### 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**

1. **Obligations of the UGC**
2. 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.
3. Periodically monitor the progress and provide suggestions.
4. 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.
5. Assist the Host Institution to have code of academic integrity and policy on research misconduct, and on maintaining of research ethics.
6. 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.
7. **PhD Fellowship and Research Support Fund disbursement**
8. The award consists of the UGC PhD Fellowship and the UGC PhD Research Support Fund.
9. 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.
10. 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.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. 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.
2. 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 | * 1. 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.   2. Third installment only after the Oral Presentation of Progress Report at the UGC   3. 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 research support grant directly to the fellow in bulk only after signing the agreement. |

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

1. **Budget Estimate and Allowable Expenditure for the PhD Research Support Fund**
2. 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.
3. 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.
4. 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.
5. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution.
6. For any patentable invention, a separate agreement complying with the policies of universities to which the Investigators belong shall be made.
7. The Final Report must include the financial report of the research project.
8. **Obligation of the Host Institution**
9. Fully comply with the UGC Minimum Standard and Procedure for PhD Degree 2073.
10. Accept the UGC PhD Research Support on behalf of the Fellow and disburse it according to the procedure and installments outlined in Section B.
11. Provide full institutional support to the Fellow to complete the PhD research work and the degree.
12. 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).
13. Abide by regulations of the UGC related to PhD programs and research programs.
14. Facilitate the monitoring of the Fellow’s progress by the UGC.
15. 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.
16. Help audit the financial report of the research project as per rules of the Institution.
17. **Obligation of the Supervisor**
18. Provide full academic support and supervision to the Fellow’s thesis work.
19. Guide the Fellow to accommodate the UGC reviewers’ suggestions on the PhD research proposal and periodic progress reports.
20. Approve the research fund expenditure plan prepared by the Fellow.
21. Maintain academic integrity and research ethics.
22. **Obligation of the Fellow**
23. Maintain the highest level of academic integrity and research ethics.
24. 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.
25. Accommodate the UGC reviewer’s suggestions on the research proposal and periodic progress reports after consulting with the Supervisor.
26. 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.
27. **Make an oral presentation on the progress of the work for the release of third installment (Appendix 5.5). Fellow enrolled in a university in foreign country can submit written progress report instead of the oral presentation**.
28. **Publish at least two original research articles based on the PhD research work in Ranked journals or the UGC-recognized peer-reviewed journals.**
29. 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.
30. 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.
31. **Other Conditions**
32. All the terms and conditions mentioned in The UGC Research Development and Innovation Programs Implementation Guidelines 2019 are applicable.
33. 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.
34. 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.
35. 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.
36. The Fellow must maintain a Research Logbook recording all activities and relevant notes on a daily basis.
37. 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.
38. 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 withheld 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.
39. 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.
40. **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.
41. In case of disputes in any issues with this agreement, the UGC reserves the rights to give the final decision.
42. **Budget Estimate**

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

1. On behalf of the UGC 2. PhD Fellow

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name: Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Designation: Member Secretary Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

University Grants Commission Institution: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Telephone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mobile phone: \_\_\_\_\_\_\_\_\_\_\_\_\_

Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3. On behalf of the Host Institution 4. PhD Fellow’s Supervisor

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Designation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ Designation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Institution: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Institution: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Telephone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mobile phone: \_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### 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. Equipment 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. Specialty computer and software (specify)

D.2. Office equipment/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]