Application

The selection process for the PhD Fellowship and Research Support award is as described in the Section 2.5. The PhD research proposal is evaluated by two reviewers and an oral presentation by the candidate is evaluated by respective Cluster Committee. For the Masters and MPhil Research Support awards, the research proposal is evaluated by a single reviewer. Oral presentation is not required for Masters and MPhil research proposals.

### 2.4 Seats Allocation

The number of awards (seats) available for the year is divided among individual subject clusters (seven clusters), broad clusters (technical and non-technical clusters) and categories (faculty and young categories) in a mixed proportional method (described in section 1.6.16). First of all, half of the total seats are divided equally among seven clusters (each cluster receiving  $1/2 * 1/7$  of the total seats). Then the remaining half of the total seats are further divided between the technical cluster and non-technical cluster in proportion to the number of clusters in each broad cluster (the technical broad cluster with 4 individual clusters receives  $1/2 * 4/7$  and the non-technical broad cluster with 3 individual clusters receives  $1/2 * 3/7$ ). Then, the seats allocated to each broad cluster are divided among the individual clusters

belonging to that broad cluster proportionally based on the number of successful applicants in each individual cluster. If the seats allocated to any cluster remain vacant, they are further divided among other clusters of the same broad cluster in proportion to the number of successful candidates. Excess of seats from one broad category goes to another broad category. Finally, the total allocation of each individual cluster is divided between the categories in a predefined ratio (Faculty: Young = 50:50). If the seats allocated to any category remain vacant, they first go to another category, and then to individual clusters of the same broad cluster or to the next broad cluster. Excess seats are divided proportionally among the individual clusters based on the number of successful applicants in each cluster. Any allocation choice/adjustment made must serve the research priority framework of the UGC (Section 1.15). Any decimal number will be round-up to nearest whole number. In a cluster, applicable seats will be further divided into subjects.

## **2.5 PhD Fellowship and PhD Research Support**

### ***2.5.1 PhD Fellowship***

This program primarily aims at supporting qualified junior faculty members and young students pursuing PhD degrees in universities in Nepal or recognized foreign universities with monthly stipend to cover educational expenses. The Faculty members/young students enrolled in MPhil program leading to PhD degree are eligible to apply for the PhD Fellowship program. The allocation of seats to various categories and clusters are based on the scheme outlined in the Section 2.4. Selection of candidates for PhD fellowships are based on the competitive evaluation of PhD research proposals and academic and research credentials of the candidates. Research proposals are evaluated based on the indicators of academic merit and association of the research project to national priority. Candidates from the underprivileged groups receive preference marks during the evaluation of applications.

The award consists of a monthly stipend, eligibility for the UGC travel grant and research publication cost. The stipend is offered for a period of three years and the other supports are made available anytime during the PhD program. The PhD Fellowship funding scheme is presented in the Appendix 2.1. The awardee enrolled in a university in Nepal should submit a written progress report (Appendix 5.3) signed by the Supervisor every six months to receive the installments and make an oral presentation on the progress at the UGC before receiving third installment every year. To receive the subsequent installments of the stipend, the awardee enrolled in a university in a foreign country should submit a written progress report with his or her Supervisor's endorsement every six months.

### ***2.5.2 The UGC PhD Research Support***

This program primarily aims at funding nationally relevant and meritorious research leading to the PhD degree for Nepali students enrolled in universities in Nepal as well as the research project conducted in Nepal for students enrolled in the PhD degree program in eligible foreign university. The research project of PhD student is funded through the host institution. The support also includes an Overhead Cost support for the host institution (see Section 1.6.17) and a Contingency Cost. The Overhead Cost is for covering research management costs in the Institution. Research Management Cell or any equivalent body in the Institution is expected to receive a part or whole of the Overhead Cost. The Contingency Cost covers expenses of academic activities related to the PhD research project which can be used with the consent from the Primary Supervisor. The remaining fund of the Grant is for covering allowable research expenses (Appendix 2.4). The UGC transfers the approved fund of the research support directly to the Fellow.

For the purpose of support, research projects are classified into three classes: Wet laboratory based research, Social survey based research, and Dry laboratory or library based research (see Section 1.8, Table 1.4). The UGC funding scheme for the PhD Research is outlined in the Appendix 2.2.

A separate application is not required/accepted for this support. All applicants enrolled in universities in Nepal and applying for the UGC PhD fellowship are automatically entered in the contest for the PhD Research Support fund. In case of students enrolled in foreign university, only the students whose research is planned to be carried out in Nepal are eligible for this support along with the UGC PhD Fellowship.

### 2.5.3 Forms and Documents

The following forms and documents are used for application, evaluation and award of all PhD Fellowships:

Table 2.3 Forms and Documents for PhD Fellowships

	<b>Form/Document</b>	<b>Code</b>	<b>Format</b>
1	The UGC PhD Fellowship Funding Scheme		Appendix 2.1
2	The UGC PhD Research Support Funding		Appendix 2.2
3	Application form for PhD Fellowship and Research Support	PF/RS-1	Appendix 2.6
4	PhD Proposal Evaluation Form		Appendix 2.8
5	PhD Oral Presentation Evaluation Form		Appendix 2.9
6	PhD Application Evaluation Form		Appendix 2.10
7	PhD Fellowship and Research Support Agreement		Appendix 2.11

### 2.5.4 Evaluation Criteria for PhD Fellowship / Research Support

The applications for the UGC PhD Fellowship and the Research Fund are evaluated based primarily on the academic merit of the research proposal, the quality of the oral presentation of the research proposal and also on the candidate's academic record, publication record and underprivileged status. Applicants submit the same research proposal to the UGC that is accepted formally by the institution for the candidate's PhD program. PhD research proposals are evaluated by two reviewers. The criteria for the evaluation of the research proposal, oral presentation and candidate's qualification are shown in Appendixes 2.8, 2.9 and 2.10 respectively.

## 2.6 MPhil Fellowship

### 2.6.1 Scope

This program primarily aims at supporting the qualified faculty members of Nepal's HEIs and Young students who are seeking MPhil degree to enhance their capacity. The faculty members/young students enrolled in MPhil PhD integrated program for MPhil degree are eligible for this fellowship. Fellowship seats are divided equitably between the Faculty category and the Young category using a mixed proportional method described in Section 2.4. The selection of candidates is based on the evaluation of candidate's academic and publication records, underprivileged status and interview by relevant Cluster Committee.

The selection procedures are similar to that of the PhD Fellowship except for evaluation of research proposal. Research proposal will not be required. However, research interest and motivation for research are evaluated by interviewers during the interview (Appendix 2.13). The eligibility criteria are given in the section 2.2 and the Table 2.1.

### **2.6.2 Forms and Documents**

The list of forms and documents used for MPhil Fellowship application is given in table 2.4.

Table 2.4 Forms and Documents Used for MPhil Fellowship

	<b>Form</b>	<b>Code</b>	<b>Format</b>
1	The UGC MPhil Fellowship Funding Scheme		Appendix 2.3
2	MPhil Fellowship Application Form	MF-1	Appendix 2.12
3	MPhil Fellowship Interview Form		Appendix 2.13
4	MPhil Fellowship Application Evaluation Form		Appendix 2.14
5	MPhil Fellowship Agreement		Appendix 2.15

### **2.6.3 Applications, Selection and Award**

The call for application is made together with the PhD Fellowship. The applicant is required to submit completed application form (Appendix 2.12), CV and copies of academic and other documents mentioned in the application form.

Evaluation Criteria for the MPhil Fellowship Application are presented in Appendix 2.14.

### **2.6.4 Allocation of Seats**

Fellowship seats are allocated to Categories and Subject Clusters using a mixed proportional method. First, available seats are divided equally between the Faculty Category and the Young Category. Then, from the allocated seats for each category, 50% of seats are divided equally among the Subject Clusters that have successful applicants. The rest of the seats are divided among the Subject Clusters proportionally based on the number of successful applicants in each cluster.

### **2.6.5 Fellowship Amount**

The funding scheme for the UGC MPhil Fellowship is presented in the Appendix 2.3. The Fellowship includes a monthly stipend to partially cover the educational expenses and the UGC Support for publishing research article. The awardee is required to submit academic progress report (Appendix 5.2) of each semester to UGC. The progress report should include examination results and reports of any academic activities participated.

## **2.7 The UGC Masters/MPhil Research Support**

### **2.7.1 Scope**

This program aims at primarily provide financial support to Masters and MPhil degree students to conduct research in nationally important areas leading to their theses required for the respective degrees. All Nepali students enrolled in Nepali universities for MPhil/Master Degree are eligible to apply for support under this program. Candidates who have received the UGC MPhil Fellowship also can apply for this support. Other eligibility criteria are given



in the Table 2.1. The fund received under this program can be used to cover costs required to complete the research and prepare the thesis.

### **2.7.2 Funding**

The UGC Masters/MPhil Research Support includes a partial research fund to cover the expenses for the research and thesis preparation and also the eligibility for the UGC Support for publishing research Article. The funding scheme is presented in the Appendix 2.4.

### **2.7.3 Evaluation**

Applicants for UGC Masters/MPhil Research Support submit along with the application the thesis research proposals that are already accepted by the institution they are enrolled in. Each research proposal is evaluated by a single reviewer using the criteria outlined in the Masters/MPhil Research Proposal Evaluation Form (Appendix 2.17). Applicant's academic and research qualification and underprivileged status are evaluated using the form specified in Appendix 2.18.

### **2.7.4 Distribution of Award and Disbursement of Fund**

The MPhil Research Support is awarded solely on the basis of the merit list of all applicants put together. For Masters Research Support, seats are allocated to Technical, Non-technical and individual Subject Clusters using a mixed proportional method described in Section 2.4 except that all applicants are in a single Category. For adjusting vacant seats, research priority framework of UGC (Section 1.15) is taken as guidance.

### **2.7.5 Application and Evaluation Forms**

The Application and the Evaluation Forms used for the Masters and MPhil Research Support are shown in the Table 2.5:

Table 2.5 Forms and Documents for the Masters/MPhil Research Support

	Form	Code	Format
1	Masters/MPhil Research Support Funding		Appendix 2.4
2	Masters/MPhil Research Support Application Form	MMR-1	Appendix 2.16
3	Masters/MPhil Research Proposal Evaluation Form		Appendix 2.17
4	Masters/MPhil Research Application Evaluation Form		Appendix 2.18
5	Masters/MPhil Research Support Agreement		Appendix 2.19

### **2.7.6 Masters/MPhil Research Support (Disability Group)**

This program aims at supporting the students with disability for Masters and MPhil theses in a non-competitive way. Masters and MPhil students with disability (all classes of disability) can apply to the UGC for the support anytime after the date of the acceptance of their theses proposals by the respective institution and within six months from the date of Thesis approval. The financial support under this program is the same as that for the Masters/MPhil Research Support. Persons with the disability of the classes 'A' and 'B' are eligible to receive additional fund for supporting assistant, if any. Application form for this support is in Appendix 2.20.

## 2.8 Partial Support for PhD Fellow

The purpose of this program is to provide partial support to PhD Fellow who has not received fellowship or financial support from any other source. The support under this program is as shown in Appendix 2.5

A PhD fellow enrolled in universities in Nepal or a recognized foreign university (Public university, Accredited institutions and Ranked universities) who has not received Fellowship and Research Support from any other source can apply for this support within specified time (Table 2.1) during the course of his/her PhD program. Application can be submitted to the UGC any time throughout the year. Application (Appendix 2.21) should accompany a copy of PhD Thesis proposal/progress report and a recommendation letter from the institution/supervisor and employed institution, if any, certifying that the candidate has not received any other financial support.

## 2.9 Bachelors Scholarship for Underprivileged Group

The Higher Education Reforms Project (HERP) has as a major component a program of poverty targeted financial support for underprivileged students. This program is managed by the Student Financial Assistance Fund Development Board (SFAFDB), an autonomous body established by Nepal Government in 2006. While the programs run by SFAFDB is the major financial support for Bachelor level students, the University Grants Commission has bachelor scholarship (MBBS and Bachelor of Engineering) for the students from the Madhesi Dalit community (Dom, Badi, Chamar and Mushar communities). This scholarship is managed by a separate guideline (The UGC Special Scholarship Procedure 2072).

## 2.10 Monitoring and Evaluation

The success of student research support subcomponent of the funding is measured broadly on the basis of the evidence of the rate of successful completion of the studies by the beneficiary graduates and their research publications in peer-reviewed journals. Monitoring is primarily desk based. PhD research is monitored by the assessment of the progress report and the oral presentation made by the Fellow at UGC. PhD Fellows are required to submit Progress Report biannually and an oral presentation annually at UGC (Appendix 5.3). The progress of the student researcher receiving the MPhil Fellowship is also monitored by assessing the periodic Progress Report submitted by the Fellow to UGC (Appendix 5.2). Progress in Masters/MPhil theses is monitored by inquiring of the status of the final report (Appendixes 5.7 and 5.9) and publications.

General monitoring indicators for research programs are discussed in Section VI. Necessary benchmarks and instruments are developed and implemented from time to time to facilitate the overall program monitoring and evaluation function.

### 2.10.1 Expected Outcomes

The following are the intended outcomes of the student research subcomponent of the funding:

- progress in number of graduates' timely completion of their academic research;
- promotion of the culture of scientific inquiry, responsible conduct of research and academic integrity at the university as well as other professional fields;
- improvement in the overall quality of teaching-learning through the use of empirical and proactive approaches in teaching;



- upgrade in the number of faculty and other professional involvement in the advanced-level university degrees like PhD and postdoctoral studies;
- enhancement in the level of graduate performance; and
- increase in the research output of the university.

## SECTION III: RESEARCH GRANTS FOR FACULTY

### 3.1 Introduction

The Research Grants program primarily intends to support the university and campus faculties in their research, development and innovation in the process of knowledge production through scientific inquiries and rigorous academic engagements. Further, it intends to train graduate students, transform them into dedicated scholars with sound academic backgrounds, and link research with teaching.

### 3.2 Types of Research Grants

In order to make the support tailored to diverse research scope and institutional capacity, the UGC provides research grants in three different sizes: small, medium and large. The smallest research grant is named "Small Research Development and Innovation Grant (Small RDI Grant)". The medium research grant is named "Faculty Research Grant", The largest research grant is named "Collaborative Research Grant". Requirements of inclusion of graduate students and collaboration among investigator faculty members are mandated in increasing order from the small to large projects. The list of research grants, requirements of inclusion of collaborators and students, and time period are shown in Table 3.1. The funding scheme for these programs is shown in the Appendix 3.1

Table 3.1 Types of UGC Research Grants for Faculty Members

	Type of Research Grant	Funding	Minimum no. of Investigators (Faculty members)	Minimum no. of Thesis Students	Period (years)
1	Collaborative Research Grant	High	3	3	3
2	Faculty Research Grant	Medium	2	2	2
3	Small Research Development and Innovation Grant (Small RDI Grant)	Small	1	1	1

### 3.3 Eligibility

Faculty members from all higher education institutions in Nepal are eligible to apply for the UGC Research Grants. Each program has special requirements and condition for investigator faculty members and, collaborating institution and researchers. Table 3.2 outlines the eligibility and condition for each program.

Table 3.2 Eligibility of Faculty Members for Investigators

	Program	Principal Investigator (PI)	Co-Investigator (Co-I)
1	Collaborative Research Grant	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for past 3 years in a HEI in Nepal after</li> </ul>	<ul style="list-style-type: none"> <li>• Full time Faculty for 1 year</li> <li>• Master Degree with Thesis***</li> <li>• 1 original research article</li> </ul>

		completion of PhD degree. <ul style="list-style-type: none"> <li>• Two original research articles published in ranked* journals as a major author**</li> </ul>	published in peer-reviewed journal
2	Faculty Research Grant	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for two years</li> <li>• Master Degree with Thesis</li> <li>• 1 original research article published in peer-reviewed journal a major author**</li> </ul>	<ul style="list-style-type: none"> <li>• Full time Faculty for 1 year</li> <li>• Master Degree with Thesis***</li> <li>• 1 original research article published in peer-reviewed journal or at least 3-5 days of training in Research Methodology</li> </ul>
3	Small Research Development and Innovation Grant (Small RDI Grant)	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for 1 year</li> <li>• Master Degree with Thesis</li> <li>• 1 original research article published in peer-reviewed journal</li> </ul>	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for 1 year</li> <li>• Master Degree</li> <li>• 1 original research article published in peer-reviewed journal or at least 3-5 days of training in Research Methodology</li> </ul>

Note:

\* For certain subjects or areas of Humanities and Social Sciences cluster, which do not have Indexed/Ranked journal, the journal requirement may be decided based on the available peer-reviewed journals.

\*\* The first author and the corresponding author are regarded as the major authors. Any other authors who have made a major contribution in the research, as indicated in the contribution disclosure in the article, might also claim as a major author.

\*\*\* In case of Co-Investigators, Thesis requirement for the Master Degree is waived for the faculty members from the Community Campuses or Campuses in the remote districts. A faculty member from such institution with Master Degree without Thesis can apply for the specified research grant if he or she has received at least 3-5 days training in Research Methodology.

### 3.4 Selection for Award

Selection of applicant for UGC Research Grant award is based on academic credential of the Principal Investigator, involvement or commitment for involvement of graduate students, inclusion of investigators from the underprivileged groups, and the quality of the research proposal. Weight of selection indicators are allocated so as to make the requirement of the qualification of the Principal Investigator, research collaboration, national relevance of the

research more and more stringent from Small RDI to Faculty Research to Collaborative Research. Selection process for the award is described in the Section 1.13. The evaluation criteria for the research proposal, the oral presentation and application for each research grant are indicated in Document and Form section of these programs described below.

### **3.5 Funding and Disbursement**

The funding scheme for various research grants is shown in the Appendix 3.1. The funding depends on the scope of the project and nature of the research. The research grant is disbursed to research projects via host institution of the Principal Investigator of the awarded research project (see Section 1.6.19). The Principal Investigator and Co-investigators are collectively responsible for academic obligations and reporting financial status of the project. The host institution of the Principal Investigator is responsible for timely disbursement of the fund according to request made by the Principal Investigator based on the need and the plan of the project and receives an Overhead Cost which is included in the research grant (See Section 1.6.17-20 for details).

### **3.6 Incentive for Collaboration with Community Campus**

In order to encourage the culture of collaboration in general and also as a tool for motivating relatively underprivileged community campuses to get into research programs, a provision is included in the evaluation scheme to give additional marks for any collaboration with faculty members from community campuses. The weight of the incentive mark depends on the type of research grant (see Appendixes 3.7, 3.10 and 3.13).

### **3.7 Seats Allocation**

The number of awards (seats) available for the year is divided among individual subject clusters (seven clusters) and broad clusters (technical and non-technical clusters) in a mixed proportional method (described in section 1.6.16). First of all, half of the total seats are divided equally among seven clusters (each cluster receiving  $1/2 * 1/7$  of the total seats). Then the remaining half of the total seats are further divided between the technical cluster and non-technical cluster in proportion to the number of clusters in each broad cluster (the technical broad cluster with 4 individual clusters receives  $1/2 * 4/7$  and the non-technical broad cluster with 3 individual clusters receives  $1/2 * 3/7$ ). Then, the seats allocated to each broad cluster are divided among the individual clusters belonging to that broad cluster proportionally based on the number of successful applicants in each individual cluster. If the seats allocated to any cluster remained vacant, they are further divided among other clusters of the same broad cluster in proportion to the number of successful candidates.

### **3.8 Collaborative Research Grant**

#### **3.8.1 Scope**

The UGC Collaborative Research Grant is the largest of all the supports in size of the funding and the purpose of the program is to promote a strong collaborative research culture in the HEIs, support relatively large research in the area of national priorities, allow opportunity to train students for the highest degrees or in larger numbers, and significantly enhance the national research output. Under this program, research funding is offered to collaborative research projects involving three or more faculty members of an institution or collaborating

institutions which might be national or international institutions. In case of international collaborators, special condition will apply (See Section 3.11).

Research proposals involving three or more faculty members (a Principal Investigator and two or more Co-investigators) from the same or different higher education/research institutions and disciplines) are solicited from the faculty members for funding through a competitive selection process once a year.

A limited number of research projects in technical clusters may apply for a postdoctoral position to be funded by the UGC (see Section 3.12 for detail).

In order to encourage the culture of collaboration in general and also as a tool for motivating relatively underprivileged community campuses to get into research programs, a provision is included in the evaluation scheme to give additional marks for any collaboration with faculty members from community campuses.

### **3.8.2 Documents and Forms**

Application and evaluation forms and documents used for Collaborative Research Grant are presented in Table 3.2.

Table 3.2 List of Forms Used for Collaborative Research Grant

	Form	Code	Format
1	Funding Scheme for all UGC Research Grants		Appendix 3.1
2	Application Form for the UGC Research Grant for Faculty(Generic)	UR-1	Appendix 3.2
3	Application Form for Student	RG-S	Appendix 3.4
4	Collaborative Research Proposal Evaluation Form		Appendix 3.5
5	Format for the Oral Presentation of the Research Proposal (all)		Appendix 3.6
6	All Research Proposal Oral Presentation Evaluation Form		Appendix 3.7
7	Evaluation of Application for Collaborative Research		Appendix 3.8
8	Collaborative Research Grant Agreement		Appendix 3.9

## **3.9 Faculty Research Grant**

### **3.9.1 Scope**

The purpose of this program is to foster research collaboration among smaller number of local faculty members, allow opportunity to train postgraduate students for their theses required for the degree, and make contribution in national research output. A two-year research project collaboration at least between two faculty members with commitment to train at least two students for their theses is funded with a medium size grant under this program. Collaboration involving underprivileged institutions including community campus is particularly encouraged. Such collaboration gets additional marks during the evaluation for award.

The project requirement for this program is shown in Section 3.2 (Table 3.1) and the funding scheme is presented in the Appendix 3.1.

### 3.9.2 Document and Forms

Application and evaluation forms and documents for the Faculty Research Grants are as follows:

Table 3.3 List of Forms Used for Faculty Research Grant

	Form	Code	Format
1	Funding Scheme for the UGC Research Grants for Faculty		Appendix 3.1
2	Application Form for the UGC Research Grant (Generic)	UR-1	Appendix 3.2
3	Format for the Oral Presentation of the Research Proposal (all)		Appendix 3.6
4	All Faculty Research Proposal Oral Presentation Evaluation Form		Appendix 3.7
5	The UGC Research Grant Agreement		Appendix 3.9
6	The UGC Faculty/Small Research Proposal Evaluation Form		Appendix 3.10

## 3.10 Small Research, Development and Innovation Grant (Small RDI Grant)

### 3.10.1 Scope

The purpose of this program is to support relatively small research projects (Research Category) and small development and innovation activities (Innovation Category) in the higher education institutions. Any basic research that can be completed within a year is regarded as a small research. In contrast, an innovation project is focused on new technology, product or service of commercial value or application for solving existing problems. Preliminary results or prototype of the product developed by the applicant is the primary criteria for evaluation of the proposals in the Innovation Category. Proposal format and the benchmarks for evaluation are slightly different for Research Project (R-Project) and Innovation Project (I-Project).

The project requirement for this program is shown in Section 3.2 (Table 3.1) and the funding scheme is presented in the Appendix 3.1.

The project period for Small RDI projects is one year. A single Faculty member or up to two Faculty members can apply for this support. Involvement of at least one graduate or undergraduate student for his/her thesis/dissertation required for degree or two undergraduate students for their Projects required for the degree is mandatory for this program.

### 3.10.2 Documents and Forms

The list of documents and forms used for the Small RDI program is shown in the Table 3.4.

Table 3.4 Application and Evaluation Forms Used for Small RDI Grant

	Form	Code	Format
1	List of the UGC Research Grants for Faculty		Appendix 3.1
2	Application Form for the UGC Research Grant for Faculty (Generic)	UG-1	Appendix 3.2
3	Faculty/Small Research Grant Proposal Evaluation		Appendix 3.9

	Form		
4	Format for the Oral Presentation of the Research Proposal (all)		Appendix 3.6
5	All Faculty Research Proposal Oral Presentation Evaluation Form		Appendix 3.7
6	The UGC Small "Development/Innovation" Proposal Evaluation Form		Appendix 3.12
7	The UGC Small "Development/Innovation" Proposal Oral Presentation Evaluation		Appendix 3.13
8	The UGC Research Grant Agreement		Appendix 3.9

### 3.11 Extramural Research Collaboration

Research collaboration between a principal investigator (PI) from the HEI in Nepal and extramural co-investigators (Co-Is) from national research institutions are encouraged under all research support programs. Minimum academic qualification required of extramural Co-Is is similar to that for the PI of Collaborative Research. Under the UGC Collaborative Research Grant program, the Principal Investigator from the HEIs in Nepal can collaborate with researchers from the nationally recognized/accredited foreign research institutions and universities.

In case the extramural Co-Is is from foreign research institutions, the following conditions will apply:

- a. The Principal Investigator (PI) of the research project must be an eligible faculty member from the HEIs in Nepal.
- b. Qualified faculty member or research fellow from foreign university or research institution recognized/accredited by the concerned national board/agency can be included in the research team as a Co-Investigator (Co-I).
- c. Any Co-I from the eligible foreign university must be a permanent/full time Faculty Member/ Research Staff in the institution for last five years
- d. Any Co-I from the eligible foreign university and research institution must have a doctoral degree and a proven track record of research publication (at least five original research articles published in ranked journals).
- e. Extramural Co-Is must submit a letter of no-objection received from the head of his/her institution together with the application form submitted to the UGC.
- f. The bulk of the research must be conducted in the laboratory/field in Nepal.
- g. Only the experiment and testing that cannot be performed in laboratory and the field in Nepal due to unavailability of such service in Nepal or matter related to quality can be performed in foreign laboratory/field.
- h. Any transfer of research materials, samples and technology should comply with all applicable national regulations and guidelines.
- i. It is the responsibility of the university to assist the foreign researchers on travel and immigration matters in connection with the research.



A principal investigator from the HEI from Nepal and one or more extramural co-investigator should submit a joint research proposal under the intended research grants provided by the UGC.

### **3.12 Postdoctoral Fellowship**

Recognizing that postdoctoral fellowship is a strong supporting system for promoting research culture in universities and that the universities in Nepal are yet to introduce it, a limited number of postdoctoral fellowships are introduced to promote the culture of postdoctoral fellowship in the HEIs. Initially, the postdoctoral position and fellowship are provided for technical and laboratory-based research among the projects funded by the UGC Collaborative research grant. Research projects in the HEIs funded by sources other than the UGC can also be considered for this support. The Alternative scheme of Appointment and Promotion based on Academic Excellence introduced by Tribhuvan University under the HERP will also be encouraged to link with this postdoctoral fellowship program. The UGC postdoctoral fellowship is for up to two years.

#### ***3.12.1 Eligibility of Candidate for Postdoctoral Fellowship***

The Postdoctoral position is for working in the Collaborative research project funded by the UGC on the basis of the need of the project. Therefore, selection and recommendation by the project team are the major requirements. Other criteria include:

- a. A PhD degree received within 5 years or employed elsewhere as a postdoctoral fellow within last 2 years.
- b. Selected/recommended by the principal investigator (PI) of the UGC Collaborative Research grant, based on the candidate's academic credentials and expertise in the area of the project, and the expertise need of the project.
- c. A letter of approval by the host department/institution.
- d. A proven track record of training and research publication in the area of the Collaborative Research project (publication of at least two original research articles in Ranked journals).

#### ***3.12.2 Application, Selection and Award of the Postdoctoral Fellowship***

The procedure for application and selection of candidates for the postdoctoral position and fellowship is as follows:

Step I: The principal investigator (PI) of the UGC-funded Collaborative Research project calls for application from qualified candidates interested in working in the research project (Appendix 3.15). Such a call can be made even before the research team is awarded the grant, on a conditional basis.

Step II: The principal investigator (PI) selects the postdoctoral candidate based on the expertise of the candidate and the research need of the project and provides an Acceptance Letter to the selected candidate. The PI also has to arrange to provide a No Objection Letter from the host institution.

Step III: The host institution provides a Letter of No Objection signed by the head of the institution to the selected postdoctoral candidate.

Step IV: The selected postdoctoral candidate applies for the UGC Postdoctoral Fellowship to the UGC. Application should accompany the completed application form (Appendix 3.16), a cover letter, copies of the Acceptance Letter and the No Objection Letter from the PI and the head of the host institution, respectively.

Step V: The UGC will review the application and will make a decision on awarding the Postdoctoral Fellowship based on the expertise of the candidate and technical requirement of the research project. An initial assessment on the qualification of the candidate is made by Research Director and presented to relevant Subject Cluster Committee. The Cluster Committee interviews the candidate and presents its recommendation to UGC.

Step VI: The Postdoctoral Fellow joins the institution.

Step VII: The Postdoctoral Fellow submits to the UGC the Joining Report signed by the head of the institution and the PI of the research project (Appendix 3.18).

Step VIII: The Postdoctoral Fellow submits progress report to the UGC every 6 months until the completion of the tenure.

Step IX: At the end of the tenure, the UGC will provide a Certificate of Completion of the UGC Postdoctoral Fellowship, signed by the Member-Secretary of the UGC and the head of the host institution (Appendix 3.19).

### **3.12.3 Forms and Documents**

The following forms and format of letter should be used for application and award of the UGC Postdoctoral Fellowship:

Table 3.5 List of Forms and Documents Used for Postdoctoral Fellowships

	Form/Letter/Announcement	Code	Format
1	Call by Principal Investigator for Postdoctoral Position		Appendix 3.15
2	UGC Postdoctoral Fellowship Application Form	PDF-1	Appendix 3.16
3	UGC Postdoctoral Fellowship Award Letter		Appendix 3.17
4	Postdoctoral Fellow Joining Report		Appendix 3.18
5	Certificate of the Completion of Postdoctoral Fellowship		Appendix 3.19

### **3.13 Matching Co-Fund for Research, Development and Innovation**

In order to encourage the development of University-Industry collaborative interface and support research, development and innovation sponsored by industries and public sector agencies as well, the UGC has included in its research grants an option for the UGC/Non-UGC matching co-funding for Faculty Member generated research, development and innovation projects. Eligibility and procedure for application, evaluation and award for this grant are the same as that for and Collaborative Research Grant, Faculty Research Grant and Small RDI grant, whichever is closer in terms of the fund pledged by the sponsor. The maximum limit for matching research grant is the same as that for the UGC Collaborative

Research Grant as shown in the Appendix 3.1. Application can be submitted throughout the year. A proof of sponsorship or the pledge thereof should be presented together with the application for the research grant to the UGC.

Eligibility and Procedure for Application, Evaluation and Award are decided based on the matching co-funding pledged by the sponsor as shown in the Appendix 3.20.

### **3.14 Special Research**

The purpose of this program is to support need-based research. Scientific research works on nationally important and urgent issues as well as policy and program research urgent or relevant to the UGC, universities or governmental agencies are supported under this program. Generally, the UGC will solicit research proposals on relevant issues from qualified individuals and institutions. The UGC might also consider investigator-generated research proposals. Research themes for each year and indicative framework for each theme are developed separately and are considered, after approval from the UGC, as a part of the UGC Research Guidelines.

### **3.15 Support for Publication of Research Articles in Ranked Journals**

Under this program, the UGC will provide a limited financial assistance to the recipients of the UGC research funds and fellowships to pay for the publication/handling fee charged by the publisher to publishing their research work in ranked journals, on the basis of their need. This support can also be provided to the research funded by agencies other than the UGC, upon availability of the fund. The limit of funding per eligible research article is Rs. 50,000.

The applicant is required to submit a completed form (Appendix 3.21) and supporting documents. The application can be submitted anytime after the acceptance of the research article by the publisher. In order to be eligible for this support, the applicant must have made at least one request to the publisher for the Fee waiver.

### **3.16 Program Monitoring and Evaluation**

All research programs supported by the UGC are monitored and evaluated using both the desk monitoring and on-site monitoring. For the desk monitoring, mandatory periodic research progress reports (Appendix 5.4) and the final reports (Appendixes 5.8 and 5.9) are monitored for performance and compliance with the UGC policy and guidelines. Reports of scholarly publications are collected and a public database is established. Research projects are closely monitored for timely disbursement of the funding and spending. Research Division regularly communicates with the Investigators and the Host Institutions to inquire the status of the program and provide necessary guidance. Research Division makes planning for on-site monitoring based on the progress report, external information and the nature of the program.

### **3.17 Additional Funding Provisions**

Limited extra funding may be arranged in the cases of highly technical faculty research and PhD studies requiring additional support on purchasing technical inputs including equipment, patent, software, etc. with a mandatory provision that the selected researchers conduct their proposed research studies from their respective institutions and install these items as the properties of the institution. Institutional support program for research infrastructure with broader scope is presented in Section V.

### 3.18 Expected Outcomes

The following are the intended outcomes of the research subcomponent of the funding:

- increase in number of faculty involvement in scientific research;
- promotion of the culture of scientific inquiry, research ethics, motivation for search of funding opportunity and culture of research collaboration and competition;
- improvement in the overall quality of teaching-learning through the use of empirical and proactive approaches in teaching;
- increase in the quality of research of graduate students as demonstrated by an increase in the number and quality of research publication;
- increase collaboration between university and industry in research development and innovation;
- institutional development through research and development activities and funding for infrastructure development in higher education;
- improvement in academic as well as professional aspects of research and innovation resulting in breakthroughs in new products development, protection and more registration of intellectual properties;
- significant increase in number of academic publications of research work; and
- increase research and development trends in industry, and national priority-based problem solving through collaborative scientific research and development activities in universities.

## **SECTION IV: INSTITUTIONAL SUPPORT FOR STRENGTHENING RESEARCH INFRASTRUCTURE**

### **4.1 Introduction**

The purpose of this program is to provide financial support to higher education institutions to strengthen their research infrastructure. This program also includes a program to support national peer-reviewed journals to strengthen and upgrade their quality.

### **4.2 Scope**

The UGC provides financial support to establish or strengthen Research Management Cell (RMC), Research Laboratory and Research library in higher education institutions. Peer-reviewed journals published by Higher Education Institutions, Research Institutions, Professional Councils and Societies are also supported under this program. A detailed procedure for the support to the Research Management Cells in Higher Education Institutions has been developed and is being implemented. The procedure for Support to the Research laboratories, research library and peer-reviewed journal is in progress.

### **4.3 Strengthening the HEI Libraries**

The purpose of this component of research funding is to strengthen the capacity of central libraries in terms of library resources and researcher's access to them. Support is provided to increase the subscription capacity of libraries, to digitize research literature, to develop inter-library and library-to-user networking, and to establish a plagiarism checking system in the universities. The UGC will develop a separate guideline for the purpose and proposals will be invited from central libraries.

### **4.4 Research Laboratory Support**

The purpose of this program is to strengthen research laboratories in HEIs. Under this program, funds are made available to establish and strengthen research laboratories, to purchase laboratory equipment, to purchase service contract and extension and to strengthen physical infrastructure of research laboratories. Research laboratory service networking and preparation of national inventory of facilities and services are also supported. The UGC will determine the nature and scope of support and will invite application from HEIs.

### **4.5 Support for indexing Peer-Reviewed Journal**

The purpose of this program is to provide financial support to nationally published peer-reviewed journals to upgrade their quality. The UGC also provides funding to establish new peer-reviewed journals in new discipline or in the area which currently does not have peer-reviewed journal.

The UGC Minimum Standard for National Peer-reviewed Journal and the UGC Guideline for awarding support to peer-reviewed journals are in progress.

#### **4.6 Support for Publication of Research Reference Material**

The purpose of this program is to provide financial support to publish and distribute standard research reference material to institutions and researchers. The Research Reference Material may include Laboratory Operating and Safety Guidelines, Research Training Manuals and Special Research Reports. The UGC will develop a procedure for awarding the support.

#### **4.7 Support to Research Management Cell (RMC)**

##### **4.7.1 Scope**

The purpose of this program is to provide financial support to establish a new Research Management Cell (RMC). It also supports the concerned institutions, such as Department and Campus to strengthen its existing Cell with supports for its management of research activities.

##### **4.7.2 What is RMC**

RMC is envisioned as an umbrella structure providing management support to all structures and functions related to research activities in the institution. It can be named as per the institutional need or currently assigned functions. Research related structures, such as Research Committee, Institutional Review Committee, Ethics Committee, Hazard and Safety Committee, and functions like research funding, research capacity development, responsible conduct of research, institutional assurance and compliance may come under the RMC. Each higher education institution with academic program that has a research component should establish an RMC with or without the financial support of the UGC.

##### **4.7.3 Funding**

The funding limit, purpose, allowable expenditure and grant disbursement of the UGC support for RMC is shown in the Appendix 4.1 Any institution which has not received funding for RMC from the UGC can apply for the *New Support for RMC* and the institution which has received the funding for RMC from UGC during the previous higher education reform project and would like to strengthen it further can apply for the *Continuing Support for RMC*. The *Continuing Support for RMC* is provided only once.

##### **4.7.4 Minimum eligibility criteria of HEI for RMC support application**

1. The applicant must be a public higher education institution or university research centers.
2. It must have at least one academic program with a thesis, dissertation or research component which it requires in partial or complete fulfillment of the degree offered\*.
3. It must have at least one faculty member with eligibility for UGC research grant as the Principal Investigator or two faculty members with eligibility for UGC research grant as Co-Investigators, (For eligibility, see Section 3.3).
4. For a new support grant to the RMC: the institution must not have received an RMC support from UGC before.
5. For continuing support to an old RMC: The RMC must be active as evidenced by documented activities of RMC for last two years
6. A single institution cannot apply for more than one RMC.

\*Not applicable to university research centers

#### 4.7.4 Application and Selection

##### (a) New Support for RMC

Steps:

- I. *Formation of RMC* - Institution forms a preparatory or a full Research Management Cell Committee and drafts a Proposed RMC Operating Guideline.
- II. *The UGC Call*- The UGC makes annual call for submission of application for the UGC Support for the RMC.
- III. *Application Submission* - The institution submits a completed Application (Appendix 4.2) along with a proposal in the format specified in the application form to the UGC.
- IV. *Preparation for Feasibility Site Inspection* - The UGC Research Division makes a preliminary assessment of the Application and the Proposal to prepare a list of headings for the Feasibility Site Inspection of the Institution.
- V. *Feasibility Site Inspection* - An UGC team visits the institution, conducts the Feasibility Inspection and submits its Report to the UGC.
- VI. *Evaluation* - The UGC evaluates the status of the institution based on the Feasibility Inspection Report and the Proposal submitted by the Institution using a pre-specified criteria (Appendix 4.3) to prepare a merit list of applicant institutions.
- VII. *Announcement of Award* - The UGC announces the Awards of Support for RMC based on the merit list and quota available for the year.
- VIII. *Fund Disbursement* - Funding scheme for RMC is shown in Appendix 4.1. Awarded fund is disbursed in two equal installments. The first installment is disbursed upon the signing of an agreement between the institution and the UGC. The second installment is disbursed after the monitoring of the RMC by the UGC. The RMC monitoring framework is outlined in Appendix 4.8.

##### (b) Continuing Support for RMC

The old RMC which are established with the funding from the UGC can apply for a continuing support from the UGC one more time. Unless the UGC feels a need for the Feasibility Site Inspection of the institution, such inspection is not carried out. A merit list of the Applicant institution for award is prepared based on the evaluation of the Application and the Proposal using pre-defined criteria (Appendix 4.6). The UGC makes the announcement of the award together with such awards for the new RMC or separately. For the purpose of fund disbursement, field monitoring of the old RMC may not be necessary. Evaluation of Progress Report submitted by the institution in the format specified by the UGC is sufficient for disbursement of fund installments.

In both categories, at least half of the available quota goes to the institutions located out of the Kathmandu valley. The underprivileged institutions comprising of Community Campuses and the campuses located in the remote districts receive special marks during the evaluation of the Application for the support under this program.

#### 4.7.5 Forms

Table 5.1 shows the list of forms used for Application and Selection procedure for the UGC Support for RMC.

Table 5.1 Forms used for the UGC Support for RMC

	Form	Code	Format
1	The UGC Funding for Research Management Cell (RMC)		Appendix 4.1



2	Application Form for New RMC	RMC-1	Appendix 4.2
3	Evaluation of the Application for New RMC		Appendix 4.3
4	Check List for RMC Feasibility Site Inspection		Appendix 4.4
5	Application Form for Old RMC	RMC-2	Appendix 4.5
6	Evaluation of the Application for Old RMC		Appendix 4.6
7	RMC Feasibility Site Inspection Report Format		Appendix 4.7
8	RMC Monitoring Framework		Appendix 4.8

#### 4.8 Expected Outcomes

The following are the expected outcome of the UGC Institutional Support for Strengthening Research Infrastructure program:

- Increase in resource and services of central libraries
- Increase access for the Faculty Members and students to scientific literature
- Establishment of well-equipped research laboratories
- Increased awareness about the responsible conduct of research and the consequences of the research misconduct;
- Establishment of regulatory bodies like the Research Committee, the Review Committee, the Ethics Committee, the Hazard and Safety Committee;
- Improvement of the research capacity of higher education institutions across the nation;
- Increased cooperation among the HEIs for sharing research resources;
- Commencement of the culture of university-industry collaboration;
- Timely accomplishment research projects of faculty members and student; and
- Increase in the research output of universities.

## SECTION V: MISCELLANEOUS

### 5.1 Monitoring and Evaluation

Recognizing the critical importance of Monitoring and Evaluation of Research Support Programs for identifying implementation issues and providing direction to produce expected results, and also a complex and highly professional nature of research programs, the UGC will develop Monitoring and Evaluation Framework for research support programs at individual program level as well as at a larger component level. Monitoring and Evaluation will include field monitoring, progress report evaluation (Appendixes 5.2 to 5.6), final report evaluation (Appendixes 5.7 to 5.10) and project review.

### 5.2 Evaluation of the Research Quality

The quality of the UGC funded research is evaluated based on the degree of compliance with the UGC principles of Research Funding (Section 1.6), academic outputs and scientific merit review of the final report. Table 5.1 shows the major indicators for the quality of the UGC funded research.

Table 5.1 Major indicators of quality of the UGC funded research

	Indicators	Description
1	Responsible Conduct of Research	No sign of irresponsible conduct
2	Responsible Expenditure of Fund	Fund expenditure in compliance with the UGC conditions
3	Students Training	Number of student theses produced, level of academic degrees received
4	Intrinsic Indicator (Peer-review of the Final Report)	Format and content of the Report (rigor, originality, integrity, significance, style, impact etc)
5	Esteem Indicator	Participation in conferences and recognitions)
6	Bibliometric indicator	Quality of publication (Journal/ Authors/ Article ranking)
7	Publication initiative indicator	Number and quality of Journal-ready manuscript (at the time of final reporting)

Since the publication activities may extend beyond the project period, researcher's initiative towards publication in the form of journal-ready manuscript submission along with the final report is included in the evaluation.

Those who have already made strong bibliometric impact with publications in ranked journals and have covered major parts of the research work may not need peer-review of the final report (Appendix 5.10). In such case, a simple technical assessment of the final report would be sufficient. For the rest, a reviewer evaluates the final research report using a pre-

defined generic evaluation criteria (Appendix 5.10). These criteria can be adapted to suit the scope of the research projects.

### **5.3 Monitoring of Research Management Cell**

The Research Management Cell requires a periodic submission of progress report to the UGC. The Research Division monitors the progress of the RMC using both the desk and field monitoring methods. Progress reporting as well as monitoring use the following indicators for the reporting purposes.

1. RMC Fund Management / Financial Report
2. Research Activity
  - (a) Student Research Projects
  - (b) Faculty Research Projects
3. Research Capacity Building
  - (a) Institutional Academic Activities
  - (b) Regulatory Guidelines (Research Guidelines, Laboratory Safety Guidelines, Code of Conduct, Research Misconduct Addressing Guidelines etc)
4. Physical Infrastructure (Laboratory, Library, ICT, Multimedia)
5. Coordination (Reform Support Coordination, Research Collaboration)
6. Plan (Annual and Long Term Plan)

Research Division will frame appropriate detailed framework and provide to the Institution and Monitoring Team for the monitoring purpose.

## SECTION VI: APPENDIXES

### Appendix 1 Funding

#### Appendix 1.1 Research Support Programs 2076/77

<b>Research Support Programs - 2076/77</b>			
SN	Programs	Programs of 2076-77	
		No. of Events	Range of rates per event
1	PhD Fellowship	50	8000/month
2	PhD Research Support	50	200-500
3	Partial Support for PhD	25	20-60
4	MPhil Fellowship	50	7000/month
5	MPhil Research Support	40	20-50
6	Masters Research Support	200	20-50
7	Postdoctoral Fellowship	2	360
8	Small RDI Grants	50	75-150
9	Faculty Research Grants	35	200-400
10	Collaborative Research Grants	7	1000-2000
11	Special Research	2	1000-2000
12	RMC (New and Old)	10	200-1000
13	Laboratory Support		
14	Library Support		
15	Research Article Publication Support		Up to 50
16	Peer-Reviewed Journal Support	20	500

## Appendix 2 Fellowships and Research Supports

### Appendix 2.1 The UGC PhD Fellowship Funding Scheme

The UGC PhD Fellowship			
	Financial support	Amount (Rs.)	Disbursement
a	Monthly stipend Rs. 8000 X 36 months	288,000	Six installments paid to the Fellow
b	Travel grant (conference)	Up to 60,000	Reimbursement
c	Article publication fee	Up to 50,000	Reimbursement (Conditions apply)

### Appendix 2.2 The UGC PhD Research Support

The basic (minimum) support is Rs. 200, 000-500, 000. The exact amount of the funding for each PhD research project is decided by the UGC based on the funding need assessment by the UGC. The UGC may decide additional funding as per the need and availability of the fund.

SN	Research Project Type*	Minimum Research Support (Rs.)	Disbursement**
1	Class A	5,00,000	UGC transfers the grant in bulk directly to the fellow. (Appendix 2.11)
2	Class B	3,00,000	
3	Class C	2,00,000	

Notes:

\* Classification of research:

Class A: Wet laboratory based

Class B: Social survey based

Class C: Dry lab or library based

\*\* Disbursement scheme is subject to change

### Appendix 2.3 The UGC MPhil Fellowship Funding Scheme

The UGC MPhil Fellowship Funding Scheme

The UGC MPhil Fellowship Funding			
	Support	Amount (Rs.)	Disbursement
a	Monthly stipend: Rs. 7,000 for 18 months	126,000	Three installments paid to the Fellow
b	Thesis preparation support	20,000	
c	The UGC Support for Publication of Research Article	50,000	Reimbursement (Conditions apply)

## Appendix 2.4 The UGC Masters and MPhil Research Support Funding

### The UGC Masters/MPhil Research Support Funding Scheme

The UGC Masters/MPhil Research Support Funding			
	Financial support	Amount (Rs.)	Disbursement
a	Masters/MPhil Research Support	*Class A: 50,000 Class B: 30,000 Class C: 20,000	Two equal installments paid to the Student
b	Research Article Publication Fee	Up to 50,000	Reimbursement (Conditions apply)

\*Note:

Class A: Wet laboratory based research

Class B: Social survey research

Class C: Dry lab based or library based research

## Appendix 2.5 The UGC Partial Support for PhD Fellow

### Funding Scheme for the Partial Support to PhD Fellow

Partial Support for PhD Fellow			
	Support	Amount (Rs.)	Disbursement
1	Field study	20,000	Upon submission of a plan, together with a recommendation by supervisor (request should be made within 3 years from the date of acceptance of PhD research proposal); Paid to the Fellow
2	Study material	20,000	Paid to the Fellow upon submission of a study material list, together with a recommendation by supervisor (request should be made within 2.5 years from the date of acceptance of PhD research proposal);
3	Printing	20,000	Paid if request is made along with a copy of approved thesis, provisional certificate, softcopy of a thesis within 5 years from the date of acceptance of PhD research proposal, and not later than 6 months from the viva voce date

## Appendix 2.6 Application Form for the PhD Fellowship and Research Support



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport  
size color  
photo

PF/RS-1

## The UGC Ph.D. Fellowship / PhD Research Support Application

**Incomplete application will not be proceeded for evaluation**

Faculty		Young		To be filled by the UGC
				Draft No./Bill No. of Rs. 300/-
				Deposit:
				Date:
				Verified by:

**1. Personal Information**

A1. Applicant's Full Name (capital letter):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Last Degree Obtained:		A6. Citizenship No., Issuing District:		A7. Underprivileged Group:
A8. Permanent Address			A9. Mailing Address:	
A10. Telephone: • Residence: • Office: • Mobile:		A11. Email(s):		A12. Current Employment: • Designation: • Institution: • Address:

**2. Information About PhD Program Registered**

B1. University:		B2. Department:		B3. Campus/School:	
B4. Cluster (Indicate by √)	a. Agriculture/Forestry		e. Education		
	b. Science & Technology		f. Humanities & Social Sciences		
	c. Health Sciences		g. Management		
	d. Engineering				
B5. Registered for the Degree:		B6. Subject:		B7. Specialization :	
B8. Registration Number:		B9. Date of Registration:		B10. Date of the Proposal Approval:	
B11. Proposed Title of the Research:					



**3. Information About the Principal Supervisor** (please submit a CV separately)

B12. Name:	B13. Highest Degree Obtained:
B14. Current Position:	B15. Service Period at the Current Position:
B16. Contact Details of the Supervisor	
<ul style="list-style-type: none"> <li>• Phone No(s):</li> <li>• Email(s):</li> </ul>	
B17. Total No. of Publications in Ranked journals (with SCImago Journal Rank or JCR Impact Factor)	B18. Total No. of Publications in non-Ranked journals (Non-ranked peer-reviewed journals)

**3. Research Infrastructure in Your Institution**

List the relevant research infrastructure in your institution to conduct the proposed study	
Institute/Department	Research Infrastructure

**4. Institutional Compliance/Compatibility with the UGC Minimum Standard for PhD Program**

<p><b>Q1. (Nepalese University)</b> Does the institution you are enrolled in comply with the UGC Minimum Standard and Procedure for PhD Degree 2073?</p> <p>(        ) Yes - You are eligible to apply for the UGC PhD Fellowship</p> <p>(        ) No - You are not eligible to apply for the UGC PhD Fellowship</p>
<p><b>Q2. (Foreign University)</b> Does your university belong to "Recognized Foreign University" as per the UGC Research Development and Innovation Programs Implementation Guidelines 2017 (Section 1.6.24)?</p> <p>(        ) Yes - You are eligible to apply for the UGC PhD Fellowship</p> <p>(        ) No - You are not eligible to apply for the UGC PhD Fellowship</p>

**5. Academic Record (Latest first)**

Degree	Year	Major Subjects	Division/ Grade	Percentage (%)	Board/ University

**6. Employment Record** (Please include complete list in your CV)

Period of service	Designation	Name and address of the institution	Assignments	Permanent/ Temporary	Full Time/ Part Time

From	To					

**7. Publication Record** (Please attach separate sheet if necessary, include the complete list in your CV)

**1. Major Research Publication in Ranked Journals/Proceedings (SCImago Journal Ranking/JCR Impact Factor)**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Rank*/IF (Year)
1		
2		
3		

**2. Major Research Publication in Non-Ranked Peer-Reviewed Journals**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Country
1		
2		
3		

\* For SCImago Rank, visit: <http://www.scimagojr.com>

**8. Previous UGC Grants Received (Please attach a copy of the completion letter)**

Year	Program	Title	Period

**Q.** Do you have any UGC funded research project currently running (incomplete)?

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC PhD Fellowship

(        ) No - You are eligible to apply for the UGC PhD Fellowship

**9. Detailed PhD Research Proposal**

Please attach your research proposal with the following major components written consistently in any one format (APA, MLA, Chicago, Turabian, Vancouver etc) (limit it to 15-20 pages).

[Important: For the purpose of double blind review, please use the applicant’s name only on the cover page and avoid it appearing on the inside page and citations by replacing your name with “●●●” ]

Research Proposal format:  
 (Note: The sequence of the sections can be altered to suit the discipline and the research methodology applied)

a. Title  
 b. Abstract

- c. Background
- d. Problem Statement
- e. Literature Review and Research Gaps
- f. Theoretical/Conceptual Framework
- g. Conjectures/Hypotheses, Research Questions
- h. Research Objectives
- i. Study Design, Methods, Tools and Data Analysis
- j. Expected Findings
- k. Novelty and Level of Contribution of the Study
- l. Expected Outputs (Publications)
- m. Limitations and Delimitations
- n. Ethical/Safety Issues
- o. Organization of the Study
- p. Gantt Chart and Detailed Budget (actual)\*
- q. References
- r. Association to National Priority\*\* (*explained in a simple language*)

\* See Appendix 2.7 for allowable headings and budget outline

\*\* Refer to The UGC Research Development and Innovation Programs Implementation Guidelines 2017 Section 1.15 for the National Priority List

**10. Additional Eligibility Check**

**Q.** Have you submitted this proposal in full or in part to any other funding agency?

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC PhD Fellowship now

(        ) No - You are eligible to apply for the UGC PhD Fellowship

**11. References**

Provide details of TWO referees who may be in better position to explain why you should be considered for this funding. They should not have any family relations with you.

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone Number		
Email		

**12. Documents required (Check  $\surd$  if included)**

1. Copy of Citizenship		8. Copies of first page of research articles with abstract, evidence of peer-reviewed/ranked journals	
2. Appointment letter and job certificates (for faculty)		9. Curriculum Vitae of the Applicant	
3. Proposal acceptance letter and registration receipt .		10. Nomination letter and curriculum vitae of the principal supervisor	
4. Copy of Certificate of Underprivileged Group (if any)		11. Certification of 'No Support from Other Source'* (if available now)*	
5. Copies of Academic Diplomas (Masters and above)		12. Certificate of Study Leave (for faculty) if available now	
6. Copy of Equivalence Certificate (if any)		13. PhD Research proposal (3 copies +1 CD)	
7. Previous UGC Support Certification (if any)		14. Student identity card (if any)	

\*Certification from Supervisor or Head of the Host Institution stating that the applicant has not received any financial support for PhD program from any other source

**13. Confirmation by the University/Department Where Ph.D. Proposal Has Been Registered**

We certify that statements made above by the candidate have been verified and found true. If the applicant is selected for fellowship, he/she will be provided with available resources, facilities and guidance necessary to conduct and complete the proposed research in this institution. We also acknowledge that the UGC Ph.D. Fellowship will consist of a monthly allowance and support to certain educational expenses for three years to the fellow, and a PhD Research Support (only for Nepalese University or research carried out in Nepal) to support the research project of the fellow. We reaffirm that the PhD program in our institute fully complies with the UGC Minimum Standard and Procedure for PhD Degree 2073.

Name of the Host Institution/Department: .....

[Official Seal]

Signature

Name: .....

..

Designation: .....

...

Date: .....

..

(PhD Supervisor)

Signature

Name: .....

Designation: .....

Date: .....

(Head of the Host Department)

**14. Attestation by the Head of the Employing Agency (for Faculty Category)**

It is to certify that statements made above have been verified and found true. If the applicant is selected for the UGC PhD fellowship and research support, he/she will be provided with study leave from our institution to complete the program.

Name of the Employing Institution: .....

[Official Seal]

Signature

Name: .....

Designation: .....

Date: .....

**15. Undertaking by the Applicant**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for PhD/MPhil Degree, 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm

that the information I have provided are true and the research proposal I have submitted is original and has not been submitted in full or in part to any other agency seeking a grant. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of Fellowship funding and/or rejection of application.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

Thumb	
Right	Left

**Appendix 2.7 PhD Research Support Budget Outline****UGC PhD Research Support****OUTLINE FOR BUDGET ESTIMATE**

(UGC PhD Research Support)

(Please show the budget estimate in yearly basis)

**A. Personnel Cost**

- A.1. Salaries and Wages (not allowed)
- A.2. Benefits (field travel insurance and special need cost, if any)

**B. Laboratory Costs**

- B.1. Equipments and Instruments (specify)
- B.2. Special reagents/kits (specify)
- B.3. General chemicals
- B.4. Consumables
- B.5. Service and Repair cost
- B.6. Testing service cost
- B.7. Other (specify)

**C. Field Costs**

- C.1. Travel costs (Fellow and Assistant/Enumerators, if any)
- C.2. Daily allowance (Fellow and Assistant/Enumerators, if any)
- C.3. Survey cost (hiring, subjects compensation, refreshment)
- C.4. Rental cost
- C.5. Other (specify)

**D. Dry Laboratory/Library/Office Costs**

- D.1. Speciality computer and software (specify)
- D.2. Office equipments/supplies
- D.3. Research material
- D.4. Communication
- D.5. Other (specify)

**E. Consultant Services**

- E.1. Special Professional Service
- E.2. Data Analysis

**F. Miscellaneous**

- F1. Institutional Overhead Cost (as per rule of the institution or not exceeding 10%)
- F2. Contingency Cost (up to 5% of the total budget, conditions apply)

GRAND TOTAL

Research Support Grant from UGC

From other source [mention the source if already identified]

From other source [not yet identified]

**Appendix 2.8 PhD Research Proposal Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

*PhD Research Proposal Evaluation Form*

Candidate's Code: ... .. Cluster: ... ..

Title of the Proposal: ... ..

1. Evaluation of the Proposal:							
Indicators (core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Fair	Good	Excellent	
a	Research Title ( <i>Specific, clear</i> )	0	1	2	3	4	
b	Abstract ( <i>Summarized very well</i> )	0	1	2	3	4	
c	Background, Problem Statement ( <i>Adequate, relevant, well-stated</i> )	0	1	2	3	4	
d	Literature Review and Research Gaps ( <i>Adequate, relevant and gaps identified</i> )	0	1.5	3	3.5	6	
e	Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions ( <i>Well framed</i> )	0	2	4	6	8	
f	Research Objectives ( <i>Academically interesting, adequate, achievable</i> )	0	3.5	7	10.5	14	
g	Study Design, Methods, Tools and Data analysis ( <i>Faultless, advanced, well-suited and skillful</i> )	0	3.5	7	10.5	14	
h	Expected Findings ( <i>Envisioned clearly and academically significant</i> )	0	1.5	3	3.5	6	
i	Novelty and Level of Contribution of the Study (High)	0	1.5	3	3.5	6	
j	Expected Outputs ( <i>Publications, academic activities</i> ) ( <i>high target and commitment</i> )	0	1	2	3	4	
k	Limitations and Delimitations ( <i>Honestly described and reasonable</i> )	0	1	2	3	4	
l	Ethical and Safety Issues ( <i>Well-addressed, even when not-applicable</i> )	0	0	0	3	4	
m	Gantt Chart ( <i>Well-planned</i> )	0	1	2	3	4	



n	Organization, Format (Well-organized, Standard format followed, uniformity)	0	1	2	3	4	
o	Association to National Priority (Met and well-described)	0	1	2	3	4	
Total score (out of 90)							
4. Result		Pass (45 marks or more)			Fail (less than 45 marks)		

<b>2. Reviewer's comments and recommendations</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Suggestions for the Improvement/Revision of the Proposal:	
D. Recommended Budget and Justification:	
Reviewer's Signature: ... .. Reviewer's Full Name: ... .. Reviewer's Institution: ... .. Reviewer's Subject of Expertise: ... .. Date: ... ..	

**Appendix 2.9 PhD Proposal Oral Presentation Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

**Ph.D. Proposal Oral Presentation Evaluation Form**

Name of the Candidate: .....  
Cluster: ..... Subject: .....  
Title of the Proposal:.....

A. Evaluation of the Presentation							
Indicators	Rating (Please circle the number OR give your own mark)					SCORE	
	Absent	Poor	Fair	Good	Excellent		
1	Quality of the Research Proposal						
	a. Research Title <i>(Specific, clear)</i>	0	0.5	1	1.5	2	
	b. Problem Statement, Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions <i>(Well framed)</i>	0	1	2	3	4	
	c. Research Objectives <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
	d. Study Design, Methods, Tools and Data Analysis <i>(Faultless, advanced, well-suited and skillful)</i>	0	1	2	3	4	
	e. Work Plan, Budgeting <i>(Well planned, measured and thorough)</i>	0	1	2	3	4	
	f. Expected Findings and Outputs <i>(Clearly envisioned, significant, national priority, potential for publication)</i>	0	0.5	1	1.5	2	
2	Competence of the candidate						
	a. Depth of the Knowledge of the Subject <i>(Candidate has in-depth knowledge of the study subject)</i>	0	1	2	3	4	
	b. Understanding of Research Opportunity <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	
	c. Skill (methodology, analysis) <i>(Candidate has technical skill)</i>	0	1	2	3	4	
	d. Adequately Funded Research Project <i>(Candidate is aware of funding need and is well-prepared)</i>	0	1	2	3	4	
	e. Enthusiasm for Research publication	0	1	2	3	4	

	<i>(Candidate has enthusiasm for publication and familiarity with quality journals)</i>						
3	Quality of the Presentation						
	a. Well-organized	0	1	2	3	4	
	b. Fluently delivered	0	1	2	3	4	
	c. Impressive answers during Q/A	0	3	6	9	12	
Total (out of 60)							
4. Result		Pass (30 marks or more)			Fail (less than 30 marks)		

<b>Evaluator's Comments (Mandatory)</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Your Impression about the Competence of the Investigator for the Proposed Study:	
Excellent	Good
Moderate	Poor
D. Your recommendation and Justification for the Grant Award to the Proposed Study :	
Award the Grant	Not Sure
Do Not Award the Grant	
Justification for Your Recommendation:	
E. Suggestions for the Improvement/Revision of the Proposal: [Use additional Sheets if Needed]	
F. Recommended Budget and Justification:	
Evaluator's Signature: ... ..	
Evaluator's Full Name: ... ..	
Evaluator's Institution / Cluster Committee: ... ..	
Evaluator's Subject of Expertise: ... ..	

Date: ... ..

**To be Filled by the UGC:**

Interrater Deviation Score: \_\_\_\_\_

Completeness: \_\_\_\_\_

Checked by: \_\_\_\_\_

**Appendix 2.10 Evaluation of the Application for the PhD Fellowship**

University Grants Commission  
Research Division

**Evaluation of Application for *PhD Fellowship and Research Support***

Name of Candidate: \_\_\_\_\_  
 Group (Faculty/Young): \_\_\_\_\_  
 University Registered for PhD: \_\_\_\_\_  
 Department/School: \_\_\_\_\_  
 UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_  
 Cluster: \_\_\_\_\_  
 Title of the Research Project:  
 \_\_\_\_\_  
 \_\_\_\_\_

	Indicator	Maximum Score	Marks Scored
1	Academic Record MPhil degree (4) Master Degree (maximum 16): 0.32 mark for every mark above 45% <i>[Note: convert grades to nearest/average equivalent marks, when necessary]</i>	20	
2	Publication Patent (11 for each) Article in journal/proceeding with Q1 SJR (11 for each) Article in journal/proceeding with Q2 or below SJR (7 for each) Article in other peer-reviewed journal (4 for each, maximum marks 12) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	22	
3	Underprivileged Group Woman (2); Dalit/Janajati/Madhesi (2); Disability (2); Remote/Community campus (2)	8	
4	Presentation	60	
5	Proposal Evaluation (Appendix 2.4)	90	
Total		200	

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by**Appendix 2.11 The PhD Fellowship and Research Support Agreement****UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal*****The UGC PhD Fellowship and Research Support Agreement***  
*[Subject to revision by the UGC at the time of Agreement]*

This agreement is made on this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
2. \_\_\_\_\_, the PhD Fellow, with the following details;  
 Program: PhD in \_\_\_\_\_  
 Host Institution: \_\_\_\_\_  
 University registered to: \_\_\_\_\_  
 Date of registration: \_\_\_\_\_  
 Date of the acceptance of PhD Research Proposal by the registered university: \_\_\_\_\_  
 UGC PhD Fellowship award no.: \_\_\_\_\_,
3. \_\_\_\_\_ (the Supervisor of the PhD Fellow), and
4. \_\_\_\_\_ (the Host Institution)

(hereafter, referred to as “parties”)

in connection with the UGC PhD Fellowship and financial assistance awarded by the UGC to the fellow \_\_\_\_\_ for the PhD research project \_\_\_\_\_ in the year \_\_\_\_\_.

The parties hereby agree to abide by the following terms and conditions:

**Terms and Conditions****A. Obligations of the UGC**

1. Provide financial assistance to the Fellow, the Supervisor and the Host Institution, according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress and provide suggestions.

3. Take action in the case of unsatisfactory progress, negligence or misconduct on part of the Fellow and the lack of cooperation to the research project on part of the Supervisor and the Host Institution.
4. Assist the Host Institution to have code of academic integrity and policy on research misconduct, and on maintaining of research ethics.
5. Provide a Certificate of Fellowship and Research Grant to the Fellow at the completion of the programs marked by the submission of thesis approved by the concerned university and duly completed final report of the research project (Appendix 5.7) to the UGC.

**B. PhD Fellowship and Research Support Fund disbursement**

1. The award consists of the UGC PhD Fellowship and the UGC PhD Research Support Fund.
2. The Fellowship, which consists of a monthly allowance for 36 (thirty six) months and reimbursable Conference Travel Grant and Research Publication Fee, is disbursed to the Fellow directly. The allowance is for covering tuition fee and other educational expenses for the Fellow.
3. The Fellow has provided the following Bank Account for depositing installments of the Fellowship  
 Account Holder's Name: \_\_\_\_ [Fellow] \_\_\_\_\_  
 Name of Bank: \_\_\_\_\_  
 Address of Bank: \_\_\_\_\_  
 Bank Account No.: \_\_\_\_\_
4. The UGC Research Support Fund is transferred in bulk directly to the fellow after the signing of the agreement following the procedure specified in Article B-6.
5. The PhD Fellowship and the PhD Research Support Fund and their disbursement scheme are as outlined in the following Table:

**Part A: The UGC PhD Fellowship**

Part A: The UGC PhD Fellowship			
	Financial support	Amount (Rs.)	Disbursement (to Fellow)
a.	Monthly allowance 8000 X 36 months	2,88,000	i. Six installments, except the third and the final, for each six months counting from the date of acceptance of the Thesis Proposal by the enrolling institution. ii. Third installment only after the Oral Presentation of Progress Report at the UGC iii. Final installment only after submission of a copy of the approved Thesis and duly completed final report to the UGC.
b.	Printing cost	15,000	After submission of a copy of the final draft of the thesis to the UGC
c.	Conference Travel Grant	Up to 60,000	Reimbursement (Conditions apply**)
d.	Research Article publication fee	Up to 50,000	Reimbursement (Conditions apply**)
Part B: The UGC PhD Research Support Grant			
	Research Category	Amount (Rs.)	Disbursement
	[A] [B] [C]	[Decided by UGC]	UGC transfers the grant directly to the Fellow according to the following



			installment scheme: i. 60% (in installments duly requested by the Fellow following the conditions of Article B-6. ii. 40% after submitting the duly completed final report and a copy of the approved Thesis to the UGC
--	--	--	---

\*\*As specified in The UGC Research Development and Innovation Programs Implementation Guidelines 2019.

### C. Budget Estimate and Allowable Expenditure for the PhD Research Support Fund

1. The PhD Research Budget Estimate prepared based on the budget estimate outline shown in Appendix 2.8 and approved by UGC as an estimate is attached in Annex of this agreement and shall be used as a reference for allowable expenditure and approval by the UGC for adjustment during the project period.
2. The parties understand that as the research project progresses, depending upon the results obtained and prevailing condition of market, the headings and the estimate of expenditure may need adjustment.
3. Any adjustment in the budget estimate made by Fellow must be reported to UGC in separate communication or in periodic Progress Reports and Final Report and UGC has right to accept, reject or suggest revision.
4. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution.
5. For any patentable invention, a separate agreement complying with the policies of universities to which the Investigators belong shall be made.
6. The Final Report must include the financial report of the research project.

### D. Obligation of the Host Institution

1. Fully comply with the UGC Minimum Standard and Procedure for PhD Degree 2073.
2. Accept the UGC PhD Research Support on behalf of the Fellow and disburse it according to the procedure and installments outlined in Section B.
3. Provide full institutional support to the Fellow to complete the PhD research work and the degree.
4. Have an institutional code of academic integrity and procedure to address research misconduct in place and ensure strict adherence to them by all concerned in the Institution (subject to Article A-4).
5. Abide by regulations of the UGC related to PhD programs and research programs.
6. Facilitate the monitoring of the Fellow's progress by the UGC.
7. Take custody, at the end of the project, of the laboratory equipment, reagents and consumables purchased with the Research Support, which shall be the property of the Institution.
8. Help audit the financial report of the research project as per rules of the Institution.

### E. Obligation of the Supervisor

1. Provide full academic support and supervision to the Fellow's thesis work.
2. Guide the Fellow to accommodate the UGC reviewers' suggestions on the PhD research proposal and periodic progress reports.

3. Approve the research fund expenditure plan prepared by the Fellow.
4. Maintain academic integrity and research ethics.

#### **F. Obligation of the Fellow**

1. Maintain the highest level of academic integrity and research ethics.
2. Make honest and best use of the Research Support Fund with the guidance of the Supervisor. The Research Support Fund can only be used to cover allowable expenditure specified in Section F of this agreement.
3. Accommodate the UGC reviewer's suggestions on the research proposal and periodic progress reports after consulting with the Supervisor.
4. Submit a progress report every six months. The progress report should be 5-10 pages and include progress in research, academic activities and financial statement on the spending of the Research Support Fund.
5. Make an oral presentation on the progress of the work at the end of every year (Appendix 5.5). Fellow enrolled in a university in foreign country can submit written progress report instead of the oral presentation.
6. Publish at least two original research articles based on the PhD research work in Ranked journals or the UGC-recognized peer-reviewed journals.
7. Submit to the UGC a hard copy and an electronic copy of the thesis accepted by the registered university. The thesis must get a plagiarism clearance, when and if such service is available.
8. Applicable to Faculty Fellow category: (a) Submit to the UGC a proof of study leave sanctioned by the affiliated institution, (b) Submit a copy of a formal agreement of the Fellow with the employing institution for continuation of the job after the completion of the PhD study and any postdoctoral study immediately joined thereafter with the consent of the employing institution.

#### **G. Other Conditions**

1. All the terms and conditions mentioned in The UGC Research Development and Innovation Programs Implementation Guidelines 2017 are applicable.
2. For the purpose of the disbursement of fund, progress report and the completion of the program, the date of acceptance of the PhD research proposal at the institution will be counted as the starting date.
3. In case the PhD research project requires additional funding, it is a joint obligation of the Host Institution and the Supervisor to help find the funding. Before applying for such funding to agency other than the UGC, the applicant must apply to the UGC for the permission. The UGC will give permission if it is satisfied with the need of additional funding for the research.
4. Changes in the title or the objectives of the research project can only be made with the permission from the Office of the Dean and Research Committee at the Host Institution. In case of change, a proof of such permission must be submitted to the UGC Research Division.
5. The Fellow must maintain a Research Logbook recording all activities and relevant notes on a daily basis.
6. Progress reports, publications in peer-reviewed journals, paper presentations in seminar/workshops, etc. are the major output indicators to be used to evaluate the performance of the Fellow.
7. If the progress is found to be unsatisfactory by the UGC reviewer and research monitoring officers, the UGC will notify the Supervisor and the Institution. The UGC may also ask the Institution to withhold the disbursement of the Research Fund to the Fellow. If negligence is found on the part of the Fellow, the UGC may issue a warning the first time such negligence happens and terminate the contract the second time it occurs.
8. Research misconduct and any unethical activity are punishable. It is the Host Institution's obligation to conduct the investigation on any suspected or alleged research misconduct. Small institutions that do not have adequate resources to conduct such investigation might request the UGC for assistance. Any proceeding for the case of research misconduct will

involve four steps of action consisting of Inquiry, Investigation, Adjudication and Appeal, and shall be carried out with fairness and expedience as fundamental principles.

9. The PhD program must be completed within 5 years from the date of acceptance of PhD Thesis Proposal by the enrolling Institution. The period can be extended for one more year with the permission from the enrolling University and the UGC. The Fellowship file is closed at the end of the sixth year and any remaining installment of the fund is forfeited. Fellow who do not submit the Final Report within six years will be placed in the *UGC Barred List* until the Final Report is submitted.
10. In case of disputes in any issues with this agreement, the UGC reserves the rights to give the final decision.

#### H. Budget Estimate

(Attached as an Annex to this agreement and signed by all parties)

##### 1. On behalf of the UGC

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: Member Secretary  
 University Grants Commission  
 Date: \_\_\_\_\_

##### 2. PhD Fellow

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Date: \_\_\_\_\_

##### 3. On behalf of the Host Institution

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Date: \_\_\_\_\_

##### 4. PhD Fellow's Supervisor

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

## Appendix 2.12 Application Form for the UGC MPhil Fellowship



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport  
size color  
photo

MF-1

Application for the UGC MPhil Fellowship

**Incomplete application will not proceed for evaluation**

Faculty  Young

To be filled by the UGC
Draft No./Bill No. of Rs. 200/-
Deposit:
Date:
Verified by:

### 1. Personal Information

A1. Applicant's Full Name (capital letter):	A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Last Degree Obtained:	A6. Citizenship No., Issuing District:	A7. Underprivileged Group:	
A8. Permanent Address:		A9. Mailing Address:	
A10. Telephone: • Residence: • Office: • Mobile:	A11. Email:	A12. Employment: • Designation: • Institution: • Address:	

### 2. Information about MPhil. Program Registered

B1. University:	B2. Campus/School:	B3. Department:	
B4. Cluster: (Indicate by √)	a. Agriculture/Forestry		e. Education
	b. Science & Technology		f. Humanities & Social Sciences
	c. Health Sciences		g. Management
	d. Engineering		
B5. Registered for Degree:	B6. Subject:	B7. Specialization:	
B8. Registration Number:	B9. Date of Registration:	B10. Expected Date of Completion:	

**3. Institutional Compliance with the UGC Minimum Standard for MPhil Program**

**Q.** Does the institution you are enrolled in comply with the UGC Minimum Standard and Procedure for MPhil Degree 2073?

(        ) Yes - You are eligible to apply for the UGC MPhil Fellowship

(        ) No - You are not eligible to apply for the UGC MPhil Fellowship

**3. Academic Record**

Degree	Year	Major Subjects	Division/ Grade	Percentage (%)	Board/ University

**4. Employment Record** (Please include complete list in your CV)

Period of Service		Designation	Name and Address of the Institution	Assignments	Permanent/ Temporary	Full Time/ Part Time
From	To					

**5. Publication Record** (Please include the complete list in your CV)**1. Major Research Publication in Ranked Journals/Proceedings (SCImago Journal Ranking/JCR Impact Factor)**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Rank*/IF (Year)
1		
2		

**2. Major Research Publication in Non-Ranked Peer-Reviewed Journals**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Country
1		
2		

**3. Major Research Reports (any part of it not published in any journal yet)**

	Format: Authors, Title, Submitted Institution (Year)
1	
2	

\*For SCImago Rank, visit: <http://www.scimagojr.com>

**6. Previous UGC Grants Received** (Please attach a copy of the completion letter)

Year	Program	Title	Period

<p><b>Q. Do you have any other UGC funded research project currently running?</b></p> <p>(        ) Yes - You are NOT ELIGIBLE to apply for the UGC MPhil Fellowship now</p> <p>(        ) No - You are eligible to apply for the UGC MPhil Fellowship now</p>			

**7. References**

Provide details of TWO referees who may be in better position to explain why you should be considered for this fellowship. They should not have any family relations with you.

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone Number		
Email		

**8. Documents Required (Check √ if included)**

1. Copy of Citizenship	5. Copy of Job Certificate (for faculty)	
2. Copies of Academic Diplomas (Masters and above)	6. Curriculum Vitae	
3. Copy of Equivalence Certificate (if any)	7. Certification of 'No Support from Other Source'*	
4. Copy of Certificate of Underprivileged Group (if any)	8. Copies of First Page of Research Articles with Abstract (if any)	

\*Certification from Head of the Host Institution stating that the applicant has not received any financial support for MPhil program from any other source

**9. Confirmation by the University/Department Where MPhil Candidate Has Been Registered**

We certify that statements made above by the candidate have been verified and found true. If the applicant is selected for the fellowship, he/she will be provided with available resources, facilities and guidance necessary to conduct and complete the research requirement of the program in this institution.

We reaffirm that the PhD program in our institute fully complies with the UGC Minimum Standard and Procedure for MPhil Degree 2073.

Name of the Institution/Department: .....

[Official Seal]

Signature

Name: .....

Designation: .....

Date: .....

(Head of the Institution/Department)

**10. Attestation by the Head of the Employing Agency.**

It is to certify that statements made above have been verified and found true. If the applicant is selected for the UGC MPhil fellowship, he/she will be provided with study leave from our institution to complete the program.

Name of the Employing Institution: .....

[Official Seal]

\_\_\_\_\_  
Signature

Name: .....

Designation:.....

Date: ..... .

**11.Undertaking by the Applicant**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for PhD/MPhil Degree 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of Fellowship funding and/or rejection of application.

\_\_\_\_\_  
Signature

Name: .....

Date: .....

Thumb	
Right	Left



**Appendix 2.13 The MPhil Fellowship Interview Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

*MPhil Fellowship Interview Evaluation Form*

Name of the Candidate: .....

Cluster: .....Subject: .....

Indicators	Rating (Please circle the number OR give your own mark)					SCORE
	Absent	Poor	Fair	Good	Excellent	
a Research Interest/s and Motivation <i>(Clear and realistic idea, highly motivated)</i>	0	2.5	5	7.5	10	
b Impact of Research of Candidate's interest <i>(High academic and developmental impact)</i>	0	2.5	5	7.5	10	
c Analytical Ability <i>(Shows knowledge and skill of research methodology, research design and analytical tools)</i>	0	5	10	15	20	
d Subject Knowledge <i>(Has a good knowledge on the subjects of study)</i>	0	2.5	5	7.5	10	
TOTAL SCORE (Out of 50)						
4. Result <input type="checkbox"/> Pass (25 marks or more) <input type="checkbox"/> Fail (less than 25 marks) <input type="checkbox"/>						

Evaluator's Comment:

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/ Cluster Committee: .....

Evaluator's Subject of Expertise: ... ..

Date: ... ..

**Appendix 2.14 Evaluation of the Application for the MPhil Fellowship**

University Grants Commission

Research Division

Evaluation of Application for *MPhil Fellowship*

Name of Candidate: \_\_\_\_\_ Cluster: \_\_\_\_\_

Group (Faculty/Young): \_\_\_\_\_

Year: \_\_\_\_\_ UGC Application Registration No.: \_\_\_\_\_

University and Department/School Registered for MPhil: \_\_\_\_\_

	Indicators	Maximum Score	Marks Scored
1	Academic Record (Master Degree) 1 mark for every 2 marks above 50% <i>[Note: Convert grades to equivalent marks when necessary]</i>	25	
2	Publication Record Patent (17 for each) Article in journal/proceeding with Q1 SJR (17 for each) Article in journal/proceeding with Q2 or below SJR (8.5 for each) Article in other peer-reviewed journal (5.5 for each, maximum marks 11) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	17	
3	Underprivileged Group Woman (2) Dalit/Janajati/Madhesi (2) Disability (2) Remote/Community campus (2)	8	
4	Interview	50	
Total		100	

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

## Appendix 2.15 The MPhil Fellowship Agreement

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**

**The UGC MPhil Fellowship Agreement**  
*[Subject to revision by the UGC at the time of Agreement]*

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
2. \_\_\_\_ [Type your name] , the Fellow, with the following details;  
 Program: MPhil  
 Subject: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 University registered to: \_\_\_\_\_  
 Date of registration: \_\_\_\_\_  
 The UGC MPhil Fellowship award no.: \_\_\_\_\_,
3. \_\_\_\_\_ (Institution)

(hereafter, referred to as “parties”)

in connection with the UGC MPhil Fellowship awarded by the UGC to the Fellow \_\_\_\_ [Type your name] for the MPhil program in the year 2073-74 (2016-17).

The parties hereby agree to abide by the following terms and conditions:

### Terms and Conditions

#### A. Obligations of the UGC

1. Provide financial assistance to the Fellow according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress of the Fellow and provide suggestions.
3. Take action in case of unsatisfactory progress, negligence or misconduct on part of the Fellow.
4. Assist the Host Institution to comply with the UGC Minimum Standard and Procedure for MPhil Degree 2073.
5. In case of ‘Young Category’ Fellow, make decision on the selection of community campus for Fellow’s service within six months from the date of submission of Final Report to the UGC.
6. Provide to the Fellow a Certificate of UGC MPhil Fellowship after the completion of the program.

#### B. MPhil Fellowship Fund disbursement

1. The UGC MPhil Fellowship has the following funding and the disbursement scheme:

## UGC MPhil Fellowship

<b>Financial support</b>	<b>Amount (Rs.)</b>	<b>Disbursement</b>
First Installment	42,000	After submitting receipt/proof of admission, Declaration of 'No Support' from other source
Second Installment	42,000	After submitting the certificate of successful completion of the first semester
Third Installment	42,000	After submitting a hard copy and a digital copy of the accepted Thesis and transcript.
Printing cost	20,000	After submitting a copy or information of a research article published complying with the UGC Minimum Standard and Procedure for MPhil Degree 2073. In case of Young Category, after the UGC decision on Fellow's obligation to teach in a community campus.

2. The Fellow has provided the following Bank Account for depositing installments of the Fellowship

Account Holder's Name: \_\_\_\_\_  
 Name of Bank: \_\_\_\_\_  
 Address of Bank: \_\_\_\_\_  
 Bank Account No.: \_\_\_\_\_

### C. Obligation of the Host Institution

1. Fully comply with the UGC Minimum Standard and Procedure for MPhil Degree 2073
2. Provide full institutional support to the Fellow to complete the MPhil degree.
3. Have an institutional code of academic integrity and procedure to address research misconduct in place and ensure strict adherence to them by the Institution and the members of the Institution (subject to Article A-4).
4. Facilitate the monitoring of the Fellow's progress by the UGC.
5. Certify the Progress Report and write recommendations for the Fellow's request to the UGC

### D. Obligation of the Fellow

1. Comply with the requirements of the UGC Minimum Standard and Procedure for MPhil Degree 2073.
2. Maintain the highest level of academic integrity and research ethics.
3. Submit a progress report (academic achievement and academic activities if any) every six months until the completion of the program.
4. Publish at least one original research articles based on the MPhil research work in any UGC-recognized peer-reviewed journals at the earliest.
5. Complete the degree and submit the Final Report to the UGC within 18 months from the date of admission. The Final Report should include a hard copy and an digital copy of the accepted thesis, transcript, and a published research article in accordance with the UGC Minimum Standard and Procedure for MPhil Degree 2073. The thesis must get a plagiarism clearance, when and if such service is available. The Fellow may request for an extension of time for submission of the Final Report before the expiration of the deadline (as per Section E-1)

### E. Other Conditions

1. All the terms and conditions mentioned in The UGC Research Development and Innovation Programs Implementation Guidelines 2017 are applicable. The provision for request for

extension of time for submission of the Final Report to the UGC is in accordance with Section 1.6.9 (Procedure for dealing with the delay) of the aforementioned Guidelines.

2. Research misconduct and any unethical activity are punishable. It is the Host Institution's obligation to conduct the investigation on any suspected or alleged research misconduct. Small institutions that do not have adequate resources to conduct such investigation might request the UGC for assistance or taking over the case. Any proceeding for the case of research misconduct will involve four steps of action consisting of Inquiry, Investigation, Adjudication and Appeal, and shall be carried out with fairness and expedience as fundamental principles.
3. In case of disputes in any issues with this agreement, the UGC reserves the rights to give the final decision.

1. On behalf of the UGC

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: Member Secretary  
 University Grants Commission  
 Date: \_\_\_\_\_

2. Masters/MPhil Fellow

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Date: \_\_\_\_\_

3. On behalf of the Host Institution

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Appendix 2.16 Application Form for the UGC Masters/MPhil Research Support**

UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

MMR-1

Affix a  
passport  
size color  
photo

The UGC Masters/MPhil Research Support Application  
**Incomplete application will not proceed for evaluation**

M.Phil.  Masters

To be filled by the UGC
Draft No./Bill No. of Rs. 100/- Deposit:
Date:
Approved by:

**1. Personal Information**

A1. Applicant's Full Name (capital letter):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Last Degree Obtained:	A6. Citizenship No., Issuing District:		A7. Underprivileged Group:	
A8. Permanent Address:		A9. Mailing Address:		
A10. Telephone:		A11. Email:		

**2. Information About the Program Registered**

B1. University:		B2. Campus/School:		B3. Department:	
B4. Cluster: (Indicate by √)	a. Agriculture/Forestry		e. Education		
	b. Science & Technology		f. Humanities & Social Sciences		
	c. Health Sciences		g. Management		
	d. Engineering				
B5. Registered for Degree:			B6. Subject:		
B7. Registration Number:		B8. Date of Registration:		B9. Date of the Proposal Approval:	

B10. Proposed Title of the Research:	
B11. Name of the Supervisor:  • Phone No. • Email ID.	B12. Designation:

### 3. Research Infrastructure of Your Institution

List the relevant research infrastructure in your institution to conduct the proposed study

Institute/Department	Research Infrastructure

### 4. (For MPhil only) Institutional Compliance with the UGC Minimum Standard for MPhil Program

**Q.** Does the institution you are enrolled in comply with the UGC Minimum Standard and Procedure for MPhil Degree 2073?

(        ) Yes - You are eligible to apply for the UGC MPhil Research Support

(        ) No - You are not eligible to apply for the UGC MPhil Research Support

### 5. Academic Record

Degree	Year	Major Subjects	Division/ Grade	Percentage (%)	Board/ University
MPhil (Semesters 1&2) (For MPhil Thesis)					
Master (1 <sup>st</sup> Year/ 1 <sup>st</sup> Semester) (For Masters Thesis)					

### 6. Publication Record (Please include the complete list in your CV)

#### 1. Major Research Publication in **Ranked Journals/Proceedings (SCImago Journal Ranking/JCR Impact Factor)**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Rank*/IF (Year)
1		
2		

#### 2. Major Research Publication in **Non-Ranked Peer-Reviewed Journals**

	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Country



1		
2		

\*For SCImago Rank, visit: <http://www.scimagojr.com>

### 7. Research Proposal for Thesis

Please attach your research proposal with the following major components written consistently in any one format (APA, MLA, Chicago, Turabian, Vancouver etc) (limit it to 8-10 pages).

[Important: For the purpose of double blind review, please use the applicant's name only on the cover page and avoid it appearing on the inside page and citations by replacing your name with "●●●" ]

Research Proposal format:

(Note: The sequence of the sections can be altered to suit the discipline and the research methodology applied)

Research Proposal format:

- a. Title
- b. Abstract
- c. Background
- d. Problem Statement
- e. Literature Review and Research Gaps
- f. Theoretical/Conceptual Framework
- g. Conjectures/Hypotheses, Research Questions
- h. Research Objectives
- i. Study Design, Methods, Tools and Data Analysis
- j. Expected Findings
- k. Novelty and Level of Contribution of the Study
- l. Expected Outputs (Publications)
- m. Limitations and Delimitations
- n. Ethical/Safety Issues
- o. Organization of the Study
- p. Gantt Chart and Detailed Budget\* (actual)
- q. References
- r. Association to National Priority\*\* (*explained in a simple language*)

\* See Appendix 2.7 for allowable headings and budget outline (Skip Institutional Overhead Cost)

\*\* Refer to The UGC Research Development and Innovation Programs Implementation Guidelines 2017, Section 1.15, for the National Priority List

### 8. Additional Eligibility Check

**Q1.** Have you submitted this proposal in full or in part to any other funding agency?

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC Research Support now

(        ) No - You are eligible to apply for the UGC Research Support now

**Q2.** Do you have any other UGC funded research project currently running?

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC Research Support now

(        ) No - You are eligible to apply for the UGC Research Support now

**9. References**

Provide details of TWO referees who may be in better position to explain why you should be considered for this funding. They should not have any family relations with you.

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone Number		
Email		

**10. Documents Required (Check ✓ if included)**

1. Masters/MPhil Research Proposal (3 copies + 1 CD)		6. Recommendation Letter from the Supervisor	
2. Copy of Citizenship		7. Curriculum Vitae	
3. Copies of Academic Diplomas (Bachelors and above)		8. Certification of 'No Support from Other Source'*	
4. Copy of Equivalence Certificate (if any)		9. Copies of First Page of Research Articles with Abstract (if any)	
5. Copy of Certificate of Underprivileged Group (if any)			

\*Certification from Supervisor or Head of the Host Institution stating that the applicant has not received any financial support for Thesis from any other source

**11. Endorsement by the Department/ and Supervisor**

We certify that statements made above by the candidate have been verified and found true. If the applicant is selected for the partial financial support for his/her thesis, he/she will be provided with available resources, facilities and guidance necessary to conduct and complete the proposed research in this institution.

[MPhil Program] We reaffirm that the MPhil program in our institute fully complies with the UGC Minimum Standard and Procedure for MPhil Degree, 2073.

Name of the Host Institution/Department: .....

[Official Seal]

\_\_\_\_\_  
 Signature  
 Name: .....  
 ..  
 Designation:.....  
 ...  
 Date: .....  
 ..  
 (Thesis Supervisor)

\_\_\_\_\_  
 Signature  
 Name: .....  
 ..  
 Designation:.....  
 ...  
 Date: .....  
 ..  
 (Head of the host department)

**12.Undertaking by the Applicant**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for MPhil Degree 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true and the research proposal I have submitted is original and has not been submitted in full or in part to any other agency seeking a grant. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of funding and/or rejection of application.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

<b>Thumb</b>	
Right	Left

**Appendix 2.17 Masters/MPhil Research Proposal Evaluation Form**

University Grants Commission

Sanothimi, Bhaktapur

*Masters/MPhil Research Proposal Evaluation Form*

Candidate's Code: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

1. Evaluation of the Proposal:						
Indicators	Rating (Please circle the number OR give your own mark)					SCORE
	Absent	Poor	Fair	Good	Excellent	
a	Research Title <i>(Specific, clear)</i>	0	0.6	1.2	1.8	2.4
b	Abstract <i>(Summarized very well)</i>	0	0.6	1.2	1.8	2.4
c	Background, Problem Statement <i>(Adequate, relevant, well-stated)</i>	0	0.6	1.2	1.8	2.4
d	Literature Review and Research Gaps <i>(Adequate, relevant and gaps identified)</i>	0	1.2	2.4	3.6	4.8
e	Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions <i>(Well framed)</i>	0	1.2	2.4	3.6	4.8
f	Research Objectives <i>(Academically interesting, adequate, achievable)</i>	0	2.4	4.8	7.2	9.6
g	Study Design, Methods, Tools and Data analysis <i>(Faultless, advanced, well-suited and skillful)</i>	0	2.4	4.8	7.2	9.6
h	Expected Findings <i>(Envisioned clearly and academically significant)</i>	0	0.6	1.2	1.8	2.4
i	Novelty and Level of Contribution of the Study <i>(High)</i>	0	1.2	2.4	3.6	4.8
j	Expected Outputs <i>(Publication, academic activities)</i> <i>(High target and commitment)</i>	0	0.6	1.2	1.8	2.4
k	Limitations and Delimitations <i>(Honestly described and reasonable)</i>	0	0.6	1.2	1.8	2.4
l	Ethical and Safety Issues <i>(Well-addressed, even when not-applicable)</i>	0	0.6	1.2	1.8	2.4
m	Gantt Chart and Budgeting <i>(Well-planned)</i>	0	0.6	1.2	1.8	2.4
n	Organization, Format <i>(Well-organized, Standard format followed, uniformity)</i>	0	1.2	2.4	3.6	4.8

o	Association to National Priority <i>(Met and well-described)</i>	0	0.6	1.2	1.8	2.4	
Total score (out of 60)							
4. Result		Pass (30 marks or more)	<input type="checkbox"/>	Fail (less than 30 marks)	<input type="checkbox"/>		

<b>2. Reviewer's comments and recommendations (Mandatory)</b>
A. Major Strengths of the Proposed Study:
B. Major Weaknesses of the Proposed Study:
C. Suggestions for the Improvement/Revision of the Proposal
Reviewer's Signature: ... ..
Reviewer's Full Name: ... ..
Reviewer's Institution: ... ..
Reviewer's Subject of Expertise: ... ..
Date: ... ..

**Appendix 2.18 Evaluation of the Application for the Masters/MPhil Research Support**

University Grants Commission  
Research Division

**Evaluation of the Application for the UGC Masters/MPhil Research Support**

Name of Student: \_\_\_\_\_  
 University: \_\_\_\_\_  
 Department/School: \_\_\_\_\_  
 UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_  
 Cluster: \_\_\_\_\_  
 Title of Research Project: \_\_\_\_\_  
 \_\_\_\_\_

	Indicators	Maximum Score	Marks Scored
1	<b>First Year (first two semesters) Aggregate Marks</b> 1 mark for every 2 marks above 60% <i>[convert grades to equivalent marks, when necessary]</i>	20	
2	<b>Publication Record</b> Patent (10 for each) Article in journal/Proceeding with SJR ranking (10 for each) Article in other peer-reviewed journal (5 for each) Research Report (2.5 for each, maximum marks 5) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	12	
3	<b>Underprivileged Group</b> Woman (2); Dalit/Janajati/Madhese (2); Disability (2); Remote/Community campus (2)	8	
4	<b>Proposal Evaluation</b>	60	
Total		100	

\_\_\_\_\_  
Scored by

\_\_\_\_\_  
Verified by

\_\_\_\_\_  
Approved by

## Appendix 2.19 The UGC Masters and MPhil Research Support Agreement

### UNIVERSITY GRANTS COMMISSION

Sanothimi, Bhaktapur, Nepal

#### The UGC Masters/MPhil Research Support Agreement

*[Subject to revision by the UGC at the time of Agreement]*

This agreement is made this \_\_\_\_\_ day of *August* in the year *2017* by and between:

1. University Grants Commission,
2. [Type your name] , the Student, with the following details;  
 Program: Masters/MPhil  
 Subject: \_\_\_\_\_  
 Host Institution: \_\_\_\_\_  
 University registered to: \_\_\_\_\_  
 Date of registration: \_\_\_\_\_  
 Date of the acceptance of Master/MPhil Research Proposal by the registered university: \_\_\_\_\_

The UGC Masters/MPhil Research Support award no.: \_\_\_\_\_,

3. \_\_\_\_\_ (the Supervisor of the Student), and
4. \_\_\_\_\_ (the Host Institution)

(hereafter, referred to as “parties”)

in connection with the UGC Masters/MPhil Research Support awarded by the UGC to the Student \_\_\_ [Type your name ] for the Masters/MPhil research project \_\_\_ [Type the title of your Research Project awarded] in the year 2073-74 (2016-17).

The parties hereby agree to abide by the following terms and conditions:

#### Terms and Conditions

##### A. Obligations of the UGC

1. Provide financial assistance to the Student according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress and provide suggestions.
3. Take action in case of unsatisfactory progress, negligence or misconduct on part of the Student, and the Supervisor.
4. Assist the Host Institution to have code of academic integrity and policy on Responsible Conduct of Research, and on maintaining of research ethics.
5. Assist the Host Institution to comply with the UGC Minimum Standard and Procedure for MPhil Degree 2073.

6. Provide to the Student a Certificate of UGC Masters/MPhil Research Support after the completion of the program.

### **B. Masters/MPhil Research Support Fund disbursement**

1. The UGC Masters/MPhil Research Support has the following funding according to the category of the research project, and the disbursement scheme according to the purpose of the funding:

#### The Masters/MPhil Research Support

	Financial support	*Amount (Rs.)	Disbursement
a	Masters/MPhil Research Support		Two installments: 50% at the signing of the agreement, remaining 50% after submitting the Final Report along with the Thesis; Paid to the Student
b	Research Article publication fee	Up to 50,000	Reimbursement (Conditions apply)

\*Rate:

Class A: Wet laboratory based research [ Rs. 50,000 ]

Class B: Social survey research [ Rs. 30,000 ]

Class C: Dry lab based or Library based research [ Rs. 20,000 ]

2. The Fellow has provided the following Bank Account for depositing installments of the Fellowship

Account Holder's Name: \_\_\_\_\_

Name of Bank: \_\_\_\_\_

Address of Bank: \_\_\_\_\_

Bank Account No.: \_\_\_\_\_

### **C. Obligation of the Host Institution**

1. (For MPhil Program) Fully comply with the UGC Minimum Standard and Procedure for MPhil Degree, 2073
2. Provide full institutional support to the Student to complete the Masters/MPhil research work and the degree.
3. Have an institutional code of academic integrity and procedure to address research misconduct in place and ensure strict adherence to them by the Institution and the members of the Institution (subject to Article A-4).
4. Facilitate the monitoring of the Student's progress by the UGC.
5. Take custody, at the end of the project, of the laboratory equipment, reagents and consumables purchased with the Research Support, which shall be the property of the Institution.

### **D. Obligation of the Supervisor**

1. Provide full support and supervision to the Student's work.
2. Guide the Student to accommodate the UGC reviewers' suggestions on the Masters/MPhil research proposal and periodic progress reports.
3. Help maintain academic integrity and research ethics.



**E. Obligation of the Student**

1. Comply with the requirements of the UGC Minimum Standard and Procedure for MPhil Degree 2073.
2. Maintain the highest level of academic integrity and research ethics.
3. Make honest and best use of the Research Support Fund with the guidance of the Supervisor. The Research Support Fund can only be used to cover allowable expenditure specified in Section F of this agreement.
4. Accommodate the UGC reviewer's suggestions on the research proposal and periodic progress reports after consulting with the Supervisor.
5. Submit a progress report any time the UGC requests during the program. The progress report should be 4-6 pages and include progress in research, academic activities and financial statement on the spending of the Research Support Fund.
6. Publish at least one original research articles based on the Masters/MPhil research work in any UGC-recognized peer-reviewed journals at the earliest.
7. Complete the thesis and submit the Final Report to the UGC within one year from the date of signing of this agreement by UGC. The Final Report should include a hard copy and a digital copy of the accepted thesis, transcript, and a published research article in accordance with the UGC Minimum Standard and Procedure for MPhil Degree 2073. The thesis must get a plagiarism clearance, when and if such service is available. The Fellow may request for an extension of time for submission of the Final Report before the expiration of the deadline (as per Section G-1)

**F. Allowable Expenditure for the UGC Masters/MPhil Research Support Fund**

1. The Masters/MPhil Research Support Fund must be used to cover only the direct costs of the research project as specified or within the limit of the research proposal budget estimate prepared based on the budget estimate outline shown in Appendix 2.7. Any adjustment in budget estimate must be approved by UGC.
2. Laboratory equipment, reagents and consumables purchased with the Research Support Fund are the property of the Host Institution.
3. The Final Report must include expenditure details of the Research Support Fund.

**G. Other Conditions**

1. All the terms and conditions mentioned in The UGC Research Development and Innovation Programs Implementation Guidelines 2017 are applicable. The provision for request for extension of time for submission of the Final Report to the UGC is in accordance with Section 1.6.9 (Procedure for dealing with the delay) of the aforementioned Guidelines.
2. For the purpose of the disbursement of fund, progress report and the completion of the program, the date of this agreement by the last signee will be counted as the starting date.
3. In case the Masters/MPhil research project requires additional funding, it is a joint obligation of the Host Institution and the Supervisor to help find the funding. Before applying for such funding to agency other than the UGC, the applicant must apply to the UGC for the permission. The UGC will give permission if it is satisfied with the need of additional funding for the research.
4. Changes in the title or the objectives of the research project can only be made with the recommendation from the Supervisor.
5. The Student must maintain a Research Logbook at the institution recording all activities and relevant notes on a daily basis.

6. Progress reports, publications in peer-reviewed journals, paper presentations in seminar/workshops, etc. are the major output indicators to be used to evaluate the performance of the Student.
7. If the progress is found to be unsatisfactory by the UGC reviewer and research monitoring officers, the UGC will notify the Supervisor and the Institution. If negligence is found on the part of the Student, the UGC may issue a warning the first time such negligence happens and terminate the contract the second time it occurs.
8. Research misconduct and any unethical activity are punishable. It is the Host Institution's obligation to conduct the investigation on any suspected or alleged research misconduct. Small institutions that do not have adequate resources to conduct such investigation might request the UGC for assistance or taking over the case. Any proceeding for the case of research misconduct will involve four steps of action consisting of Inquiry, Investigation, Adjudication and Appeal, and shall be carried out with fairness and expedience as fundamental principles.
9. In case of disputes in any issues with this agreement, the UGC reserves the rights to give the final decision.

## 1. On behalf of the UGC

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: Member Secretary  
 University Grants Commission  
 Date: \_\_\_\_\_

## 2. Masters/MPhil Student

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Date: \_\_\_\_\_

## 3. On behalf of the Host Institution

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Date: \_\_\_\_\_

## 4. Student's Supervisor

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Appendix 2.20 Application form for Masters/MPhil Research Support (Disability Group)**

UNIVERSITY GRANTS COMMISSION  
RESEARCH DIVISION  
Sanothimi, Bhaktapur, Nepal

Affix a  
passport size  
color photo

Master/MPhil Research Support Application Form  
(for Persons with Disabilities)

**Incomplete application will not proceed for evaluation**

**A. Personal Information**

A1. Applicant's Full Name (capital letters)	
A2. Gender:	
A3. Date of Birth:	
A4. Citizenship No., Issuing District	
A5. Permanent Address:	
A6. Mailing Address:	
A7. Cell/Telephone:	
A8. Email:	
A9. Category of Disability:	

**B. Information about the Program registered**

B1. University:	
B2. Campus/School:	
B3. Department:	
B4. Degree registered for	
B5. Subject:	
B6. Specialization (if any)	
B7. University Registration Number:	
B8. Date of Proposal Approved:	
B9. Title of the Research:	
B10. Date of Viva Voice (if any)	
B11. Name of Supervisor:	
B12. Designation of Supervisor :	
B13. Cell/Telephone of Supervisor	
B14. Email:	

**C. Request for Support made**

C1. Research Support requested	Masters Thesis Support (    ); MPhil Thesis Support (    )
C2. Support for Assistant (Disability classes 'A' and 'B' only)	Yes (    );                      No (    )

**D. List of UGC and Other Grants received by you.**

Year	Grant Program	Project Title	Grants Amount

**E. Academic Record**

Degree	Year	Major subjects	Division /CGPA	Percentage (%)	School/ University	Campus,
+2						
Bachelors degree						
Masters (completed year/semester) I / II /III /IV						

**F. Research Publication Record (if any)**

Research Publication in Peer-reviewed journal
In APA Format: Author/s (Year), Title, Journal, Volume (Number): First page - Last page
1.
2.
3.

**G. Documents required (Check  $\checkmark$  if included)**

1. Approved Research Proposal	
2. Copy of Citizenship	
3. Copies of Academic Diplomas (Bachelors and above)	
4. Copy of Equivalence Certificate (if any)	
5. Certificate of Disability	
6. Self-declaration of 'No Support from Other Source'	
7. Copies of First Page of Research Articles with Abstract	
8. Recommendation letter from institution and supervisor	

**H. Endorsement by the Institution and Supervisor**

We certify that the statements made above by the applicant have been verified and found true. He/she is student in this institution. We recommend to provide him/her thesis preparation support as per the rule of University Grants Commission.

Name of the Institution/Department: .....

[Official Seal]

\_\_\_\_\_  
 Signature  
 Name: .....  
 Designation:.....  
 Date: .....  
 (Thesis Supervisor)

\_\_\_\_\_  
 Signature  
 Name: .....  
 Designation:.....  
 Date: .....  
 (Head of the Institution/Department)

**I. Undertaking by the applicant**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for MPhil Degree 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true and the research proposal I have submitted is original and has not been submitted in full or in part to any other agency seeking a grant. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of funding and/or rejection of application.

.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

**Appendix 2.21 Application Form for the Partial Support for the PhD Fellows**

UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport  
size color  
photo

PSP-1

**Partial Support for the PhD Fellows Application**  
**Incomplete application will not proceed for evaluation**

**A. Personal Information**

A1. Applicant's Full Name (capital letters)	
A2. Gender:	
A3. Date of Birth:	
A4. Citizenship No., Issuing District:	
A5. Permanent Address:	
A6. Mailing Address:	
A7. Cell/Telephone:	
A8. Email:	

**B. Information about the Program registered**

B1. University:	
B2. Department:	
B3. Subject:	
B4. Specialization (if any)	
B5. University Registration Number:	
B6. Date of Registration:	
B7. Date of Proposal Approved:	
B8. Title of the Research:	
B9. Date of Viva Voice (if any)	

**C. Information About the Principal Supervisor**

C1. Name of Supervisor:	
C2 Current Position :	
C3. Highest Degree Obtained:	
C4. Service period at the current position:	
C5. Cell/Telephone of Supervisor	

C6. Email:	
C7. Total No. of Publications in Ranked journals (with SCImago Journal Rank or JCR Impact Factor)	
C8. Total No. of Publications in non-Ranked journals (Non-ranked peer-reviewed journals)	

**D. Request for Support made**

SN	Support	Amount	Request for support made (Indicate by √)
1	Field study	NRs.20,000	
2	Study material	NRs.20,000	
3	Printing	NRs.20,000	

**E. Institutional Compliance/Compatibility with the UGC Minimum Standard for PhD**

**Q. (Nepalese University)** Does the institution you are enrolled in comply with the UGC Minimum Standard and Procedure for PhD Degree 2073?

( ) Yes - You are eligible to apply for the UGC PhD Fellowship

( ) No - You are not eligible to apply for the UGC PhD Fellowship

**Q. (Foreign University)** Is the institution you are enrolled in compatible with the UGC Minimum Standard and Procedure for PhD Degree 2073 ?

( ) Yes - You are eligible to apply for the UGC PhD Fellowship

( ) No - You are not eligible to apply for the UGC PhD Fellowship

**F. Academic Record**

Degree	Year	Major Subjects	Division/ Grade	Percentage (%)	Board/ University
MPhil					
<b>Master</b>					

**G. Publication Record**

1. Research Publication in <b>Ranked/Peer-Reviewed Journals/Proceedings</b>		
	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Rank*/IF (Year)
1		
2		
3		

**H. References**

Provide details of TWO referees who may be in better position to explain why you should be considered for this funding. They should not have any family relations with you.

	Referee 1	Referee 2
--	-----------	-----------

Name		
Organization		
Designation		
Phone Number		
Email		

**I. Documents Required (Check  $\checkmark$  if included)**

1. PhD Research Proposal accepted by University		5. Recommendation Letter from Supervisor	
2. Copy of Citizenship		6. Certification of 'No Support from Other Source'*	
3. Copies of Academic Diplomas (Masters and above)		7. Curriculum Vitae	
4. Copy of Equivalence Certificate (if any)		8. Field Visit Plan/Study Material List	

\*Certification by Supervisor or Head of the institution stating that the applicant has not received any financial support for PhD program from any other source.

**J. Endorsement by the Department and the Supervisor**

We certify that statements made above by the candidate have been verified and found true. If the applicant is selected for the partial financial support for his/her thesis, he/she will be provided with available resources, facilities and guidance necessary to conduct and complete the proposed research in this institution..

Name of the host Institution/Department: .....

.

[Official Seal]

\_\_\_\_\_  
Signature

Name: .....

..

Designation: .....

...

Date: .....

..

(Thesis Supervisor)

\_\_\_\_\_  
Signature

Name: .....

Designation: .....

Date: .....

(Head of the host department)

**K. Undertaking by the Applicant**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for PhD/MPhil Degree, 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true and the research proposal I have submitted is original and has not been submitted in full or in part to any other agency seeking a grant. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of funding and/or rejection of application.

\_\_\_\_\_  
Signature



Name: .....

Date: .....

<b>Thumb</b>	
Right	Left

## Appendix 3 The UGC Research Grants for Faculty Members

### Appendix 3.1 List of the UGC Research Grants for Faculty Members

List of the UGC Research Grants and Funding Scheme

SN	Program	Class* of Research	Funding** (Rs.)
1	Collaborative Research Grant	A	20,00,000
		B	15,00,000
		C	10,00,000
2	Faculty Research Grant	A	4,00,000
		B	3,00,000
		C	2,00,000
3	Small RDI Grant	A	1,50,000
		B	1,00,000
		C	75,000
		D	1.50.000

\* Classes:

Class A: Wet laboratory based research

Class B: Social survey research

Class C: Dry lab based or Library based research

Class D: Small Innovation project

\*\* The funding includes an Overhead Cost for the Host Institution of the Principal Investigator. The rate of the Overhead Cost is as per the rule of the institution or not exceeding 10% of the grant.

### Appendix 3.2 Application Form for the UGC Research Grant for Faculty Members (Generic)



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport  
size color  
photo

UG-1

#### The UGC Research Grant for Faculty Members Application Form **Incomplete application will not proceed for evaluation**

You are Applying for:		Application Fee (Only for PI)	Filled by the UGC
1. The UGC Collaborative Research Grant (3 Years)		Rs. 1000	Draft No./Bill No.
2. The UGC Faculty Research Grant (2 Years)		Rs. 500	Date:
3. The UGC Small RDI Grant (1 Year)		Rs. 100	Verified by:

You are Applying as	Type of the Support Requested:
1. Principal Investigator (PI)	1. Full Grant (the UGC bears the full cost)
2. Co-Investigator (Co-I)	2. Matching Grant (I have a co-funding sponsor)

#### Important: Number of Investigators required

- The UGC Collaborative Research Grant (3 Years): Principal Investigator and at least 2 Co-Investigators
- The UGC Faculty Research Grant (2 Years): Principal Investigator and at least 1 Co-Investigator
- The UGC Small RDI Grant (1 Year): Principal Investigator; Co-Investigator (optional)

#### A. Personal Information

A1. Applicant's Full Name:		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:	A6. Underprivileged Group:		A7. Email(s):	
A8. Permanent Address:	A9. Mailing Address:		A10. Contact Telephone Res: Office: Mobile:	
A11. University:	A14. Address of Institution:		A15. Designation:	

A12. Campus/School:		A16. Subject:
A13. Department:		A17. Specialization:

**B. Information about the Proposed Study**

B1. Proposed Title of the Study:				
B2. Cluster: (Indicate by √)	a. Agriculture/Forestry		e. Education	
	b. Science & Technology		f. Humanities & Social Sciences	
	c. Health Sciences		g. Management	
	d. Engineering			
B3. Subject:	B4. Specialization:		B5. Proposed Period of Study	
B6. Proposed Budget:	B7. No. of Investigators:	B8. No. of Students included (for theses):		
		PhD	MPhil	Masters

B9. Co-Investigators (each Co-Investigator should submit separate application form)	
Name of Co-Investigator(s)	Current Institution/Department (Indicate on the right with √, if the institution is a Community Campus)
1.	
2.	
3.	
4.	
5.	
B10. Role of Individual Investigators [Please attach a document with a brief description of the proposed role of the Principal Investigator and each Co-Investigators included above in the proposed study]	
B11. Postdoctoral Position Requested (If any) [The UGC might provide funding to hire a postdoctoral fellow for the Collaborative Research on the basis of need. If you would like to request for this assistance, please state and explain your need and request]	

**C. Research Infrastructure of Institutions**

List the relevant research infrastructure in your institution(s) to conduct the proposed study	
Institute/Department	Research Infrastructure


**D. Academic Record** (Bachelors, Master level, and above)

Degree	Year	Major Subjects	Grade	Board/University

**E. Employment Record** (Please include appointment letter and experience letter complete list in your CV)

Period of service		Designation	Institution	Remarks
From	To			

**F. Publication Record** (Please attach separate sheet if necessary include the complete list in your CV)

1. Major Research Publication in <b>Ranked Journals/Proceedings (SCImago Journal Ranking/JCR Impact Factor)</b>				
	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)		Rank*/IF (Year)	
1				
2				
3				
2. Major Research Publication in <b>Non-Ranked Peer-Reviewed Journals</b>				
	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)		Country	
1				
2				
3				
4				
3. Academic Research Supervision <b>(Please attach separate sheet if necessary)</b>				
	Level (PhD/ MPhil/ Master)	Title	Completion Year (Viva Voice Date)	Name of Student
1				

2				
3				
<b>4. Research Methodology Training (Please include copy of certificate)</b>				
	Organizer	Title	Duration	Date
1				

\*For SCImago Rank, visit: <http://www.scimagojr.com>

**G. List of the UGC and Other Research Grants Received by you** (Please attach a copy of award and the completion letter)

Year	Agency	Program	Title	Period

**Q. Do you have any other UGC funded research project currently running?**

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC Research Grant now

(        ) No - You are eligible to apply for the UGC Research Grant now

**H. Research Proposal**

Please attach your research proposal with the following major components written consistently in any one format (APA, MLA, Chicago, Turabian, Vancouver etc) (limit it to 15-20 pages).

[Important: For the purpose of double blind review, please use the applicant’s name only on the cover page and avoid it appearing in the inside page and citations by replacing your name with “●●●” ]

**H1. Use the following format for RESEARCH PROPOSAL**

<p>Research Proposal format:                  (Note: The sequence of the sections can be altered to suit the discipline and the research methodology applied)</p> <ol style="list-style-type: none"> <li>a. Title</li> <li>b. Abstract</li> <li>c. Background</li> <li>d. Problem Statement</li> <li>e. Literature Review and Research Gaps</li> <li>g. Foundational/Preliminary Work (<i>done by any team member, if any</i>)</li> <li>f. Theoretical/Conceptual Framework</li> <li>g. Conjectures/Hypotheses, Research Questions</li> <li>h. Research Objectives</li> <li>i. Study Design, Methods, Tools and Data Analysis</li> <li>j. Expected Findings</li> <li>k. Novelty and Level of Contribution of the Study</li> <li>l. Expected Outputs (Student Training and Publications)</li> </ol>
--

- m. Limitations and Delimitations
- n. Ethical/Safety Issues
- o. Organization of the Study
- p. Gantt Chart and Detailed Budget\*
- q. References
- r. Association to National Priority\*\* (*explained in a simple language*)

\*See Appendix 3.3 for allowable headings and budget outline

\*\* Refer to The UGC Research Development and Innovation Programs Implementation Guidelines 2017, Section 1.15, for the National Priority List

## H2. Use the following format for DEVELOPMENT/INNOVATION PROPOSAL

### Development/Innovation Proposal Format

(Note: The sequence of the sections can be altered to suit the discipline and the project)

- a. Purpose
- b. Abstract
- c. Background/Context/Problem
- d. Literature Review
- e. Theoretical/Technical Aspect
- f. Significance of the Development/Innovation
- g. Foundational/ Preliminary Work (*done by any team member, if any*)
- h. Development/Innovation Goal/ Objectives
- i. Design / Methodology and Verification
- j. Expected Product
- k. Limitations and Delimitations
- l. Ethical/Safety Issues
- m. Organization of the Final Report
- n. Gantt Chart and Detailed Budget\* (actual)
- o. Bibliography
- p. Association to National Priority\*\* (*explained in a simple language*)

\*See Appendix 3.3 for allowable headings and budget outline

\*\* Refer to The UGC Research Development and Innovation Programs Implementation Guidelines 2017, Section 1.15, for the National Priority List

### I. Additional Eligibility Check

**Q1.** Have you submitted this proposal in full or in part to any other funding agency?

(        ) Yes - You are NOT ELIGIBLE to apply for the UGC Research Grant now

(        ) No - You are eligible to apply for the UGC Research Grant now

**Q2.** Have you submitted any other application beside this one for any UGC research grant in the current season?

(        ) Yes - You can not apply for more than one UGC research grant at one time. STOP HERE.

(        ) No - You are eligible to apply. PLEASE PROCEED.

**J. References**

Provide details of TWO referees who may be in better position to explain why your team should be considered for this funding. They should not have any family relations with you.

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone Number		
Email		

**K. Documents required (Check  if included)**

1. Detailed Research Proposal (3 copies + 1 CD)		7. Copies of First Page of Research Articles with Abstract and an evidence of Rank/Peer-Reviewed Journal (if any)	
2. Copy of Citizenship		8. Curriculum Vitae	
3. Copy of appointment letter and Job Certificate		9. Applications from Co-Investigators	
4. Copies of Academic Diplomas (Masters and above)		10. Previous UGC Grant Certification (if any)	
5. Copy of Equivalence Certificate (if any)		11. Proposed Roles of the Proposed Investigators	
6. Copy of Certificate of Underprivileged Group (if any)		12. Research completion letter/Thesis supervision letter	

**L. Institutional Endorsement (from all institutions where the study will be conducted):**

Statement of Endorsement: The Principal Investigator and Co-Investigators of the proposed study are faculty members in our institutions and are qualified to conduct the proposed study. We confirm for the institutional approval and support to the team in conducting the proposed study at our institutions, if the project is selected for funding from the UGC.		
1. From the Institution of the Principal Investigator		
Name: Designation: Institution: Address:	Signature	Official Seal
2. From the Institution of a Co-Investigator (If different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal
3. From the Institution of a Co-Investigator (If different than above)		
Name: Designation: Institution: Address:		



	Signature	Official Seal
--	-----------	---------------

Note: Add additional rows, if necessary.

**M. Undertaking by the Applicant:**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for PhD/MPhil Degree, 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true and the research proposal I have submitted is original and has not been submitted in full or in part to any other agency seeking a grant. Any research misconduct on my part and the information provided found false at any moment, I shall be liable to disciplinary action, which may result in termination of research funding and/or rejection of application.

\_\_\_\_\_  
 Signature  
 Name: .....  
 (Principal Investigator / Co-Investigator )  
 Date: .....

<b>Thumb</b>	
Right	Left

## Appendix 3.3 UGC Research Grants Budget Outline

### UGC Research Grant for Faculty Members

#### OUTLINE FOR BUDGET ESTIMATE

(Collaborative Research, Faculty Research, Small RDI)

**Funding limit:** Please see Appendix 3.1 for funding limit for various categories of research and grants.

(Please show the budget estimate in yearly basis)

#### A. Personnel Cost

- A.1. Special task\* based remuneration to Investigators and Students (not exceeding 10% of the grant)
- A.2. Benefits (travel insurance and special need cost, if any)

#### B. Laboratory Costs

- B.1. Speciality Computer and Software (specify)
- B.2. Equipments and Instruments (specify)
- B.3. Special Reagents/Kits (specify)
- B.4. Chemicals
- B.5. Consumables
- B.6. Service and Repair cost
- B.7. Laboratory upgrading cost sharing
- B.8. Testing service cost
- B.9. Other (specify)

#### C. Field costs

- C.1. Travel costs (Investigators, Assistants, Enumerators)
- C.2. Daily allowance (Investigators, Assistants, Enumerators)
- C.3. Survey cost (hiring, subjects compensation, refreshment, special need)
- C.4. Rental cost
- C.5. Other (specify)

#### D. Office costs

- D.1. Office Equipments
- D.2. Computer and software
- D.3. Office supplies
- D.4. Communication

#### E. Consultant Services

- E.1. Training
- E.2. Special Professional Service
- E.3. Data Analysis

#### F. Student Support

- F.1. Thesis Proposal Preparation Cost
- F.2. Research Cost (if separate)
- F.2. Thesis Preparation Cost

#### G. Facilities and Administrative Cost

- G.1. Institutional Overhead Cost (as per rule of the institution or not exceeding 10%)
- G.2. Project Accounting and Auditing

- G.3. Administrative Travel Cost
- G.4. Proposal Preparation Cost
- G.5. Documentation and Publication Cost
- G.6. Contingency Cost (not exceeding 5% of the total project cost)

**Note:**

\* Special tasks include preparation of Research Proposal, Progress Report, Research article manuscript and Final Report, conduction of special experiment, data analysis, accounting and any other tasks approved by the UGC.

### Appendix 3.4 Application Form for the Included Student



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

RG-S

Affix a  
passport  
size color  
photo

The UGC Small RDI/Faculty/Collaborative Research Grant

#### Application by Student

(to be submitted at the time of Research Grant Award)

#### A. Personal Information

A1. Applicant's Full Name (Student):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:	A6. Underprivileged Group:		A7. Email(s):	
A8. Permanent Address:		A9. Mailing Address:		A10. Contact Telephone Res: Office: Mobile:
A11. University:		A14. Address of Institution:		A15. Degree registered:
A12. Campus/School:				A16. Subject:
A13. Department:				A17. Specialization:

#### B. Information about the Proposed Study

B1. Type of the UGC Research Grant applied by the Principal Investigator (indicate by $\checkmark$ )			
Collaborative Research		Faculty Research	Small RDI
B2. Proposed Title of the Study:			
B3. Period of Study:	B4. Proposed Budget:	B5. No. of Investigators:	B6. No of Students:

B7. Research Team (PI, Co-I and students should submit separate application form)

Name of Principal Investigator	Role	Current Institution/Department

Name of Co-Investigator/s (if any)	Role	Current Institution/Department
Name of Student/s	Registered Degree for	Current Institution/Department

**C. Academic Record of Student**

Degree	Year	Major Subjects	Grade	Board/University

**D. Employment Record of Student** (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			

**E. Publication Record of Student** (Please include the complete list in your CV)

1. Major Research Publication in <b>Ranked Journals/Proceedings (SCImago Journal Ranking/JCR Impact Factor)</b>		
	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Rank*/IF (Year)
1		
2		
2. Major Research Publication in <b>Non-Ranked Peer-Reviewed Journals</b>		
	Format: Authors, Title, Journal, Volume (Number), First page - Last page (Year)	Country
1		
2		

\*For SCImago Rank, visit: <http://www.scimagojr.com>

**F. List of UGC and Other Research Grants awarded to you** (Please attach a copy of the completion letter)

Year	Program	Title	Period

<p><b>Q. Do you have any other UGC funded research project currently running?</b></p> <p>(        ) Yes - You are NOT ELIGIBLE to apply for the UGC Research Support now</p> <p>(        ) No - You are eligible to apply for the UGC Research Support now</p>			

**G. References**

Provide details of TWO referees who may be in better position to explain why you and your team should be considered for this funding. They should not have any family relations with you.

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone Number		
Email		

**H. Documents required (Check  $\checkmark$  if included)**

1. Copy of Citizenship		4. Copy of Certificate of Underprivileged Group (if any)	
2. Copies of Academic Diplomas (Bachelors and above)		5. Copies of First Page of Research Articles with Abstract (if any)	
3. Copy of Equivalence Certificate (if any)		6. Curriculum Vitae	

**I. Endorsement by the Principal Investigator**

I affirm that the applicant is the student included in the research project led by me, for his/her Bachelors / Masters / MPhil / PhD thesis. I / my team will supervise the student for the thesis as per the requirement of the Institution in which the student is enrolled for the program.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

**J. Undertaking by the Applicant:**

I hereby declare that I have read (a) The UGC Minimum Standard and Procedure for PhD/MPhil Degree, 2073, (b) The UGC Policy and Procedure against Research Misconduct, and (c) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

<b>Thumb</b>	
Right	Left

**Appendix 3.5 Collaborative Research Grant Proposal Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

*Collaborative Research Grant Proposal Evaluation Form*

Applicant's Code: ... .. Cluster: ... ..

Title of the Proposal: ... ..

1. Evaluation of the Proposal:							
Indicators		Rating (Please circle the number OR give your own mark)					SCOR E
		Absent	Poor	Fair	Good	Excellent	
a	Research Title <i>(Specific, clear)</i>	0	0.63	1.25	1.87	2.5	
b	Abstract <i>(Summarized very well)</i>	0	0.63	1.25	1.87	2.5	
c	Background, Problem Statement <i>(Adequate, relevant, well-stated)</i>	0	0.63	1.25	1.87	2.5	
d	Literature Review and Research Gaps <i>(Adequate, relevant and gaps identified)</i>	0	0.63	1.25	1.87	2.5	
e	Foundational / Preliminary Work (done by the Investigators) <i>(Relevant and strongly supporting to the study)</i>	0	2.5	5	7.5	10	
f	Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions <i>(Well framed)</i>	0	1.25	2.5	3.75	5	
g	Research Objectives <i>(Academically interesting, adequate, achievable)</i>	0	2.5	5	7.5	10	
h	Study Design, Methods, Tools and Data analysis <i>(Faultless, advanced, well-suited and skillful)</i>	0	2.5	5	7.5	10	
i	Expected Findings <i>(Envisioned Clearly and academically significant)</i>	0	1.25	2.5	3.75	5	
j	Novelty and Level of Contribution of the Study <i>(High)</i>	0	1.25	2.5	3.75	5	
k	Expected Outputs (Student Theses and Publications) <i>(High target and commitment)</i>	0	1.25	2.5	3.75	5	
l	Limitations and Delimitations <i>(Honestly described and reasonable)</i>	0	0.63	1.25	1.87	2.5	
m	Ethical and Safety Issues <i>(Well-addressed, even when not-applicable)</i>	0	0.63	1.25	1.87	2.5	
n	Gantt Chart <i>(Well-planned)</i>	0	0.63	1.25	1.87	2.5	
o	Organization, Format <i>(Well-organized, Standard format followed,</i>	0	0.63	1.25	1.87	2.5	



	<i>uniformity)</i>						
p	Association to National Priority ( <i>Met and well-described</i> )	0	2.5	5	7.5	10	
Total score (out of 80) "A" =							
4. Result	Pass (40 marks or more)	<input type="checkbox"/>	Fail (less than 40 marks)	<input type="checkbox"/>			

<b>2. Reviewer's comments and recommendations</b>
A. Major Strengths of the Proposed Study:
B. Major Weaknesses of the Proposed Study:
C. Suggestions for the Improvement/Revision of the Proposal: [Add additional sheets if necessary]
D. Recommended Budget and Justification:
<p>_____ Reviewer's Signature</p> <p>Reviewer's Full Name: ... ..</p> <p>Reviewer's Institution: ... ..</p> <p>Reviewer's Subject of Expertise: ... ..</p> <p>Date: ... ..</p>

**Appendix 3.6 Format for the Oral Presentation of the Research Proposal (all)**

Suggested Format for the Oral Presentation of the Research Proposal (Faculty/ PhD Fellow)

Prepare 10-15 slides

(Note: Sequence of the sections can be altered to suit the discipline and the research)

1. Title, Research Team, Affiliations
2. Problem Statement
3. Relevant Research Gaps
4. Relevant Previous Studies (*done by any team member, if any*)
5. Theoretical/Conceptual Framework
6. Conjectures/Hypotheses, Research Questions
7. Research Objectives
8. Study Design, Methods, Tools and Data Analysis
9. Preliminary Result (if any)
10. Expected Findings of the Study
11. Novelty, Scientific and National Importance of the Study.
12. Expected Outputs (student training, publication)
13. Organization of the Study (Chapter plan)
14. Gantt Chart
15. Detailed Budget
16. Major References

**Appendix 3.7 All Faculty Research Proposal Oral Presentation Evaluation Form**

University Grants Commission

Sanothimi, Bhaktapur

*Small RDI/Faculty /Collaborative Research Proposal Oral Presentation Evaluation*

Name of the Principal Investigator: ... ..

Cluster: ... ..Subject: ... ..

Title of the Proposal: ... ..

A. Evaluation of the Presentation							
Indicators	Rating (Please circle the number OR give your own mark)					SCORE	
	Absent	Poor	Fair	Good	Excellent		
1	Quality of the Research Proposal (28)						
	a. Research Title <i>(Specific, clear)</i>	0	1	2	3	4	
	b. Problem Statement, Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions <i>(Well framed)</i>	0	1	2	3	4	
	c. Foundational/Preliminary work (done by the Investigators) <i>(Adequate, promising)</i>	0	1	2	3	4	
	d. Research Objectives <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
	e. Methodology <i>(Advanced, well-suited)</i>	0	1	2	3	4	
	f. Work Plan <i>(Well planned and scheduled)</i>	0	1	2	3	4	
	g. Expected Findings and Output <i>(Envisioned clearly, significant, national priority, high potential for publication)</i>	0	1	2	3	4	
	h. Budgeting <i>(Reasonable, well-planned)</i>	0	1	2	3	4	
2	Competence of the candidate/Team (18)						
	a. Depth of the knowledge of the subject <i>(Candidate/team has in-depth knowledge of the study subject)</i>	0	1	2	3	4	
	b. Understanding of research opportunity <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	
	c. Skill (methodology, analysis) <i>(The team has adequate technical skill)</i>	0	1	2	3	4	
	d. Enthusiasm for research publication <i>(Candidate has enthusiasm for publication and familiarity with quality journals, and commitment to students' theses)</i>	0	1	2	3	4	

3	Quality of the presentation (14)						
	a. Well-organized	0	1	2	3	4	
	b. Fluently delivered	0	1	2	3	4	
	c. Impressive answers during Q/A	0	1	2	3	4	
Total (out of 60)							
4. Result		Pass (30 marks or more) <input type="checkbox"/>			Fail (less than 30 marks) <input type="checkbox"/>		

<b>Evaluator's Comments (Mandatory)</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Your Impression about the Competence of the Investigators for the Proposed Study:	
<input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Moderate <input type="checkbox"/> Poor	
D. Your recommendation and Justification for the Grant Award to the Proposed Study :	
<input type="checkbox"/> Award the Grant <input type="checkbox"/> Not Sure <input type="checkbox"/> Do Not Award the Grant	
Justification for Your Recommendation: <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
E. Suggestions for the Improvement/Revision of the Proposal: [Use additional Sheets if Needed]	
F. Recommended Budget and Justification:	
Evaluator's Signature: ..... Evaluator's Full Name: ..... Evaluator's Institution / Cluster Committee: ..... Evaluator's Subject of Expertise: ..... Date: .....	

<b>To be Filled by the UGC:</b>
Interrater Deviation Score:

Completeness: \_\_\_\_\_  
Checked by: \_\_\_\_\_

### Appendix 3.8 Evaluation of the Application for the Collaborative Research Grant

University Grants Commission  
Research Division

Evaluation of the Application for the *Collaborative Research Grant*

Name of Principal Investigator: \_\_\_\_\_

University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicators and marks	Maximum Score	Marks Scored
1	Academic Record of the Principal Investigator Postdoctoral or equivalent research experience (2 per year) Teaching in HEI (1 0.5 per year)	4	
2	Publication Record of the Principal Investigator Patent (5 for each) Article in journal/Proceeding with Q1 SJR (5 for each) Article in journal/Proceeding with Q2 or below SJR (3 for each, Maximum marks 12) Article in other peer-reviewed journal/Proceeding (1 for each, Maximum marks 9) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	15	
	Publication Record of the Co-Investigators (cumulative) Patent (1.5 for each) Article in journal/Proceeding with Q1 SJR (1.5 for each) Article in journal/Proceeding with Q2 or below SJR (1 for each, Maximum marks 5) Article in other peer-reviewed journal/Proceeding (0.5 for each, Maximum marks 3) Patent/Rank Journal/Proceeding (2 for each) Article in other peer-reviewed journal/Proceeding (1 for each, Maximum marks 5) Research experience/supervision of academic research (Phd-2 Marks for each, Maximum marks-6, Master/ MPhil thesis supervision 1 for each, Maximum Marks-5) <i>[Note: See above.]</i>	8	
3	Research experience/supervision by P-Investigators (cumulative) PhD thesis supervision (2.5 for each) Research experience (2 for each, maximum marks-4) Master/ MPhil thesis supervision: (1 for each, Maximum marks 3)	5	

4	Broader Collaboration Three or more Co-Investigators (2)	2	
5	Commitment to include Students in the project Student for PhD degree (5 for each) Student for MPhil/Masters theses (2.5 for each-Maximum Marks-7.5) Student for Bachelors dissertation (2.5 for each- Maximum Marks -6) Student for Bachelors Project (1.5 for each, Maximum Marks - 4.5)	10	
6	Underprivileged group Candidate* Woman (2); Dalit/Janajati/Madhesi (2); Disability (2); Remote/Community campus (2)	8	
7	Research collaboration with Community Campus PI/Co-I from Community campus collaborated (4) PI/Co-I from Community Campus outside Kathmandu (4)	8	
Subtotal		60	
8	Proposal Evaluation (by two national reviewers)	80	
9	Presentation Evaluation (or evaluation by an international reviewer)	60	
Grand Total		200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

Scored by

Verified by

Approved by

## Appendix 3.9 The UGC Research Grant Agreement with Faculty Members

### UNIVERSITY GRANTS COMMISSION

Sanothimi, Bhaktapur, Nepal

#### *The UGC Small RDI / Faculty / Collaborative Research Grant Agreement*

[Subject to revision by the UGC at the time of Agreement]

This agreement is made on this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission, Sanothimi, Bhaktapur , Nepal  
and
2. [Name of the Principal Investigator ]
3. [Name of the first Co-Investigator ]
4. [Name of the second Co-Investigator ]
5. [Name of additional Co-Investigator], if any (add as required)
6. [Name of the Host Institution of the Principal Investigator ]
7. [Name of the Host Institution of the Co-Investigator(s), if different ]  
(hereafter, referred to as “parties”)

in connection with the *UGC Small RDI / Faculty / Collaborative Research Grant* awarded to the research team led by the Principal Investigator \_\_\_\_\_ for the Collaborative \_\_\_\_\_ Research \_\_\_\_\_ Project \_\_\_\_\_ titled \_\_\_\_\_.

The parties hereby agree to abide by the following terms and conditions:

#### Terms and Conditions

##### A. Right, Duties and Obligation of the UGC

1. Determine the amount of the grant to be awarded for the Collaborative Research Project based on the proposed budget on the Research Proposal and the needs assessment made by the Research Division based further on the recommendations made by the Reviewers of the Proposal.
2. Disburse the approved grant in installments to the Host Institution of the Principal Investigator according to the scheme outlined in Section B of this agreement.
3. Periodically monitor the progress.
4. Take action in the case of unsatisfactory progress, negligence or misconduct on the part of the Investigators and the lack of cooperation of the research project on the part of the Host Institution.
5. Assist the Host Institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.
6. Provide a Certificate of Grant Award and Completion to the Principal Investigator and the Co-Investigators upon the completion of the project marked by the submission of the final report of the Project to the UGC.



**B. Grant Disbursement**

1. The *Small RDI / Faculty / Collaborative* Research Budget Estimate prepared based on the budget estimate outline shown in Appendix 3.3 and approved by UGC as an estimate is attached in Annex of this agreement and shall be used as a reference for allowable expenditure and approval by the UGC for adjustment during the project period.
2. The Research Fund is transferred to the Host Institution of the Principal Investigator in installments outlined in the Table below to be disbursed by the Host Institution to the Principal Investigator following the procedure outlined in Article B-5.
3. The procedure for the disbursement of the Research Fund from the Host Institution to the Principal Investigator in installments as requested by the PI is as follows:
  - a. The Principal Investigator and Co-Investigators prepare a plan for research activities/procurement with cost estimation and submit it to the UGC for approval.
  - b. The UGC provides a letter of approval to the Principal Investigator. The UGC may also suggest a revision in the plan.
  - c. The Principal Investigator submits a request for the fund to the Host Institution along with the plan of activities/procurement and cost estimation, and the letter of approval received from the UGC.
  - d. The Host Institution disburses the requested funds to the Principal Investigator
  - e. The Host Institution audits the Research Project expenditure following the rules of the Institution.
4. The Overhead Cost is for covering research management costs in the Institutions. Research Management Cell or any equivalent body in the Institutions is expected to receive a part or whole of the Overhead Cost.

<b>Collaborative Research Grant</b>	
<b>A. Research Fund</b> (Transferred to the Host Institution of the Principal Investigator)	
Amount (Rs.)	Installments
	<ol style="list-style-type: none"> <li>1. 20% after the signing of the agreement</li> <li>2. 40% after the submission of the first Progress Report (Inception Report) to the UGC</li> <li>3. 20% after the submission of the progress report prior to the final report to the UGC</li> <li>4. 20% after submitting the duly completed final report to the UGC</li> </ol>
<b>B. Institutional Overhead Cost</b> (Paid to the Host Institution of the Principal Investigator)	
Amount (Rs.)	Disbursement
	<ul style="list-style-type: none"> <li>• To the Host Institution of the Principal Investigator</li> <li>• In the same installments scheme as for Research Fund</li> </ul>

5. The parties understand that as the research project progresses, depending upon the results obtained and prevailing condition of market, the headings and the estimate of expenditure may need adjustment.
6. Any adjustment in the budget estimate made by Investigators must be reported to UGC in separate communication or in periodic Progress Reports and Final Report and UGC has right to accept, reject or suggest revision.

7. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution
8. For any patentable invention, a separate agreement complying with the policies of universities to which the Investigators belong shall be made
9. The Final Report must include the financial report of the research project

### **C. Obligation of the Host Institutions**

#### *1. Obligation of all Host Institutions*

- i. Provide full institutional support to the research team and the research project.
- ii. Assist the Principal Investigator and the Co-Investigators in regard to fulfilling their obligation to supervise thesis students as specified in Article D-1.
- iii. Have an institutional code of academic integrity and procedure to address research misconduct in place and ensure strict adherence to them by the Institution, the research team and all members of the Institution (subject to Article A-5).
- iv. Abide by the UGC regulations related to research and academic programs.
- v. Monitor the progress of the project and facilitate any monitoring by the UGC.

#### *2. Obligation of the Host Institution of the Principal Investigator*

- i. Accept the institutional overhead cost paid by the UGC to cover the overhead cost in connection with the research project and to support Research Management Cell or equivalent body in the institution.
- ii. Accept the installment of the research grant disbursed by the UGC for the research project.
- iii. Disburse the research grant received from the UGC to the Principal Investigator according to the scheme outlined in the Section B.
- iv. Audit the financial statement of the Research Project as per rules of the Institution.
- v. Refund the unused fund of the grant received from to the UGC, if the research project is terminated or not completed within the specified time or the deadline extended by the UGC.

### **D. Obligation of the Principal Investigator and Co-Investigators**

1. Supervise at least [one/two/three Masters/MPhil students or a PhD student and a Masters/MPhil] students for their theses by providing these research projects based on or complementary to the research project awarded by this agreement and funding them.
2. Maintain the highest level of academic integrity and research ethics.
3. Make honest and best use of the research fund. The research fund can only be used to cover allowable expenditure as specified in the Budget Estimatet. All applicable financial rules must be followed for payments.
4. Accommodate the UGC's reviewers' suggestions on the research proposal and periodic progress reports.
  1. Submit a progress report every six months. The progress report should be 5-10 pages and include progress in research, academic activities and a financial statement on the spending of the research fund. (Suggested format in Appendix 5.4)
5. Make an oral presentation on the progress of the work at the end of every year (Appendix 5.5).
6. Publish at least one/two original research article(s) based on the research work on high JCR Impact Factor/ SJR ranked journals or two/ three research articles in non-impact Factor/ non-ranked indexed journals or the UGC recognized peer-reviewed journals.

**E. Other Conditions**

1. The Principal Investigator and Co-Investigators declare that the proposed research is original and has not been submitted in full or in part in full or in part to any funding agency for funding.
2. The Principal Investigators and Co-Investigators declare that they have read and understood The UGC Guidelines regarding Research Misconduct and The UGC Procedure for Addressing Allegation of Research Misconduct and declare commitments to abide by these guidelines and procedure.
3. All the terms and conditions mentioned in the *UGC Research, Development and Innovation Programs Implementation Guidelines 2017* are applicable.
4. Before the agreement, the UGC will provide to the research team the comments of the proposal reviewers and the oral presentation evaluators and the information about the grant approved by the UGC. The team is required to revise the research proposal and the budget accordingly.
5. After signing the agreement, any major changes in the title or the objectives of the research project are not allowed. A minor change may be permitted by the UGC upon the recommendation of the UGC reviewers, the Cluster Committee or the Evaluation Committee.
6. Progress reports, publications in peer-reviewed journals, paper presentations in seminars/workshops, etc. are the major output indicators to be used to evaluate the performance of the Researchers.
7. The Investigators and the Students conducting the research must maintain a Research Logbook recording all activities and relevant notes on a daily basis (all active days).
8. If the progress is found unsatisfactory by the UGC reviewers and monitoring officers, the UGC will notify the Principal Investigator, Co-Investigators and the Institution and give direction for improvement. The UGC might take action, including a request to the Host Institution to withhold the disbursement of the Research Fund or the termination of the contract if a persistent lack of progress and negligence are found.
9. Research misconduct and any unethical activity are punishable. It is the Host Institution's obligation to conduct the investigation on any suspected or alleged research misconduct. Institutions that do not have adequate resources to conduct such an investigation might request the UGC for assistance. Any proceeding in the case of research misconduct will involve four steps of action consisting of Inquiry, Investigation, Adjudication and Appeal, and shall be carried out with fairness and expedience as fundamental principles.
10. The Small RDI/Faculty/Collaborative Research must be completed within 1/2/3 years from the date of the first installment of the grant is disbursed. Extension for one more year may be considered if the research team makes a request, on a justifiable cause, to the UGC. The grant is closed at the end of the second/third/fourth year.
11. The materials purchased with the research fund are the property of the Institution or the laboratory of the Principal Investigator at the Institution.
12. In case of disputes with any issues with this agreement, the UGC reserves the rights to give the final decision.

1. On behalf of the UGC

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 University Grants Commission  
 Date: \_\_\_\_\_

2. Principal Investigator

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_

3. Co-Investigator-1

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

4. Co-Investigator-2

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

3. Co-Investigator-3

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

4. On behalf of the Host Institution-1

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

3. On behalf of the Host Institution-2

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

4. On behalf of the Host Institution-3

Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Appendix 3.10 Faculty/Small Research Grant Proposal Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

*Faculty/Small Research Grant Proposal Evaluation Form*

Applicant's Code: ... .. Cluster. ... ..

Title of the Proposal: ... ..

1. Evaluation of the Proposal:							
Indicators	Rating (Please circle the number OR give your own mark)					SCORE	
	Absent	Poor	Fair	Good	Excellent		
a	Research Title (Specific, clear)	0	0.7 5	1.5	2.2 5	3	
b	Abstract (Summarized very well)	0	0.7 5	1.5	2.2 5	3	
c	Background, Problem Statement (Adequate, relevant, well-stated)	0	0.7 5	1.5	2.2 5	3	
	Literature Review and Research Gaps (Adequate, relevant and gaps identified)	0	0.7 5	1.5	2.2 5	3	
	Foundational/Preliminary Work (done by the Investigators) (Relevant and strongly supporting to the study)	0	0.7 5	1.5	2.2 5	3	
e	Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions (Well framed)	0	1.5	3	4.5	6	
g	Research Objectives (Academically interesting, adequate, achievable)	0	3	6	9	12	
h	Study Design, Methods, Tools and Data analysis (Faultless, advanced, well-suited and skillful)	0	3	6	9	12	
i	Expected Findings (Envisioned clearly and academically significant)	0	0.7 5	1.5	2.2 5	3	
j	Novelty and Level of Contribution of the Study (High)	0	1.5	3	4.5	6	
k	Expected Outputs (Student Theses and Publications) (High target and commitment)	0	1.5	3	4.5	6	
l	Limitations and Delimitations (Honestly described and reasonable)	0	0.7 5	1.5	2.2 5	3	
m	Ethical and Safety Issues (Well-addressed, even when not-applicable)	0	0.7 5	1.5	2.2 5	3	

n	Gantt Chart (Well-planned)	0	0.7 5	1.5	2.2 5	3	
o	Organization, Format (Well-organized, Standard format followed, uniformity)	0	0.7 5	1.5	2.2 5	3	
m	Association to National Priority (Met and well-described)	0	2	4	6	8	
Total score (out of 80) "A" =							
4. Result		Pass (40 marks or more) <input type="checkbox"/>		Fail (less than 40 marks) <input type="checkbox"/>			

<b>2. Reviewer's comments and recommendations (Mandatory)</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Suggestions for the Improvement/Revision of the Proposal: [Use additional sheets if necessary]	
D. Recommended Budget and Justification:	
<p>_____ Reviewer's Signature</p> <p>Reviewer's Full Name: ... ..</p> <p>Reviewer's Institution: ... ..</p> <p>Reviewer's Subject of Expertise: ... ..</p> <p>Date: ... ..</p>	

### Appendix 3.11 Evaluation of the Application for the Faculty Research Grant

University Grants Commission  
Research Division

#### Evaluation of the Application for the *Faculty Research Grant*

Name of Principal Investigator: \_\_\_\_\_

University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicators and Marks	Maximum Score	Marks Scored
1	Academic Record of Principal Investigator Postdoctoral or equivalent research experience (1 per year) PhD degree (3) Teaching in HEI (1 per year, Maximum marks 3)	5	
2	Publication Record of Principal Investigator Patent (6 for each) Article in journal/Proceeding with Q1 SJR (6 for each) Article in journal/Proceeding with Q2 or below SJR (4) for each) Article in other peer-reviewed journal/Proceeding (2 for each, Maximum marks 8) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	12	
	Publication Record of Co-Investigators (cumulative) Patent (4 for each) Article in journal/Proceeding with Q1 SJR (4 for each) Article in journal/Proceeding with Q2 or below SJR (3 for each) Article in other peer-reviewed journal/Proceeding (1.5 for each, Maximum marks 4.5) <i>[Note: see above.]</i>	8	
3	Research experience/supervision by Investigators (cumulative) PhD thesis supervision (2.5 for each) Master/ MPhil thesis supervision: (1 for each, Maximum marks 3)	5	
4	Broader Collaboration Two or more Co-Investigators (2)	2	
5	Commitment to include Students in the project Student for PhD degree (12 for each) Student for MPhil/Masters theses (4 for each) Student for Bachelors dissertation (4 for each) Student for Bachelors Project (2 for each)	12	
6	Underprivileged Group Candidate*	8	

	Woman (2); Dalit/Janajati/Madhesi (2); Disability (2); Remote/Community campus (2)		
7	Research collaboration with Community Campus Community campus collaborated (4) Community Campus outside Kathmandu (4)	8	
Subtotal		60	
8	Proposal Evaluation (by two national reviewers)	80	
9	Presentation Evaluation (or evaluation by an international reviewer)	60	
Grand Total		200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

\_\_\_\_\_  
Scored by

\_\_\_\_\_  
Verified by

\_\_\_\_\_  
Approved by



**Appendix 3.12 Small "Development/Innovation" Proposal Evaluation Form**

University Grants Commission

Sanothimi, Bhaktapur

Small "Development/Innovation" Proposal Evaluation Form

**[For Small "Development/Innovation" project, not for Small "Research" project]**

Applicant's Code: ... .. Cluster ... ..

Title of the Proposal: ... ..

1. Evaluation of the Proposal:							
Indicators		Rating (Please circle the number OR give your own mark)					SCORE
		Very Poor	Poor	Fair	Good	Excellent	
a	Purpose Statement <i>(Specific, clear)</i>	0	0.7 5	1.5	2.2 5	3	
b	Abstract <i>(Summarized very well)</i>	0	0.7 5	1.5	2.2 5	3	
c	Background/ Context/ Problem <i>(Adequate and well-contextualized)</i>	0	0.7 5	1.5	2.2 5	3	
d	Literature Review <i>(Adequate, well-contextualized and carefully selected)</i>	0	0.7 5	1.5	2.2 5	3	
e	Theoretical/Technical Aspect <i>(Well-developed and adequate)</i>	0	1.5	3	4.5	6	
f	Significance of the Development/Innovation <i>(Innovative and existing problem-solving)</i>	0	1.5	3	4.5	6	
g	Foundational/Preliminary Work (done by the Investigators) <i>(Relevant and strongly supporting to the project)</i>	0	3	6	9	12	
h	Development/Innovation Goal/Objectives <i>(Valuable, adequate, achievable)</i>	0	3	6	9	12	
i	Design/ Methodology and Verification <i>(Advanced, well-suited and adequate)</i>	0	3	6	9	12	
j	Expected Product <i>(Clear and commercially/socially significant)</i>	0	0.7 5	1.5	2.2 5	3	
k	Limitations and Delimitations <i>(Honestly described and reasonable)</i>	0	0.7 5	1.5	2.2 5	3	
l	Ethical and Safety Issues <i>(Well-addressed, even when not-applicable)</i>	0	0.7 5	1.5	2.2 5	3	
m	Gantt Chart <i>(Well-planned)</i>	0	0.7 5	1.5	2.2 5	3	
n	Organization, Format <i>(Well-organized, Standard format followed,</i>	0	0.7 5	1.5	2.2 5	3	

	<i>uniformity)</i>						
o	Association to National Priority (Met and well-described)	0	1.2 5	2.5	4.7 5	5	
Total score (out of 80) "A" =							
4. Result	Pass (40 marks or more)	<input type="checkbox"/>	Fail (less than 40 marks)	<input type="checkbox"/>			

<b>2. Reviewer's comments and recommendations (Mandatory)</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Suggestions for the Improvement/Revision of the Proposal: [Add additional sheets if necessary]	
D. Recommended Budget and Justification:	
<p>_____ Reviewer's Signature</p> <p>Reviewer's Full Name: ... ..</p> <p>Reviewer's Institution: ... ..</p> <p>Reviewer's Subject of Expertise: ... ..</p> <p>Date: ... ..</p>	

**Appendix 3.13 Small "Development/Innovation" Proposal Oral Presentation Evaluation**

University Grants Commission

Sanothimi, Bhaktapur

*Small "Development/Innovation" Proposal Oral Presentation Evaluation Form*

Name of the Applicant: .....

Cluster: .....Subject: .....

Title of the Proposal: .....

A. Evaluation of the Presentation							
Indicators	Rating (Please circle the number OR give your own mark)					SCORE	
	Absent	Poor	Fair	Good	Excellent		
1	Quality of the Development/Innovation Project (28)						
	a. Purpose Statement <i>(Specific, clear)</i>	0	1	2	3	4	
	b. Foundational/Preliminary work (done by the Investigators) <i>(Adequate, promising)</i>	0	1	2	3	4	
	c. Theoretical/Technical Framework <i>(Well framed)</i>	0	1	2	3	4	
	d. Development/Innovation Goal <i>(Valuable, adequate, achievable)</i>	0	1	2	3	4	
	e. Design / Methodology and Verification <i>(Advanced, well-suited and adequate)</i>	0	1	2	3	4	
	f. Work Plan <i>(Well planned)</i>	0	1	2	3	4	
	g. Expected Product <i>(Clear and commercially/socially significant)</i>	0	1	2	3	4	
	h. Budgeting <i>(Reasonable, well-planned)</i>	0	1	2	3	4	
2	Competence of the candidate (18)						
	a. Depth of the Knowledge of the Subject <i>(Candidate has in-depth knowledge of the project subject)</i>	0	1	2	3	4	
	b. Understanding of Innovation Opportunity <i>(Candidate could convince that the project is significantly new and contributing)</i>	0	1	2	3	4	
	c. Experience and Technical Skill <i>(Candidate has relevant experience and technical skill)</i>	0	1	2	3	4	

	d. Knowledge and Passion for Intellectual Property <i>(Candidate has passion and sufficient knowledge about intellectual property issues)</i>	0	1	2	3	4	
3	Quality of the presentation (14)						
	a. Well-organized	0	1	2	3	4	
	b. Fluently delivered	0	1	2	3	4	
	c. Impressive answers during Q/A	0	1	2	3	4	
TOTAL SCORE (Out of 60)							
4. Result	<input type="checkbox"/> Pass (30 marks or more)	<input type="checkbox"/> Fail (less than 30 marks)					

<b>Evaluator's Comments (Mandatory)</b>	
A. Major Strengths of the Proposed Study:	
B. Major Weaknesses of the Proposed Study:	
C. Your Impression about the Competence of the Investigator for the Proposed Study:	
<input type="checkbox"/> Excellent	<input type="checkbox"/> Good
<input type="checkbox"/> Moderate	<input type="checkbox"/> Poor
D. Your recommendation and Justification for the Grant Award to the Proposed Study :	
<input type="checkbox"/> Award the Grant	<input type="checkbox"/> Not Sure
<input type="checkbox"/> Do Not Award the Grant	
Justification for Your Recommendation:	
E. Suggestions for the Improvement/Revision of the Proposal: [Use additional Sheets if Needed]	
F. Recommended Budget and Justification:	
Evaluator's Signature: ... ..	

Evaluator's Full Name: ... ..  
Evaluator's Institution / Cluster Committee: ... ..  
Evaluator's Subject of Expertise: ... ..  
Date: ... ..

**Appendix 3.14 Evaluation of the Application for the Small RDI Grant**

University Grants Commission  
Research Division

**Evaluation of the Application for the *Small RDI Grant***

Name of Principal Investigator: \_\_\_\_\_  
University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicators and Marks	Maximum Score	Marks Scored
1	Academic Record of Principal Investigator Postdoctoral or equivalent research experience (2 per year) PhD degree (4) Teaching in HEI (1 per year, Maximum marks 4)	8	
2	Publication Record of Principal Investigator Patent (12 for each) Article in journal/Proceeding with Q1 SJR (12 for each) Article in journal/Proceeding with Q2 or below SJR (6 for each) Article in other peer-reviewed journal/Proceeding (2 for each, Maximum marks 6) <i>[Note: In case of multi-authored article, the first author gets the full mark, the corresponding author gets 3/4 of the full mark, and all other authors get 1/2 of the full mark each.]</i>	12	
	Publication Record of Co-Investigators (cumulative) Patent (6 for each) Article in journal/Proceeding with Q1 SJR (6 for each) Article in journal/Proceeding with Q2 or below SJR (3 for each) Article in other peer-reviewed journal/Proceeding (1.5 for each, Maximum marks 4.5) <i>[Note: see above.]</i>	6	
3	Research experience/supervision by Principal Investigator PhD thesis supervision (5 for each) Master/ MPhil thesis supervision: (2.5 for each)	10	
4	Research Collaboration One or more Co-Investigators (3)	3	
5	Commitment to include Student(s) in the project Student for Bachelors/Masters Thesis (2.5) Student for Bachelors Project (1.25 for each)	5	
6	Underprivileged Group Candidate* Woman (2); Dalit/Janajati/Madhesi (2); Disability (2); Remote/Community campus (2)	8	
7	Research collaboration with Community Campus Community campus collaborated (4) Community Campus outside Kathmandu (4)	8	
Sub-total		60	

8	Proposal Evaluation (by one or two national reviewer/s)	80	
9	Presentation Evaluation	60	
Grand Total		200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

\_\_\_\_\_  
Scored by

\_\_\_\_\_  
Verified by

\_\_\_\_\_  
Approved by

### Appendix 3.15 Call of Application for the Postdoctoral Position

Call of Application for the Postdoctoral Position by the Principal Investigator

A Postdoctoral Position Available

A postdoctoral position is available for qualified candidate in the Department of \_\_\_\_\_, /School/Campus, \_\_\_\_\_ University, Nepal, to work in a research project in the area of \_\_\_\_\_. Interested candidate with a PhD degree in \_\_\_\_\_ which is earned within past 5 years or with a postdoctoral position held within past 2 years, a proven track record of research publication and experience in the field of \_\_\_\_\_ is invited to apply.

The position is for two years and is subject to grant funding availability. Please apply before \_\_\_\_\_.

Tentative Research Project: \_\_\_\_\_

Tentative Starting Date: \_\_\_\_\_

Fellowship to be expected: NRs. 30,000 per month

Contact:

Name: [Principal Investigator]

Principal Investigator

Research Project: \_\_\_\_\_

Department/School/Campus: \_\_\_\_\_

University: \_\_\_\_\_

Address: \_\_\_\_\_



**Appendix 3.16 Application Form for the UGC Postdoctoral Fellowship**

UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

PDF-1

Affix a  
passport  
size  
color  
photo

**Application for the UGC Postdoctoral Fellowship****A. Personal Information**

Name of Applicant:	Gender:	Date of Birth:
Nationality:	Citizenship No., Issuing District: / Passport No.:	
Mailing Address:	Permanent Address:	
Telephone No(s).:	Email(s)	

**B. Research Project:**

Title of the Project:		
Funding Agency:	Award No.:	Funded Period:
Name of the Principal Investigator:	Host Institution and Address:	
Designation:		
Date of Appointment:		

**C. Postdoctoral Position:**

Accepted by:		
Date of Acceptance:	Period accepted for:	Tentative Starting Date:

**D. Academic Record:**

Degree	Major Subjects	Year	University

**E. Title of Ph.D. Thesis:**

--

**F. Publication Record** (Give complete list in your CV):

List major three articles published in Ranked journals:

--

**G. Employment Record** (Last two jobs, if any; give complete list in your CV):

Period	Designation	Organization

**H. References** (Referees you included in your application to the PI or the host institution):

	Referee 1	Referee 2
Name		
Organization		
Designation		
Phone No.		
Email:		

**I. Documents Required** (Check  if included)

1. Copy of Citizenship/Passport		5. Curriculum Vitae	
2. Diploma of Masters to Ph.D. degrees		6. Copies of First Page of Research Articles with Abstract (if any)	
3. Acceptance Letter by the Principal Investigator		7. Certificate of Previous Jobs (if any)	
4. No Objection Letter from the Host Institution		8. Covering Letter	

**J. Undertaking by the Applicant:**

I hereby declare that I have read (a) *The UGC Policy and Procedure against Research Misconduct*, and (b) The UGC Funding Policies of The UGC Research Development and Innovation Programs Implementation Guidelines 2017, and agree to the conditions and my obligations as an applicant. I solemnly affirm that the information I have provided are true.

Applicant's Signature: \_\_\_\_\_

Thumb Print	
Right	Left

[Note: Application submitted electronically is acceptable. In such case, a hardcopy of the application form with applicant's signature and thumb print along with fee should be submitted to the UGC before joining the appointed institution.]



**Appendix 3.17 Postdoctoral Fellowship Award Letter**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur  
 Nepal

**The UGC Postdoctoral Fellowship Award**

Dr. \_\_\_\_\_  
 \_\_\_\_\_

Dear Dr. \_\_\_\_\_,

We are pleased to inform you that you have been awarded the UGC Postdoctoral Fellowship for the period of \_\_\_\_\_ years from the joining date to work in the research project \_\_\_\_\_ in the Department of \_\_\_\_\_, \_\_\_\_\_ University, under the mentorship of the Principal Investigator of the project, \_\_\_\_\_. You will receive a monthly fellowship of NRs. 30,000 for two years. You are required to submit the Joining Report from the institution at the beginning and periodic progress reports on your work until the completion of your tenure. Benefits other than the fellowship are as per the regulations of the institution.

We wish you a very productive tenure.

\_\_\_\_\_  
 Signature

Name: \_\_\_\_\_

Member-Secretary  
 University Grants Commission  
 Date: \_\_\_\_\_

**Appendix 3.18 Suggested Format for Joining Report for the Postdoctoral Fellow**

NAME AND SEAL OF INSTITUTION

JOINING REPORT

UNDER THE UGC POSTDOCTORAL FELLOWSHIP SCHEME

Name of the Postdoctoral Fellow: \_\_\_\_\_  
 Postdoctoral Fellowship award no. and date: \_\_\_\_\_  
 Mentor (Principal Investigator): \_\_\_\_\_  
 Research Project: \_\_\_\_\_  
 Research funded by: \_\_\_\_\_  
 Grant Award no. and date: \_\_\_\_\_

This is to certify that Dr. \_\_\_\_\_ an awardee of the UGC Postdoctoral Fellowship for the period of \_\_\_\_\_ has joined the Department of \_\_\_\_\_ with effect from \_\_\_\_\_ to work in the above research project being conducted in this institution.

He/she is provided with all necessary facilities during his/her tenure of award. Holidays and other benefits are as per the regulation of the institution. The terms and conditions of the offer are acceptable to the Fellow.

\_\_\_\_\_  
 Signature  
 Name: \_\_\_\_\_

\_\_\_\_\_  
 Date: \_\_\_\_\_

\_\_\_\_\_  
 (Fellow)  
 Department)

\_\_\_\_\_  
 Signature  
 Name: \_\_\_\_\_

\_\_\_\_\_  
 Date: \_\_\_\_\_

(Principal Investigator)

\_\_\_\_\_  
 Signature  
 Name: \_\_\_\_\_

\_\_\_\_\_  
 Date: \_\_\_\_\_

(Head of the

### Appendix 3.19 Suggested Format for the Certificate of Completion of the Postdoctoral Tenure



#### UNIVERSITY GRANTS COMMISSION

Sanothimi, Bhaktapur  
Nepal

#### Certificate of the Completion of the UGC Postdoctoral Fellowship

This is to certify that Dr. \_\_\_\_\_ successfully completed the 2-year tenure of UGC Postdoctoral Fellow position in the Department of \_\_\_\_\_, \_\_\_\_\_ University, Nepal. He worked in the research project \_\_\_\_\_ under the mentorship of the Principal Investigator of the project, Dr. \_\_\_\_\_ from \_\_\_\_\_ to \_\_\_\_\_.

We wish him all the best in his future academic or professional pursuits.

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Member-Secretary  
University Grants Commission  
Sanothimi, Bhaktapur  
Nepal

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Head  
[Name of Institution]  
[Address]

Date: \_\_\_\_\_

**Appendix 3.20 Procedure for Matching Co-Fund for Research, Development and Innovation**

Selection and Award Procedure for Matching Co-Fund for Research, Development and Innovation

	Fund Pledged by the Sponsor (Rs.) [UGC will contribute the same amount]	Procedure
1	75,000 - 1,50,000	Follow the procedure for Small RDI grant
2	200,000 - 400,000	Follow the procedure for Faculty Research grant
3	10,00,000 - 20,00,000	Follow the procedure for Collaborative Research grant

### Appendix 3.21 Application Form for the UGC Support for Publication of Research Article



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal

Affix a  
passport  
size color  
photo

RAPS-1

#### Research Article Publication Support

(Reimbursement of Publication/Handing Fee charged by the Journal with *JCR Impact Factor* or *SCImago Journal Ranking*)

#### Application

##### A. Applicant's Personal Information

A1. Applicant's Full Name:		A2. Gender:	A3. Date of Birth:
A4. Citizenship No., District:	A5. Underprivileged Group*:		A6. Contact Email:
A7. Permanent Address:	A8. Mailing Address:		A9. Contact Telephone Residence: Office: Mobile:
A10. University:	A13. Address of Institution:		A14. Designation:
A11. Campus/School:			A15. Subject:
A12. Department:			A16. Specialization:

\* Underprivileged Group: Woman, Dalit, Janajati, Madhesi, Person with Disability and Residence/Working in Remote District.

##### B. Information about the Publication

B1. Title of the Research Article:
B2. Type of Research Article: Original Research Article ( <input type="checkbox"/> )                      Review Article ( <input type="checkbox"/> )                      Other ( <input type="checkbox"/> )
B3. Name of the Journal, Volume, Issue, Pages, Year:



B4. Country of Publication:	B5. Contact Person:	B6. Email of Contact Person:
B7. Link to the Article/Abstract/DOI:		

**C. Information about Payment**

C1. Did you make a request in writing to the publisher for a fee waiver? Yes ( ) No ( ) If No, please make a request once.
C2. Publisher's Response to Your Request for Fee Waiver was:
C3. Amount of Fee Paid to the Publisher In Foreign Currency: _____ Equivalent in Nepalese Rupees:
C4. Proof of Payment (Documents submitted herewith)
C5. Amount of Reimbursement You Are Requesting to the UGC In Nepalese Rupees:

**D. Source Research Project**

D1. Title of the Research Project:	
D2. Funding Agency:	D3. Type of Grant/ Grant No.:
D4. Date of Award:	D5. Project Period:
D6. Any Publication/ Presentation made previously: Yes ( ) No ( )	
D7. If Yes, List of the Previous Publication/ Presentation:	

**E. Document Checklist (Indicate by √)**

1. Completed Application Form	√
2. Manuscript/Copy of the Article	
3. Acceptance Letter from the Publisher	
4. Printed Record of JCR Impact Factor or SCImago Ranking of the Journal	
4. Email Communication (regarding Fee Waiver)	
5. Proof of Payment	
6. A Copy of Certificate of Citizenship	
7. A Copy of Certificate of Underprivileged Group (if applicable)	
8. Any other document (specify)	

**F. Endorsement by the Institutional Head**

I certify that the Applicant carried out the research in our institution and wrote the research article based on that research. I also certify that the statements made above by the Applicant have been verified and found true. I recommend the UGC for providing the requested financial support to the Applicant.

Name: \_\_\_\_\_  
Designation: \_\_\_\_\_

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_

Email: \_\_\_\_\_ Phone No: \_\_\_\_\_  
 Name of the Institution: \_\_\_\_\_  
 Address: \_\_\_\_\_

Official Seal

**G. Undertaking by the Applicant**

I hereby undertake and affirm that:

- The substance of the research article submitted is based on the original research conducted by me / us. In case any fabrication, falsification or plagiarism is proved, apart from the penalties as per the policy and procedure of the UGC, I would refund the entire amount of the support.
- I have made a request to the publisher for waiver of the publication/handling fee before finalizing the payment.
- All the information provided above is true to the best of my knowledge and belief.

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

**To be Filled by the UGC Official:**

Title \_\_\_\_\_ of \_\_\_\_\_ the \_\_\_\_\_ Article:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Name of Journal: \_\_\_\_\_  
 SCImago Journal Ranking for the Year \_\_\_\_\_ is \_\_\_\_\_  
 JCR Impact Factor for the Year \_\_\_\_\_ is \_\_\_\_\_  
 Requested Fund: \_\_\_\_\_  
 Approved Fund: \_\_\_\_\_  
 Approved by: \_\_\_\_\_  
 If Rejected, the reason is: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 Signature: \_\_\_\_\_

## Appendix 4 Research Infrastructure

### Appendix 4.1 The UGC Support for Research Management Cell

The Funding Scheme for the UGC Support for Research Management Cell

SN	Purpose	Funding limit (Rs.)	Allowable expenditure	Disbursement
1	To establish a new RMC (Full Support)	10,00,000	Physical infrastructure, Research grant*, academic activities	<ul style="list-style-type: none"> <li>• Two equal installments.</li> <li>• First installment upon the signing of agreement.</li> </ul>
2	To establish a new RMC (Partial Support)	5,00,000	Physical infrastructure, Research grant*, academic activities	<ul style="list-style-type: none"> <li>• Second installment in the second year after RMC monitoring by the UGC</li> </ul>
3	To strengthen the previously funded RMC	2,00,000	Research grant**, academic activities	<ul style="list-style-type: none"> <li>• Two equal installments.</li> <li>• First installment upon the signing of agreement.</li> <li>• Second installment in the second year after evaluation of the Progress Report</li> </ul>

\* The new RMC may allocate up to 20% of the UGC Funding for contributing to the research fund established in the institution. The UGC may include additional condition for such expenditure.

\*\* The old RMC may allocate up to 50% of the UGC Funding for contributing to the research fund established in the institution. The UGC may include additional condition for such expenditure.

## Appendix 4.2 Application Form for the UGC Support to New RMC



UNIVERSITY GRANTS COMMISSION  
RESEARCH DIVISION  
Sanothimi, Bhaktapur, Nepal

RMC-1

### APPLICATION FOR THE UGC SUPPORT TO ESTABLISH RESEARCH MANAGEMENT CELL (NEW RMC)

Type of Support	Indicate with $\checkmark$	To be filled by the UGC
To establish a new RMC		Draft No./Bill No. of Rs. 1000/- Deposit:
		Date:
		Verified by:

#### A. Information about the Institution

A1. Campus		A2. Affiliated University:		
A3. Address: District: Municipality/VDC: Ward:                      Town:		A4. Contact: Phone: Email: Website:		
A5. Type (Constituent, Community, Private)		A7. Head of the Institution: Name: Position:		
A6. Status (Autonomy acquired, UGC Accredited)		Phone: Mobile: Email:		
A8. List of the UGC Support received (during the past 10 years) ( <i>if more than 5, attach the list separately</i> )				
SN	Year	UGC Support	Amount (Rs.)	
1				
2				
3				
4				
5				
A9. Academic Programs and Number of Students	Program (add rows to add more programs)		Level	No. of Students
	1.			
	2.			
	3.			
	4.			
	5.			

	6.		
A10. Faculty Members/ Research Fellows	Education	Full Time	Part Time
	PhD with Postdoc		
	PhD		
	MPhil		
	Masters		

**B. Research Management Cell**

B1. Name (RMC or any other name given)		B2. Date of RMC/equivalent body Established:	
B3. RMC Guideline/Procedure (Name of Document and the date it was passed/proposed):			
B4. Members			
SN	Designation	Name	Teaching Position
1	Coordinator		
2	Member		
3	Member		
4	Member		
5	Member		
B5. Other Research Structures (if any)			
B6. RMC Physical Infrastructure			
1	Physical Capacity of the Institution Total land area: _____ Rooms: _____		No. of Buildings: _____ No. of _____
2	RMC Office Area and Furnishing:		
3	Computers (Laptop/Desktop, Brand, Capacity):		
4	Printing Facility (Printer, Scanner, Photocopier):		
5	Internet (Service provider, bandwidth):		
6	Seminar Facility (Seminar hall, Projector, White screen, Sound system):		
7	Library (number of books/items) (a) Textbook: ..... (b) Reference Book: ..... (c) Magazine: ..... (d) Peer-Reviewed Journal: ..... (e) Electronic media (DVD/CD): ..... (f) Collection of Theses: ..... (g) Other (.....): .....		
8	Laboratory and Utility (a) Teaching Laboratories: (i) Number of Laboratories: ..... (ii) List of Subjects/Rooms: ..... ..... (b) Research Laboratory (separate of Teaching laboratories): (i) Status: YES / NO (ii) Specialization (if any): ..... ..... (c) Utility (i) Alternate Power: Solar / Generator (ii) Water Supply: ..... (iii) Laboratory Safety Guideline: HAVE / DO NOT HAVE		

(iv) Laboratory Safety Personnel: LAB TECHNICIAN / INSTRUCTOR / OTHER (iv) Chemical/Biological Disposal arrangement: .....	
B7. Budget for RMC	
1. Total Annual Budget of the Institution Year: ..... Expected Income: ..... Expected Saving: .....	
2. Current Fund Status of the RMC	3. Annual Budget Allocated to RMC by the Institution:

C. Student Research Activity

C1. Number of Theses completed during the past 5 years in the institution (Years: ..... to .....			
1. Bachelor	2. Master	3. MPhil	4. PhD
C2. List of recent 30 theses (Name of Student, Subject, Title of Thesis, Year of Completion, Name of Supervisor)  (Please attached the list separately with the application)			

D. Faculty Member Research Activity

D1. Number of Faculty Members who have received any Research Grant	
D2. Number of Faculty Members who have supervised student's thesis:	
D3. Number of Faculty Members who are involved in teaching only:	
D4. Funded Research Projects in the institution during the past 5 years	
1. Total Number of Research Projects:	2. List of Research Projects (Investigator, Project, Funding Agency, Duration, Budget)  (Please attached the list separately with the application)
D5. Major Publications in Peer-Reviewed Journals from the Institution during the past 5 years:	
1. Total Number of Research Articles in Non-Ranked Peer-Reviewed Journals:	2. Total Number of Research Articles in Ranked Peer-Reviewed Journals:
3. List of Articles (Authors, Year, Title, Journal, Issue, Pages)  (Please attached the list separately with the application)	

E. Institutional Research Activity

E1. List of Conferences and Symposia organized during the past 5 years: (Theme/Title, Date, Number of presentations) 1. 2. 3.
E2. List of Trainings, workshops, seminars organized during the past 5 years: (Theme/Title, Date, Number of participants) 1. 2. 3.

<p>E3. Any other activity pertaining to research carried out during the past 5 years: (Activity, Date, Number of participants)</p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>
<p>E4. Peer-Reviewed Journal published by the Institution (if any) Name: ..... Starting Year: ..... Issues Published: .....</p>
<p>E5. Magazine (Non-Peer-Reviewed Journal, Magazine, Newsletter etc): Name: ..... Starting Year: ..... Issues Published: .....</p>
<p>E6. Any academic/research recognition and special achievement by the institution during the past 5 years:</p>

**F. Proposal (Plan of Action) (8-10 pages)**

Use the following format

1. Brief Introduction to the Institution
2. Research Infrastructure at the Institution
3. Research Activities of Institution, Faculty Members and Students
4. Level of Motivation of Faculty Members and Students for Research
5. Research Management Cell (Formation, Activity, Budget and Dedicated Facilities)
6. Five Year Strategic Plan (Year-wise Research Infrastructure, Activity, Output)
7. Funding Need and Request to the UGC
8. Expenditure Plan and Justification
9. Brief Resume of the RMC members

**G. Document Checklist (Indicate by √)**

1. Cover Letter	
2. Completed Application Form	
3. Proposal (Plan of Action)	
4. Documents related to RMC formation	
5. RMC Guideline/Procedure	
5. Documents/information listed in the Application	

**H. Undertaking by the Applicant:**

We solemnly affirm that all statements made above are true and we understand that these are subject to penalty for perjury.

[Official Seal]

\_\_\_\_\_

Signature

Name: \_\_\_\_\_

\_\_\_\_\_  
(RMC Coordinator/Chair)

Position: \_\_\_\_\_

\_\_\_\_\_  
Date: \_\_\_\_\_

\_\_\_\_\_

Signature

Name:

(Head of the Institution)

Position:

Date:



## Appendix 4.3 Evaluation of the Application for New RMC

### University Grants Commission

#### Research Division

Sanothimi, Bhaktapur

### Evaluation of the Application for the UGC Support to Establish Research Management Cell (New RMC)

#### Evaluation Form

##### 1. Information about Applicant Institution

Applicant Institution	
Address	
Affiliated University	

##### 2. Evaluation Criteria

SN	Indicator	Marks	Evaluation by
1	Feasibility Site Inspection		Inspection Team
	(a) Institutional Infrastructure	50	
	(b) Research Activity	50	
	(c) Information Verification	30	
	(d) Impression on Institutional Motivation	15	
2	Proposal Evaluation	40	Research Division
3	Underprivileged Institution	15	
	Total	200	

##### 3. Eligibility for the UGC Support

1. Only the institution securing at least 50% marks (100 marks) is eligible for entering in the merit list for selection.
2. Underprivileged Institutions with at least 50% marks in Research Activity (25 marks) might be considered eligible to enter in the merit list for selection.
3. The Selection of the institutions for the award is made based on the merit list.

##### 4. Evaluation Form

(Note: **Section A** is to be filled by the Feasibility Site Inspection Team or by the Research Division based on the Feasibility Site Inspection Report; **Section B** is to be filled by the Research Division)

SN	Indicator	Maximum	Score	Remarks
<b>Section A</b> (To be Filled by the Feasibility Site Inspection Team/ Based on the Feasibility Site Inspection Report)				
1	Institutional Infrastructure (50)			
	(a) Reform Support Received	5		

	(Support from UGC or other Agency = 0.5 for each, Max 3; Autonomy acquired =1; Accredited=1)			
	(b) Number of Faculty Members Supervising/Doing Research (1 for each, max 5)	5		
	(c) Date of RMC Established ( $<1$ yr=2, $>1$ yr=5)	5		
	(d) RMC Guideline (No=0, Brief=1-2, Detailed=3-5)	5		
	(e) Office Area and Furnishing (Room only=1-2, Furnished room=3-5)	5		
	(f) Physical Facility ( Computer =2; Printer/Photocopier =1; Internet=2; Seminar Hall=2; Projector=2 )	9		
	(g) Budget for RMC Allocated by the Institution (1 for each lakh, Max 5)	5		
	(h) Library ( Poor=1, Excellent=3; Peer-Reviewed Journal Titles= 0.5 for each, Max 3)	6		
	(i) Laboratory (Research Laboratory=2; Solar / Generator Power= 1; Laboratory Safety Guideline=1; Chemical/Biological Disposal arrangement=1)	5		
2	Research Activity (50)			
	(a) Student Theses Completed (during the past 3 years) (1 for each 10, Max 10)	10		
	(b) Funded Research Projects in the Institution (during the past 5 years) (2 for each, Max 10)	10		
	(c) Research Articles Publications (during the past 5 years) (1 for each article in non-ranked peer-reviewed journal/proceeding, 2 for each article in ranked journal/proceeding, Max 10)	10		
	(d) Institutional Research Activity (during the past 5 years) (Conference and Symposium Organized=1 for each, Max 5; Trainings, ,Workshops, Seminars Organized=1 for each, Max 5; Peer-Reviewed Journal Published=5)	15		
	(e) Any Academic/Research Recognition and Special Achievement by the Institution (during the past 5 years) (1 for each, Max 5)	5		
3	Information Verification (Application vs Site Visit) (Information Provided in the Application Verified: excellently=16-20, good=11-15, moderately= 5-10, poorly=0)	30		
4	Institutional Motivation (Highly Motivated = 5-10, Moderately Motivated = 1-5)	15		
	SUBTOTAL (A)	145		
<b>Section B (To be Filled by Research Division)</b>				
1	Proposal Evaluation			
	(a) Five Year Strategic Plan			
	(i) Clarity (Moderate=1-3, Good=4-6, Excellent=7-10)	10		

	(ii) Realism (Moderate=1-3, Good=4-6, Excellent=7-10)	10		
	(ii) Adequacy (Moderate=1-3, Good=4-6, Excellent=7-10)	10		
	(b) Overall quality of the Proposal (Moderate=1-4, Well-written and honest= 5-10)	10		
2	Underprivileged Institution (Out of Kathmandu=5, Community Campus=5; Remote District=5)	15		
	SUBTOTAL (B)	55		
	GRNAD TOTAL (A + B)	200		

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Team Leader (Feasibility Site Inspection Team)

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

RMC Application Reviewer  
Research Division

Date: \_\_\_\_\_

### Appendix 4.4 Check List for RMC Feasibility Site Inspection

University Grants Commission  
Sanothimi, Bhaktapur

Check List for  
RMC Feasibility Site Inspection

Campus				
Address				
Affiliated University:		Institution Type (Constituent, Community, Other):		
Autonomy Status:		QAA Status:		
Commencement of Bachelor's Program (Year):		Commencement of Masters Program (Year):		
Commencement of MPhil Program (Year):		PhD Program, if any (Total no. of students graduated):		
No. of Teachers: Verification: Record / Interview		No. of Supporting Staff: Verification: Record / Interview		No. of Students: Verification: Record / Interview
List of the UGC/Other Reform Support received (during the past 10 years) (if more than 5, attach the list separately)				
SN	Year	UGC Support	Amount (Rs.)	Verification Note
1				
2				
3				
4				
5				
Academic Programs and Number of Students	Program (add pages to add more programs)	Level	No. of Student	Verification Note
	1.			
	2.			
	3.			
	4.			
	5.			
	6.			
	7.			
	8.			
	9.			
10.				
Faculty Members/ Research Fellows	Education	Full Time	Part Time	Verification Note
	PhD with Postdoc			
	PhD			
	MPhil			

	Masters			
--	---------	--	--	--

**B. Research Management Cell**

B1. Name (RMC or any other name given)		B2. Date of RMC/equivalent body Established:	
B3. Any other Research Structures in the Institution and their Functions:			
B4. RMC Guideline/Procedure Name: Date: <span style="float: right;">Total No. of Pages:</span>			
B5. Members			
SN	Designation	Name	Teaching Position
1	Coordinator		
2	Member		
3	Member		
4	Member		
5	Member		
Verification Note for the above information: Record / Interview / Other			
B6. Institution/RMC Physical Infrastructure (Needs to be physically verified)			
1	Physical Capacity of the Institution Total land area: <span style="float: right;">No. Of Buildings:</span> Rooms: <span style="float: right;">No. of</span>		
2	Computers (Laptop/Desktop, Brand, Capacity):		
3	Printing Facility (Printer, Scanner, Photocopier):		
4	Internet (Service provider, bandwidth):		
5	Seminar Facility (Seminar hall, Projector, White screen, Sound system):		
6	Library (number of books/items) (a) Textbook: ..... (b) Reference Book: ..... (c) Magazine: ..... (d) Peer-Reviewed Journal: ..... (e) Electronic media (DVD/CD): ..... (f) Theses Collection: ..... (g) Other ( .....):.....		
7	Laboratory and Utility (a) Teaching Laboratories: (Subject and No of rooms for each subject)  (b) Research Laboratory (separate of Teaching laboratories): (i) Status: YES / NO (ii) Number: ..... (ii) Specialization (if any): ..... ..... (c) Utility (i) Alternate Power: Solar / Generator (ii) Water Supply: ..... (iii) Laboratory Safety Guideline: HAVE / DO NOT HAVE (iv) Laboratory Safety Personnel: ..... ..... (iv) Chemical/Biological Disposal arrangement: : .....		

8	RMC Office Area and Furnishing:	
9	Computer, Printer and Scanner (for dedicated use of RMC)	
<b>B7. Budget for RMC</b>		
1. Total Annual Budget of the Institution Year: ..... Expected Income: ..... Expected Saving: .....		
Verification by: Document / Interview		
2. Annual Budget Allocated to RMC by the Institution:  (Verification by Document)		3. Current Fund Status of the RMC  (Verification by Document)

**C. Student Research Activity**

C1. Number of Theses completed during the past 5 years in the institution (Years: ..... to ..... ) Verification: A. Collection of copies of theses, B. List only, C. Interview, D. Other			
1. Bachelors  Verification: A / B / C /D	2. Masters  Verification: A / B / C /D	3. MPhil  Verification: A / B / C /D	4. PhD  Verification: A / B / C /D

**D. Faculty Member Research Activity**

D1. Number of Faculty Members who have received any Research Grant	
D2. Number of Faculty Members who have supervised student's thesis:	
D3. Number of Faculty Members who are involved in teaching only:	
D4. Total Number of Funded Research Projects in the institution during the past 5 years	
D5. Major Publications in Peer-Reviewed Journals from the Institution during the past 5 years:	
1. Articles in Non-ranked Peer-Reviewed Journal	2. Articles in Ranked Journal
Verification Note:	

**E. Institutional Research Activity**

E1. List of Conferences and Symposia organized during the past 5 years: (Theme/Title, Date, Number of presentations) 1. 2. 3.
E2. List of Trainings, workshops, seminars organized during the past 5 years: (Theme/Title, Date, Number of participants)

1. 2. 3.
E3. Any other activity pertaining to research carried out during the past 5 years: (Activity, Date, Number of participants) 1. 2. 3.
E4. Peer-Reviewed Journal published by the Institution (if any) (Name, Starting Year, Frequency)
E5. Magazine (Non-Peer-Reviewed Journal, Magazine, Newsletter etc):
E6. Any academic/research recognition and special achievement by the institution during the past 5 years:
Verification Note:

#### F. Observation Regarding Knowledge and Motivation for Research

F1. Motivation of Management (Management Committee members, Head of the Institution):
F2. Knowledge and Motivation of Faculty Members:
F3. Knowledge and Motivation of Thesis Students:

**Appendix 4.5 Application Form for the UGC Continuing Support for Old RMC**

UNIVERSITY GRANTS COMMISSION  
RESEARCH DIVISION  
Sanothimi, Bhaktapur, Nepal

RMC-2

**APPLICATION FOR THE UGC SUPPORT TO STRENGTHEN RESEARCH  
MANAGEMENT CELL (OLD RMC FUNDED BY UGC)**

Type of Support	Indicate with $\checkmark$	To be filled by the UGC
To strengthen previously funded RMC		Draft No./Bill No. of Rs. 1000/- Deposit:
		Date:
		Verified by:

**A. Information about the Institution**

A1. Campus		A2. Affiliated University:		
A3. Address: District: Municipality/VDC: Ward:                      Town:		A4. Contact: Phone: Email: Website:		
A5. Type (Constituent, Community, Private)		A7. Head of the Institution: Name: Position:		
A6. Status (Autonomy acquired, UGC Accredited)		Phone: Mobile: Email:		
A8. List of the UGC Support received (during the past 5 years)				
SN	Year	UGC Support	Amount (Rs.)	
1				
2				
3				
4				
5				
A9. Academic Programs and Number of Students	Program (add rows to add more programs)		Level	No. of Students
	1.			
	2.			
	3.			
	4.			
	5.			
	6.			



A10. Faculty Members/ Research Fellows	Education	Full Time	Part Time
	PhD with Postdoc		
	PhD		
	MPhil		
	Masters		

**B. Research Management Cell**

B1. Name (RMC or any other name given)	B2. Date of Establishment:
--	----------------------------

B3. RMC Guideline/Procedure (Name of Document, Edition, Date):

**B4. Members**

SN	Designation	Name	Teaching Position
1	Coordinator/Chair		
2	Member		
3	Member		
4	Member		
5	Member		
6	Member		
7			

B5. Other Research Structures (if any)

**B6. RMC Physical Infrastructure**

1	Physical Capacity of the Institution Total land area: _____ No. of Buildings: _____ No. of Rooms: _____
2	RMC Office Area and Furnishing:
3	Computers (Laptop/Desktop, Brand, Capacity):
4	Printing Facility (Printer, Scanner, Photocopier):
5	Internet (Service provider, bandwidth):
6	Seminar Facility (Seminar hall, Projector, White screen, Sound system):
7	Library (number of books/items) (a) Textbook: ..... (b) Reference Book: ..... (c) Magazine: ..... (d): Peer-Reviewed Journal: ..... (e) Electronic media (DVD/CD): ..... (f) Collection of Theses: ..... (g) Other (.....): .....
8	Laboratory and Utility (a) Teaching Laboratories: (i) Number of Laboratories: ..... (ii) List of Subjects and Rooms: ..... ..... (b) Research Laboratory (separate of Teaching laboratories): (i) Status: YES / NO (ii) Specialization (if any): ..... ..... (c) Utility (i) Alternate Power: Solar / Generator (ii) Water Supply: .....

(iii) Laboratory Safety Guideline: HAVE / DO NOT HAVE (iv) Laboratory Safety Personnel: LAB TECHNICIAN / INSTRUCTOR / OTHER (iv) Chemical/Biological Disposal arrangement: : ..... .....	
B7. Budget for RMC	
1. Total Annual Budget of the Institution Year: ..... Expected Income: ..... Expected Saving: .....	
2. Current Fund Status of the RMC	3. Annual Budget Allocated to RMC by the Institution:

C. Student Research Activity

C1. Number of Theses completed during the past 5 years in the institution (Years: ..... to ..... )			
1. Bachelors	2. Masters	3. MPhil	4. PhD
C2. List of recent 30 theses (Name of Student, Subject, Title of Thesis, Year of Completion, Name of Supervisor)  (Please attached the list separately with the application)			

D. Faculty Member Research Activity

D1. Number of Faculty Members who have received any Research Grant	
D2. Number of Faculty Members who have supervised student's thesis:	
D3. Number of Faculty Members who are involved in teaching only:	
D4. Funded Research Projects in the institution during the past 5 years	
1. Total Number of Research Projects:	2. List of Research Projects (Investigator, Project, Funding Agency, Duration, Budget)  (Please attached the list separately with the application)
D5. Major Publications in Peer-Reviewed Journals from the Institution during the past 5 years:	
1. Total Number of Research Articles in Non-Ranked Peer-Reviewed Journals:	2. Total Number of Research Articles in Ranked Peer-Reviewed Journals:
3. List of Articles (Authors, Year, Title, Journal, Issue, Pages)  (Please attached the list separately with the application)	

E. Institutional Research Activity

E1. List of Conferences and Symposia organized during the past 5 years: (Theme/Title, Date, Number of presentations) 1. 2. 3.
E2. List of Trainings, workshops, seminars organized during the past 5 years: (Theme/Title, Date, Number of participants) 1. 2. 3.

<p>E3. Any other activity pertaining to research carried out during the past 5 years: (Activity, Date, Number of participants)</p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>
<p>E4. Peer-Reviewed Journal published by the Institution (if any) Name: ..... Starting Year: ..... Issues Published: .....</p>
<p>E5. Magazine (Non-Peer-Reviewed Journal, Magazine, Newsletter etc): Name: ..... Starting Year: ..... Issues Published: .....</p>
<p>E6. Any academic/research recognition and special achievement by the institution during the past 5 years:</p>

**F. Proposal (Plan of Action) (8-10 pages)**

<p>Use the following format</p> <ol style="list-style-type: none"> <li>1. Brief Introduction to the Institution</li> <li>2. Research Infrastructure at the Institution</li> <li>3. Research Activities of Institution, Faculty Members and Student</li> <li>4. Level of Motivation of Faculty Members and Students for Research</li> <li>5. Research Management Cell (Formation, Activity, Budget and Dedicated Facilities)</li> <li>6. Five Year Strategic Plan (Year-wise Research Infrastructure, Activity, Output)</li> <li>7. Funding Need and Request to the UGC</li> <li>8. Expenditure Plan and Justification</li> <li>9. Brief Resume of the RMC members</li> </ol>
--

**G. Document Checklist (Indicate by √)**

1. Cover Letter	
2. Completed Application Form	
3. Proposal (Plan of Action)	
4. Documents related to RMC formation	
5. RMC Guideline/Procedure	
5. Documents/information listed in the Application	

**H. Undertaking by the Applicant:**

We solemnly affirm that all statements made above are true and we understand that these are subject to penalty for perjury.

\_\_\_\_\_  
Signature  
Name of the RMC Coordinator: \_\_\_\_\_  
Position: \_\_\_\_\_  
Date: \_\_\_\_\_

\_\_\_\_\_  
Signature  
Name of the Head of Institution: \_\_\_\_\_  
Position: \_\_\_\_\_  
Institution: \_\_\_\_\_  
Address: \_\_\_\_\_  
Date: \_\_\_\_\_  
Seal

Official

## Appendix 4.6 Evaluation of the Application for the UGC Support to Old RMC

### University Grants Commission

#### Research Division

Sanothimi, Bhaktapur

### Evaluation of the Application for the UGC Support to Strengthen Research Management Cell (Old RMC funded by UGC)

#### Evaluation Form

##### 1. Information about Applicant Institution

Applicant Institution	
Address	
Affiliated University	

##### 2. Evaluation Criteria

SN	Indicator	Marks
1	Institutional Infrastructure	55
2	Research Activity	45
3	Proposal Evaluation	40
4	Underprivileged Institution	10
	Total	150

##### 3. Eligibility for the UGC Support for the Old RMC

4. The selection of the old RMC for the UGC support is generally made based on the evaluation of the Application. Site Inspection might be considered for special case by the Research Division.
5. Only the institution securing at least 50% marks (75 marks) is eligible for entering in the merit list for selection.
6. The Selection of the institutions for the award is made based on the merit list.

##### 4. Evaluation Form

SN	Indicator	Maximum	Score	Remarks
1	Institutional Infrastructure (55)			
	(a) Reform Status (Autonomy acquired =2; Accredited=3)	5		
	(b) Number of Faculty Members Supervising/Doing Research (1 for each, max 5)	5		
	(c) Age of RMC (1 for each year, Max 5)	5		
	(d) RMC Guideline (No=0, First Edition=2, Revised=5)	5		

	(e) Office (Moderately furnished=2, Well-Furnished =4)	4		
	(f) Physical Facility ( Computer =2; Printer/Photocopier =1; Internet=2; Seminar Hall=2; Projector=3 )	10		
	(g) Budget for RMC Allocated by the Institution (1 for each lakh, Max 10)	10		
	(h) Library Collection Theses collection= 0.5 for each 10, Max 3; Peer-Reviewed Journal Titles= 0.5 for each, Max 3)	6		
	(i) Laboratory (Research Laboratory=2; Solar / Generator Power= 1; Laboratory Safety Guideline=1; Chemical/Biological Disposal arrangement=1)	5		
2	Research Activity (45)			
	(a) Student Theses Completed (during the past 3 years) (1 for each 10, Max 10)	10		
	(b) Funded Research Projects in the Institution (during the past 5 years) (2 for each, Max 10)	10		
	(c) Research Articles Publications (during the past 5 years) (1 for each article in non-ranked peer-reviewed journal, 2 for each article in ranked journal, Max 10)	10		
	(d) Institutional Research Activity (during the past 5 years) (Conference and Symposium Organized=1 for each, Max 5; Trainings, ,Workshops, Seminars Organized=1 for each, Max 5; Peer-Reviewed Journal Published=5)	15		
3	Proposal Evaluation (40)			
	(a) Five Year Strategic Plan			
	(i) Clarity (Moderate=1-3, Good=4-6, Excellent=7-10)	10		
	(ii) Realism (Moderate=1-3, Good=4-6, Excellent=7-10)	10		
	(ii) Adequacy (Moderate=1-3, Good=4-6, Excellent=7-10)	10		
	(b) Overall quality of the Proposal (Moderate=1-4, Well-written and honest= 5-10)	10		
4	Underprivileged Institution (10) (Out of Kathmandu=3, Community Campus=3; Remote District=4)	10		
	TOTAL	150		

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

RMC Application Reviewer

Research Division

Date: \_\_\_\_\_



## Appendix 4.7 RMC Feasibility Site Inspection Report format

University Grants Commission  
Sanothimi, Bhaktapur

Feasibility Inspection Report on  
Research Management Cell  
\_\_\_\_\_ Campus

Submitted to  
University Grants Commission, Nepal

Submitted by: (Team members)

Date: \_\_\_\_\_

1. Introduction to RMC Support
2. Total quota and number of applicants for the current year
3. Team Formation and Visit Period
4. Objectives of the Visit
5. Methodology
6. Brief Introduction to Institution (History and current status)
7. Observation
  - 7.1 Institution
    - 7.1.1 Teachers
    - 7.1.2 Students
    - 7.1.3 Physical infrastructure
    - 7.1.4 Library
    - 7.1.5 Research Laboratory
  - 7.2 RMC
    - 7.2.1 History of RMC
    - 7.2.2 RMC Committee
    - 7.2.3 Other research structures (if any)
    - 7.2.4 RMC Fund
    - 7.2.5 RMC Guidelines
    - 7.2.6 RMC Office
    - 7.2.7 Research library/ eLibrary
    - 7.2.8 Strategic Plan of RMC
  - 7.3 Research activities
    - 7.3.1 Research projects
      - 7.3.1.1 Research projects of Faculty Members
      - 7.3.1.2 theses/dissertations/projects of Students
    - 7.3.2 Research Capacity Development
      - 7.3.2.1 Research Methodology Training
      - 7.3.2.2 Teaching Refresher Course
      - 7.3.2.3 Staff Capacity Development program
    - 7.3.3 Research Promotion
      - 7.3.3.1 Conference, Seminar
      - 7.3.3.2 Scholarly Publication
        - 7.3.3.3.1 Peer-reviewed journal
        - 7.3.3.3.3 Research articles by Faculty members and Students
  - 7.4 Motivation for research (Institution Management, Faculty Members, Students)
8. Assessment of research need of the institution



9. Opportunities, Challenges and Weaknesses

10. Recommendation to Institution

10.1 Priority recommendation

10.2 General recommendation

11. Recommendation to UGC

12. Annex (Attendance, Feasibility Inspection Check list filled by the Inspection Team, any other relevant documents)

**Appendix 4.8 Post-Award RMC Monitoring Framework**

University Grants Commission  
 Research Division  
 Sanothimi, Bhaktapur

Research Management Cell Monitoring  
 (After UGC grant award)

**UGC Monitoring Team:**

Leader: \_\_\_\_\_

Member: \_\_\_\_\_

Date of monitoring visit: \_\_\_\_\_

**A. Information about the Institution**

Name of the institution: \_\_\_\_\_

Address: \_\_\_\_\_

Website of the institution: \_\_\_\_\_

Type of the institution: \_\_\_\_\_

Affiliated University: \_\_\_\_\_

Head of the institution: \_\_\_\_\_

Position: \_\_\_\_\_

RMC Coordinator: \_\_\_\_\_

Position: \_\_\_\_\_

Contact of the Institution/RMC: Phone: \_\_\_\_\_

Email: \_\_\_\_\_

**B. Status of UGC-Institution Cooperation**

	Particulars	Remarks
1	Participation in UGC Project:	
2	Total UGC Institutional Support received so far:	
3	Total UGC Research Support received so far: (give details in Section C)	
4	QAA Status	

**C. Physical Facilities of the Institution**

	Particular	Present Status	Remarks
1	(a) Physical facilities (Total area, open area, No. of buildings, Playgrounds, No. of rooms, (staff rooms, class rooms, teaching laboratories, research laboratories, library, seminar hall/room, kitchen/pantry, canteen, bathroom), furniture, safety features (fire extinguisher, CCTV, counseling room, safe drinking water)		

2	(b) Technological facilities (Computers, printers, photocopiers, scanners, projectors, sound systems, TV/Monitor, power backup, etc)		
3	(c) Laboratory facility and equipments (if any)		
4	(d) ICT facilities (Website, Email ID, Internet, wifi, Mobile apps)		

**D. Research Facilities**

SN	Particulars	Present Status	Recommendations/Remarks
1	RMC Office (Area, furnishing, technological facilities)		
2	Computer room/Research Room [accessible to researchers] Technological facilities (Computers, Internet, Networking with Central Libraries, Special Softwares)		
3	Research library (Collection of Research Books, Journals, Theses, Reports, Multimedia, eBooks, Subscriptions/Bookmarking to Academic databases, Access to online repositories of theses)		
4	Seminar Hall (Area, furnishing, technological facilities)		
5	Teaching Laboratories (if any) (Capacity, equipments, materials)		
6	Research Laboratories (if any) (Area, equipments, materials)		

**E. Operation of RMC**

	Particulars	Present Status	Recommendations/Remarks
1	RMC Committee (members, advisors)		
2	RMC Operation Guidelines		
3	RMC Budget		

**F. Research Activities** (since the RMC support agreement with the UGC)

	Particulars	Present Status	Recommendations/Remarks
1	Current Faculty Members Research Projects		
2	Bachelors Student Project (if any)		
3	Masters/MPhil/PhD Student Thesis Projects (if any)		
4	No. of Research Proposal submitted		

	by Faculty members to funding agency(other than the institution):		
5	No. of Research Proposal submitted by Students to funding agency (other than the institution):		
6	No. of Research Proposal submitted by Faculty members to the institution (if any)		
7	No. of Research Proposal submitted by Students to the institution (if any)		

**G. Research Promotion Activities** (since the RMC support agreement with the UGC)

	Particulars	Present Status	Recommendations/Remarks
1	Research Training to Faculty Members		
2	Research Training/curriculum for Students		
3	Periodic Research Seminar		
4	Research Journal/Magazines publication		
5	Other promotional activities		

**H. RMC Support Fund Expenditure**

	Particulars	Recommendations/Remarks
1	Details of expenditure:	(Please comment if the expenditure is in compliance with the agreement with the UGC and also in compliance with the procurement laws and norms )
2	Future Plan	

**I. Level of Knowledge and Motivation for Research**

(1) Motivation of Institution Management for Research
(2) Knowledge and Motivation of Faculty Members for Research
(3) Knowledge and Motivation of Thesis Students for Research

**J. Recommendation to the Institution**

(1) Recommendations regarding research activities:
--

(2) Recommendation regarding funding:

**K. Recommendation to the UGC**

(1) Do you recommend for the continuation of the RMC funding to the institution? (YES, NO, YES WITH CONDITIONS)
(2) Justification for your recommendation:

Report prepared and submitted by:

Signature: \_\_\_\_\_  
 \_\_\_\_\_  
 Team Leader: \_\_\_\_\_  
 Member: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 \_\_\_\_\_

Signature:  
 Team  
 Date:

## Appendix 5 Evaluation

### *Appendix 5.1 Suggested format for Logbook of Research Projects*

Suggested format for Research Logbook (adapt to suit the discipline and subject):

Project and PI:	
Sub-project (if any):	
Name of Researcher:	
Date:	Time:
Title of the Experiment/Assignment:	
Laboratory/Field Site:	
Objectives:	
Materials and Equipments:	
Experiment/Assignment carried out:	
Result:	
Calculation:	
Conclusion and Notes:	

\_\_\_\_\_  
Date and Signature of the Researcher

**Appendix 5.2 Format for Progress Report submitted by MPhil Fellow**

Date: \_\_\_\_\_

Submitted to:  
Member Secretary  
University Grants Commission  
Sanothimi, Bhaktapur

**Progress Report by MPhil Fellow****A. Information about the Fellow**

1. Fellow's Name:
2. Mobile No.:
3. Email:
4. University/Campus:
5. Date of Registration:
6. Degree and Subject registered:
7. UGC Award No. (according to the agreement document):
8. Year of Award (according to the agreement document): 2073-74 / 2074-75
9. Subject Cluster:  
( Humanities & Social Sciences / Management / Education / Health Sciences / Science & Technology )
10. Specialization:

**B. Information about Academic Progress**

SN	Semester/Thesis	Date of Exam	Date of Result	Marks/Grade	Remarks
1	Semester I				
2	Semester II				
3	Semester III				
4	Thesis	(Date of Acceptance of Proposal)	(Date of Submission of Draft Thesis)	(Date of Viva Voce)	

**C. Information about Academic Activity**

(Participation in Conference/Training/Workshop/Academic Event)

**D. Information about Scientific Publication**

(Presentation of Poster in Conference / Publication in Conference Proceedings / Publication in Peer-reviewed Journals)

**E. Information about Award**

(Prize, Awards, Recognition, Research Grant etc.)

**Appendix 5.3 Format for Progress Report submitted by PhD Fellow**

Date: \_\_\_\_\_

Submitted to:  
 Member Secretary  
 University Grants Commission  
 Sanothimi, Bhaktapur

**Progress Report by PhD Fellow****A. Information about the Fellow**

1. Fellow's Name:
2. Mobile No.:
3. Email:
4. University/Campus:
5. Subject:
6. Date of Registration:
7. UGC Award No. (according to the agreement):
8. Year of Award (according to the agreement): 2071-72 / 2072-73 / 2073-74 / 2074-75
9. Subject Cluster:  
 ( Agriculture & Forestry / Engineering / Health Sciences / Science & Technology / Humanities & Social Sciences / Education / Management )
10. Specialization:
11. Title of the Research Project:
12. Name of Principal Supervisor and Institution
13. Name of Co-Supervisor and Institution:

**B. Information about the Progress Report**

1. Sequence of the Report (1st/2nd/3rd/4th): \_\_\_\_\_
2. Date of submission of the immediate previous report (if any): \_\_\_\_\_

**C. Details of Progress made** (since the previous progress report submission)

(Please list your progress and give a brief description. Detail of your proposal is not required. Place the supplementary documents, if any, in the annex)

- a. Progress in research: (2-5 pages)
- b. Problems encountered and solved (if any)
- c. Overview of what remains to be done
- d. Time schedule for the remainder of the research
- e. Academic activities (Conference, Training, Academic Event, Student Guidance: (1-2 pages)

**D. Financial Statement**

- a. Total fund received from the UGC so far:
- b. Expenditure (list all expenditure)
- c. Net (debit/credit):

**E. Annexes**



- a. Approval by Supervisor (Comment on progress, recommendations)
- b. Essential documents (Approval letter, research tools, detailed schedule of field visit, documents related to academic activities etc)
- c. Optional documents (Data, picture, major bills etc)

**Appendix 5.4 Format for Research Progress Report submitted by Faculty Member**

Date: \_\_\_\_\_

Submitted to:  
 Member Secretary  
 University Grants Commission  
 Sanothimi, Bhaktapur

**Research Progress Report by Investigators (Faculty members)****A. Information of the Research Project**

1. Title of the Research Project:
2. UGC Award No. (according to the agreement ):
3. Date of Agreement with the UGC:
4. Grant Type: Collaborative Research / Faculty Research / Small RDI
5. Year of Award (according to the agreement): 2071/72 / 2072-73 / 2073-74 / 2074-75 / 2075-76
6. Subject Cluster:  
 ( Agriculture & Forestry / Engineering / Health Sciences / Science & Technology / Humanities & Social Sciences / Education / Management )
7. Specialization:
8. Principal Investigator:  
     Institution:  
     Mobile No.:  
     Email:
9. Co-Investigator:  
     Institution:  
     Mobile No.:
10. Students involved: (list all students with their names, levels and Institutions)  
     Name of Student:  
     Institution:  
     Level: PhD / MPhil / Masters / Bachelors  
     Title of the Proposed Thesis:

**B. Information about the Progress Report**

1. Sequence of the Report (1st/2nd/3rd/4th): \_\_\_\_\_
2. Date of submission of the immediate previous report (if any): \_\_\_\_\_

**C. Details of Progress made** (since the previous progress report submission)

(Please list your progress and give a brief description. Detail of your proposal is not required. Place the supplementary documents, if any, in the annex)

- a. Progress in research: (2-5 pages)
- b. Problems encountered and solved (if any)
- c. Overview of what remains to be done
- d. Time schedule for the remainder of the research
- e. Academic activities (Conference, Training, Academic Event, Student Guidance: (1-2 pages)

**D. Financial Statement**

- a. Total fund received from the UGC so far:
- b. Expenditure (list all allowable expenditure)
- c. Net (debit/credit):

**E. Annex**

- a. Institutional Support Letter (letter from the head of the institution or coordinator of Research Management Cell)
- b. Essential documents (Approval letter, research tools, detailed schedule of field visit, documents related to academic activities etc)
- c. Optional documents (Data, picture, major bills etc)

**Appendix 5.5 Format for Oral Presentation of Progress Report (all)****Suggested Format for the Oral Presentation of the Progress Report (Faculty/ PhD Fellow)**

(prepare 15-20 slides)

1. Title, Research Team, Affiliations
2. Background and Research Gaps
3. Theoretical/Conceptual Framework, Conjectures/Hypotheses, Questions
4. Research Objectives
5. Study Design, Methods, Tools and Data Analysis
6. Previous Progress (until the last Progress Report)
7. Progress made [since the last Progress Report]
  - a. Progress in Research
  - b. Academic Activities of Investigators / Fellow
  - c. Research/Academic Activities of Students Included (Faculty Research Project)
  - d. Progress/Preparation/Plan about Publication
8. Problems and Changes
9. Remaining Tasks
10. Anticipated Problems for Future and Proposed Way Out
11. Updated Gantt Chart
12. Expenditure and Fund Status
13. Major References

**Appendix 5.6 Progress Report Oral Presentation Evaluation Form**

University Grants Commission  
Sanothimi, Bhaktapur

*Progress Report Oral Presentation Evaluation Form (PhD/Faculty)*

Name of the Fellow/Investigator: .....  
Cluster: ..... Subject: .....  
Title of the Proposal:.....

**Evaluator's Observation and Comments:**

**A. Objectives of the Study**

Q1. Has there been any approved change in the objectives of the study (approved by institution and UGC)?  
( ) Yes ( ) No

Q2. If yes, your comment on it

**B. Methods and Tools**

Q1. Has there been any approved change in the objectives of the study (approved by institution and UGC)?  
( ) Yes ( ) No

Q2. If yes, your comment on it

**C. Progress in Research**

1. Time  
Date of Start of the Project: \_\_\_\_\_ Project Period: \_\_\_\_\_  
Time lapsed: \_\_\_\_\_ Time Remaining: \_\_\_\_\_

2. Your Impression about the progress made so far

Excellent	Good	Fair	Unsatisfactory
-----------	------	------	----------------

3. Your comments and suggestions:

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution / .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 5.7 Cover Letter for Final Report Submission (Student)**

Suggested format for the Cover Letter for Final Report Submission (by Student)

Date: \_\_\_\_\_

The Member Secretary  
University Grants Commission  
Sanothimi, Bhaktapur

Re.: Submission of the Final Report of the UGC Fellowship/Research Support for Masters/MPhil/PhD

Madame/Sir,

I am a recipient of the UGC [Fellowship] [Research Support] for [Masters] [MPhil] [PhD] [full/partial] for F.Y. 207\_/7\_. I have completed the program. I hereby submit the final report. Particulars of my award and the list of documents submitted are as follows:

**A. Award and Deadline for Submission:**

1. My name: \_\_\_\_\_
2. UGC award: [Fellowship] [Research Support] for [Masters] [MPhil] [PhD] [full/partial]; 207\_/7\_
3. Date of Agreement: \_\_\_\_\_
4. UGC deadline for final submission: \_\_\_\_\_
5. Extension of submission deadline by the UGC (if any): \_\_\_\_\_
6. Date of Viva Voce attended: \_\_\_\_\_
7. This submission is: [within the deadline/ extended deadline of the UGC] [delayed]

**B. List of documents submitted**

1. A proof of Viva Voce / Certificate of completion of degree
2. A hard copy of the thesis approved by my institution
3. A digital copy of the thesis
4. List of published/accepted research articles (if any)
5. A journal-ready manuscript of a research article (if no research article is published yet)
6. Expenditure details

Submitted by:

\_\_\_\_\_  
(signature)

Name:

Phone No.:

Email:

Institution:

**Appendix 5.8 Cover Letter for Final Report Submission (Faculty)**

Suggested format for the Cover Letter for Final Report Submission (by faculty member)

Date: \_\_\_\_\_

The Member Secretary  
University Grants Commission  
Sanothimi, Bhaktapur

Re.: Submission of the Final Report of the UGC Research Grant

Madame/Sir,

I am a recipient of the UGC [Small RDI] [Faculty] [Collaborative] Research Grant for F.Y. 207\_/7\_ . I/my team have/has completed the research project. I/We hereby submit the final report. Particulars of the award and the list of documents submitted are as follows:

**A. Award and Deadline for Submission:**

1. Principal Investigator: \_\_\_\_\_
2. Co-Investigator (s): 1. \_\_\_\_\_, 2. \_\_\_\_\_
3. UGC award: [Small RDI] [Faculty] [Collaborative] Research Grant for F.Y. 207\_/7\_
4. Date of Agreement: \_\_\_\_\_
5. UGC deadline for final submission: \_\_\_\_\_
6. Extension of submission deadline by the UGC (if any): \_\_\_\_\_
7. This submission is: [within the deadline/ extended deadline of the UGC] [delayed]

**B. List of documents submitted**

1. Three copies of the final report
2. A digital copy of the final report
3. List of student theses completed/in progress under the project
4. List of published/accepted research articles (if any)
5. A journal-ready manuscript of a research article (if no research article is published)
6. Financial Statement / Expenditure details

Submitted by:

Signature:

Name: \_\_\_\_\_

Phone No.: \_\_\_\_\_

Email: \_\_\_\_\_

Institution: \_\_\_\_\_



**Appendix 5.9 Format for the Final Research Report submitted to the UGC**

University Grants Commission

**Format for Final Research Report  
(Collaborative Research, Faculty Research, Small RDI)**

Final Research Report should be prepared consistently in a format (APA, MLA, Chicago, Turabian, Vancouver etc) suitable for the discipline of the research

Suggested format for the Final Research Report:

- |   |
|---|
| <p>a. Front Page</p> <ul style="list-style-type: none"> <li>• Final Report on [Project Title]</li> <li>• Project Type [Small RDI/Faculty/Collaborative Research] and Year of Award</li> <li>• Research Team</li> <li>• Month and Year of Submission</li> <li>• Submitted to UGC</li> </ul> <p>b. Inner Page (same as the Front Page)</p> <p>c. Preface</p> <p>d. Acknowledgement</p> <p>e. Main body</p> <ul style="list-style-type: none"> <li>• Executive Summary</li> <li>• Background and Research Gaps</li> <li>• Problem Statement</li> <li>• Theoretical/Conceptual Framework</li> <li>• Research Objectives</li> <li>• Study Design, Methods, Tools and Data Analysis</li> <li>• Results</li> <li>• Discussion</li> <li>• Conclusion/Recommendations</li> <li>• Statement on Ethical/Safety Issues</li> <li>• References/Bibliography</li> </ul> <p>f. Student training and outcome</p> <p>g. Financial Statement / Expenditure Details</p> <p>h. List of Scientific Publication from the project</p> |
|---|

- List of Publication in Ranked Peer-Reviewed Journals
- List of Publication in non-Ranked Peer-Reviewed Journals
- Journal-ready manuscripts
- List of Students' Theses
- List of Presentations in Conferences
- Coverage in media

i. Annexes

- Copies of formal letters from the UGC
- Copy of Letter from Ethical Review Board/Committee
- Copies of major letters from any other institutions
- Research instruments and tools
- Abstracts of all scientific publications
- Journal-ready manuscripts (full) – attach separately

**Appendix 5.10 Evaluation of the Final Research Report Submitted to the UGC**

University Grants Commission  
Sanothimi, Bhaktapur

**Final Research Report Evaluation Form (Generic)**

Applicant's Code: ... .. Cluster. ... ..

Title of the Project: ... ..

Indicators	Rating (Please circle the number OR give your own mark)					SCORE	
	Absent	Poor	Fair	Good	Excellent		
<b>A. Quality of Research Report (80)</b>							
1	Format (16)						
	a. Organization of Report (4) <i>(well-organized)</i>	0	1	2	3	4	
	b. Summary (4) <i>(well-summarized)</i>	0	1	2	3	4	
	c. Style (8) <i>(consistent format, clarity, well referenced)</i>	0	2	4	6	8	
2	Content (28)						
	a. Rigor (16) <i>(careful use of appropriate methodology, good organization and analysis of data, findings well described and coherent)</i>	0	4	8	12	16	
	b. Originality and Contribution (12) <i>(knowledge of previous works shown, created significantly new knowledge/technology)</i>	0	3	6	9	12	
3	Publication/Initiative (40)						
	a. Publication volume (28) <i>(14 for as required, 7 each for additional in ranked J, 4 each for additional in non-ranked J or Journal-ready manuscript, Total Max 28)</i>						
	b. Overall quality (12) <i>(Overall quality of Publications or Journal-ready manuscripts)</i>	0	3	6	9	12	
<b>B. Academic outcome (60)</b>							
1	Number of Student Theses (40) <i>(20 for as required, 20 for additional PhD, 10 each for additional Masters/MPhil, 5 each for additional Bachelor, Total Max 40)</i>						
2	Conference Participation (20) <i>(Collaborative R.: 10 for each International, 5 for each National)</i>						

	<i>(Faculty R.: 20 for International, 10 for each National)</i> <i>(Small RDI: 20 for any)</i>						
<b>C. Responsible Conduct of Research (28)</b>							
1	Research Integrity (16) <i>(Compliance with Ethical Guidelines, No sign of fabrication, falsification and plagiarism)</i>	0	4	8	12	16	
2	Ethical Publication (12) <i>(Contribution based authorship, Students included)</i>	0	3	6	9	12	
<b>D. Financial Report (28)</b>							
	Financial compliance <i>(In compliance with the UGC conditions)</i>	0	7	14	21	28	
<b>TOTAL (out of 200)</b>							

<b>Reviewer's Comment:</b>

Evaluator's Signature: ... ..

Evaluator's Full Name: ... ..

Evaluator's Institution/ Cluster Committee ... ..

Evaluator's Subject of Expertise: ... ..

Date: ... ..

**Appendix 6 Priority List for Funding Research Projects**

**HIGHER EDUCATION REFORMS PROJECT  
National Priorities for Research Funding**

**Priority List for Funding  
Research Projects**

UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur  
June 2015

## The Context

The overall goal of the UGC research support is to help improve quality of higher education teaching and learning practices by inculcating a culture of research in the higher education institutions and to make higher education relevant to national development.

Drawing on the experience and outcomes of the Second Higher Education Project (SHEP), the current Higher Education Reforms Project (HERP), 2015-2020, is planning to continue and strengthen research funding and support programs as major components of the reform program. The HERP has four major areas of reform, and enhancing academic excellence through research, innovation and development is one of the components.

The HERP emphasizes linking research funding with the issues and needs of national priority. The funding of the HERP is based on seven important disbursement linked indicators (DLIs), and research, innovation and development is the seventh DLI. Preparation and implementation of national priority framework for research funding is a fundamental aspect of the DLI.

This document outlines the framework for national priority for research funding based on relevant national plans and policies and the lessons learned from the SHEP research support.

## Basis of Priority Framework for Research Funding

The current national development plan, strategy and the recently prepared Higher Education Policy Framework (HEP) are taken as the basis for determining national priority for higher education reforms project, in general, and research funding in higher education, in particular. The priority area for investment for national development identified by the Approach Paper of the Thirteenth Plan includes hydropower and other renewable energy, agriculture, education, health, drinking water, sanitation, physical infrastructure, tourism, industry, trade, natural resources, environment and governance. These areas can be viewed as represented by related disciplines taught in higher education institutions and, particularly, by academic excellence in these areas as a strong foundation for efficient utilization of resources and developmental innovations. The policy statements of the HEP are consistent with the priority as identified in the national plan. The HEP states that higher education development shall be focused on national socioeconomic and political development needs and priorities and that development of higher education institutions, academic programs and activities shall address the following national priorities:

- a) Poverty alleviation, employment generation, and holistic national economic development
- b) Development of agriculture, forest and biodiversity, tourism, water resources, hydropower, renewable energy, small industries and business
- c) Management of natural disasters, sustainable development and conservation of balanced natural environment
- d) Economic, social, and political transformation to develop a culture of inclusive democracy with respect for diversity, mutual respect, and harmony, and
- e) Conservation of national heritage, promotion of indigenous knowledge, vocation, and technology.

The Higher Education Policy (HEP), in its policy strategy, has emphasized making research and innovation relevant to national priority needs, international trends and practices, and in its policy measures, it has provisioned grants on the basis of national needs and priorities as well as on quality. Altogether, the HEP has based its policy on research and innovation on three criteria, (i) national priority, (ii) quality, and (iii) international trend and practices, and has viewed research and innovation in higher education as a competitive economic opportunity.

The National Program for Higher Education Research and Development (NPHRD) has listed "academic excellence and research" as a major component of its program describing it as "a strategy for enhancing quality and relevance" of higher education. It has prepared and listed a framework for determining national priority for higher education reform and development. This framework of priority areas for higher education research funding has been derived from the national priority framework of the NPHRD. This framework is an integral part of The UGC Research Development and Innovation Programs Implementation Guidelines 2017.

### **Listing of Priority Area for Research Funding**

The priority for research funding is based on the NPHRD framework of priority for higher education reform and development.

The following areas are fundamental to building the foundational capacity for helping attain the policy goals and economic sectors prioritized in the Approach Paper for the Thirteenth Plan, and the HEP:

- 1) Science and Technology
- 2) Engineering
- 3) Medicine, and
- 4) Agriculture and Forestry.

These are defined as technical areas. Research activities in these areas are defined as priority areas.

In addition, research activities determined by expert panel(s) to be associated with the following national policy goals and priorities as defined in the Approach Paper for the Thirteenth Plan, and the HEP, are treated as priority areas for funding:

- (i) reduction of economic and human development poverty
- (ii) employment generation
- (iii) holistic development of national economy
- (iv) economic, social and political transformation to develop a culture of inclusive democracy
- (v) conservation and development of national heritage
- (vi) promotion of indigenous knowledge, vocation, and technology
- (vii) conservation and sustainable use of natural resources and environment, including biodiversity
- (viii) productivity enhancement in agriculture and its diversification and commercialization
- (ix) development of basic education, health, drinking water and sanitation, food and nutrition
- (x) promotion of good governance
- (xi) transportation and other infrastructure
- (xii) water resources
- (xiii) renewable energy

- (xiv) small industries and business
- (xv) natural disasters and hazard management
- (xvi) global warming and climate change
- (xvii) public-private-community participation in development issues
- (xviii) engineering and information and communication technology (ICT), and
- (xix) biotechnology, pharmaceuticals and nanotechnology.

The priority areas can be categorized into three categories: policy goals, economic sectors and disciplines/areas of study. Accordingly, the following priority area framework has been drawn:

**Table 1 (a) Priority Areas Relating to Economic Sectors/ Commodities**

Forestry, fisheries
Water resources
Renewable energy
Small industries and business
Tourism and mountaineering
Whole-sale and retail trade
Transportation, storage and communication
Housing, land utilization, and rental/trade activities
Construction
Mining and industries
Education (focus on science, technology, engineering and mathematics)
Financial intermediation
Textiles and textile articles
Base metals and articles of base metal
Vegetable products
Herbs and medicinal plants

**Table 1 (b) Priority Areas Relating to Policy Goals**

Nepal (currently, a least developed country) attaining the status of a developing country by 2022
Reduction of economic and human [development] poverty
Employment generation
Holistic development of national economy
Economic, social and political transformation to develop a culture of inclusive democracy
Conservation and development of national heritage
Promotion of indigenous knowledge, vocation, and technology
Conservation and sustainable use of natural resources and environment including biodiversity
Productivity enhancement in agriculture and its diversification and commercialization
Development of basic education and health, drinking water and sanitation
Promotion of good governance
Development of roads and other infrastructure
Development of tourism, industry and commerce
Development of hydropower and other forms of energy
Natural disasters and hazard management
Global warming and climate change



**Note:** The areas in italics are additional to the areas defined in the Approach Paper and the HEP. These were selected through the consultation with the panels of experts.

The following subject areas are fundamental to building the foundational capacity in order to address the economic sectors and policy goals, as well as to open new possibilities. These are also, therefore, listed as priorities:

**Table 1 (c) Priority Areas Relating to Disciplines and Study Areas**

Priority Faculties	Other Priority Disciplines and Study Areas / Programs
Science and technology	
Engineering	
Medicine	
Forestry	
Agriculture	

- Interdisciplinary research activities such as natural disasters and hazard management; global warming and climate change
- Indigenous knowledge, arts and crafts

The above prioritization matrix does not include an exhaustive list of areas of study or disciplines. It would be impractical to do so since the list is very long. However, if some important priority areas do not clearly fall under the priorities defined in the matrix, they can be added under the priority disciplines / study area table. The programs listed here in this table are examples. The proposals for initiating new programs and research should be evaluated by an expert panel to decide if they fall under the priority areas.

### Application of Priority Framework in Research Funding

The following table lists the research activities and application of priority framework for research funding under the HERP.

HERP-Supported Research Activities	Application of Priority Framework
Partial Support for PhD (field visit, books/reference materials, typing/binding, etc.)	N/A
Faculty Research	Only the programs acceptable as per priority framework are eligible
Institutional/Collaborative Research	Only the programs acceptable as per priority framework are eligible
PhD Fellowship	Additional scoring weightage given for programs under priority
PhD Fellowship for faculty members from Accredited Campuses and Campuses with Autonomy (for national degree)	Additional scoring weightage given for programs under priority
MPhil Fellowship	Additional scoring weightage given for programs under priority
Masters Thesis Support for Technical Areas	Additional scoring weightage given for programs under priority

Multi-Disciplinary Research Collaboration	Only the programs acceptable as per priority framework are eligible
Research article publication in Refereed Journal	N/A
Publication of Refereed journal	N/A
Research Trainings	N/A
Seminar-cum-workshop on University-Industry Dialog	Only the programs acceptable as per priority framework are eligible
Laboratory Support	N/A
Library Networking	N/A
Establishment of Research Management Cell	N/A

This priority framework for research funding is a part of The UGC Research Development and Innovation Programs Implementation Guidelines 2015 (URDIPIG) which manages research grants, fellowships and other financial assistance to activities related to research and research capacity development.

Other institutional and individual eligibility for research funding are outlined in the URDIPIG.

### **Modality of Assessment Using Priority Framework for Research Funding**

- (i) The call for proposal/EOI explicitly and specifically refers to the priority framework, including eligibility criteria.
- (ii) Proposal/EOI evaluation includes scoring criteria relating to prioritization.
- (iii) The Cluster Committee/experts will evaluate the proposals based on pre-defined evaluation framework applying the prioritization criteria.
- (iv) The Evaluation Committee will scrutinize the evaluation scoring by the Cluster Committees/experts.
- (v) The overall decision regarding recommendation for research funding support is made by the Research Council