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

**UNIVERSITY GRANTS COMMISSION**

**Sanothimi, Bhaktapur, Nepal**

***The UGC 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

1. [Name of the Principal Investigator ]
2. [Name of the first Co-Investigator ]
3. [Name of the second Co-Investigator ]
4. [Name of additional Co-Investigator], if any (add as required)
5. [Name of the Host Institution of the Principal Investigator ]
6. [Name of the Host Institution of the Co-Investigator(s), if different ]

(hereafter, referred to as “parties”)

in connection with the ***UGC 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**

1. **Right, Duties and Obligation of** the **UGC**
2. 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.
3. 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.
4. Periodically monitor the progress.
5. 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.
6. Assist the Host Institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.
7. 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.
8. **Grant Disbursement**
9. The ***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.
10. 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.
11. The Host Institution of the Principal Investigator has provided the following bank account information for the transfer of the grant from the UGC:

 Name of Bank: Rastriya Banijya Bank (highly preferred)

 Address of Bank: ………………………………………………….

 Account Holder's Name: [Institution]

 Account Type: [Saving] [Current]

 Bank Account No.: …………………………………………………...

1. 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:
	1. The Principal Investigator and Co-Investigators prepare a plan for research activities/procurement with cost estimation and submit it to the UGC for approval.
	2. The UGC provides a letter of approval to the Principal Investigator. The UGC may also suggest a revision in the plan.
	3. 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.
	4. The Host Institution disburses the requested funds to the Principal Investigator
	5. The Host Institution audits the Research Project expenditure following the rules of the Institution.
2. 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.

|  |
| --- |
| **Collaborative Research Grant** |
| **A. Research Fund**(Transferred to the Host Institution of the Principal Investigator) |
| Amount (Rs.) | Installments |
| [A], [B] or [C] (also mention the amount) | 1. 40% after the signing of the agreement and submitting revised proposal (if any)2. 30% after the submission of the first Progress Report (Inception Report) to the UGC3. 20% after the submission of the second progress report prior to the final report to the UGC4. 10% after making oral presentation of draft report at UGC and submitting the duly completed final report to the UGC with required number of publications (see section D point 7 for publication) |
| **B. Institutional Overhead Cost**(Paid to the Host Institution of the Principal Investigator) |
| Amount (Rs.) | Disbursement |
| 10% of Total Grant | * To the Host Institution of the Principal Investigator
* In the same installments scheme as for Research Fund
 |

1. 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.
2. 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.
3. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution
4. For any patentable invention, a separate agreement complying with the policies of universities to which the Investigators belong shall be made
5. The Final Report must include the financial report of the research project
6. **Obligation of the Host Institutions**

1. *Obligation of all Host Institutions*

1. Provide full institutional support to the research team and the research project.
2. Assist the Principal Investigator and the Co-Investigators in regard to fulfilling their obligation to supervise thesis students as specified in Article D-1.
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, the research team and all members of the Institution (subject to Article A-5).
4. Abide by the UGC regulations related to research and academic programs.
5. Monitor the progress of the project and facilitate any monitoring by the UGC.

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

1. 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.
2. Accept the installment of the research grant disbursed by the UGC for the research project.
3. Disburse the research grant received from the UGC to the Principal Investigator according to the scheme outlined in the Section B.
4. Audit the financial statement of the Research Project as per rules of the Institution.
5. 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.
6. **Obligation of the Principal Investigator and Co-Investigators**
7. Supervise at least [one/two/three Masters/MPhil students or a PhD student and a Masters/MPhil] students for their theses by providing theses research projects based on or complementary to the research project awarded by this agreement and funding them.
8. Maintain the highest level of academic integrity and research ethics.
9. 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 Estimate. All applicable financial rules must be followed for payments.
10. Accommodate the UGC’s reviewers’ suggestions on the research proposal and periodic progress reports.
11. **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)
12. Make an oral presentation on research work after the submission of final draft report to the UGC. (see Appendix 5.5 for the format).
13. **Publish at least one original research article(s) based on the research work on high JCR Impact Factor/ SJR ranked journals and one/two research articles in non-impact Factor/ non-ranked indexed journals or the UGC recognized peer-reviewed journals.**
14. **Other Conditions**
15. 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.
16. 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.
17. All the terms and conditions mentioned in the *UGC Research, Development and Innovation Programs Implementation Guidelines 2019* are applicable.
18. 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.
19. 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.
20. 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.
21. **All the progress report submitted at UGC will be checked for plagiarism.**
22. The Investigators and the Students conducting the research must maintain a Research Logbook is recording all activities and relevant notes on a daily basis (all active days).
23. 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.
24. 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.
25. **The Collaborative Research must be completed within 3 years from the date of the first installment of the grant is disbursed. Extension for six months 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 three and half years. If the research team is unable to submit the final report on stipulated time, the whole research team will be listed in the UGC barred list (will not be eligible to apply for further UGC grants). However, UGC may reconsider the case only after the reimbursement of the dispersed grants to UGC either through institution or individually.**
26. The materials purchased with the research fund are the property of the Institution or the laboratory of the Principal Investigator at the Institution.
27. 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 2. Principal Investigator

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

Name: Prof. Shankar Prasad Bhandari Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

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

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

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

[Official Seal] Mobile phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3. On behalf of UGC

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

Name: Dr. Pramod Poudel

Designation: Research Director

Research Division, UGC

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

4. Co-Investigator-1 5. Co-Investigator-2

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

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

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

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

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

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

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

6. Co-Investigator-3 7. On behalf of the Host Institution-1

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

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

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

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

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

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

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

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8. On behalf of the Host Institution-2 9. On behalf of the Host Institution-3

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

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

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

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

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

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

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

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### 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 exceeding10%)

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.