**UNIVERSITY GRANTS COMMISSION**

**Sanothimi, Bhaktapur, Nepal**

***The UGC Small RDI Grant* Agreement**

*F.Y. 2077/78 (2020/21)*

This agreement is made on this ………… day of July in the year 2021 by and between:

1. University Grants Commission, Sanothimi, Bhaktapur , Nepal

and

1. Principal Investigator: …………………………………………….
2. Co-Investigator-1: ………………………………………………….
3. Co-Investigator-2, [if any]: ……………………………………….
4. [Name of the Host Institution of the Principal Investigator]
5. [Name of the Host Institution of the Co-Investigator(s), if different]

in connection with the following UGC Research Grant:

Type and Year of Grant: SRDIG 2077/78

Research Project: ………………………………………………………………………………………………………………

………………………………………………………………………………………………………………

UGC Award No.: SRDIG-77/78-………………………

Date of Award: 2078-03-23 (July 7, 2019)

Date of Signing of Agreement by the UGC Member Secretary: ……………………..

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 Faculty Research Project based on the proposed budget on the Research Proposal and the need assessment made by the Research Division.
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 FacultyResearch Budget Estimate prepared based on the budget estimate outline shown in Appendix 3.3 and approved by UGC as an estimate is attached in the Annex of this agreement and shall be used as 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 Table 1.
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 incurred by the Institutions. The Research Management Cell or any equivalent body in the Institutions is expected to receive a part or whole of the Overhead Cost.
3. All costs included in the budget estimate and any adjustment made later with the approval from the UGC are covered by this fund. Pre-award expenses including remuneration for proposal preparation and administrative travel are covered. All other expenditures under the items included in the budget estimate are covered starting from the date of award.

Table 1: Grant Disbursement Scheme:

|  |  |  |
| --- | --- | --- |
| **UGC Faculty Research Grant**  (Transferred to the Host Institution of the Principal Investigator) | | |
| Research Category\* | Amount (Rs.) | Installments |
| [A] [B] [C] | [Insert here the grant amount approved by the UGC.] | * 1. 40% after the signing of the agreement.   2. 40% after the submission of the first Progress Report (Inception Report) to the UGC.   3. 20% after submitting the duly completed final report to the UGC with publication |

\* [A] Wet laboratory based: Rs. 1,50,000

[B] Social survey based: Rs. 1,00,000

[C] Library based or dry laboratory based: Rs. 75,000

1. The parties understand that as the research project progresses, depending upon the results obtained and prevailing condition of the 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 a separate communication or in periodic Progress Reports and Final Report and the UGC has right to accept, reject or suggest the revision.
3. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution. These should be available for the investigators during the period of research project including post-project scientific publication period.
4. For any patentable invention, a separate agreement complying with the policies of the universities to which the Investigators belong shall be made.
5. The Final Report must include the expenditure 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. Such support includes but not limited to logistic support for research project, leave for field visits in relation to research project and counting research work in faculty’s total workload.
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. Keep the Research Logbook of the project.
4. 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).
5. Abide by the UGC regulations related to research and academic programs.
6. 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 Section B.
4. Annually audit the expenditure incurred during the Research Project as per the 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. Any hindrance or non-cooperation to the research project or any unscrupulous delay in disbursement of fund by the host institution officials to the Principal Investigator shall be regarded as the abuse of authority and breach of trust with the UGC. In such cases, the UGC will take appropriate actions that might include placing the institution and the responsible individual in the UGC Barred List and forwarding the case to appropriate governmental agency for further action.
7. **Obligation of the Principal Investigator and Co-Investigators**
8. Supervise at least one Masters/MPhil student for her/his thesis or two Bachelors students/groups for their theses/projects by providing thesis research projects based on or complementary to the research project awarded by this agreement and funding them with the UGC grant.
9. The Investigators and the students conducting the research must maintain a Research Logbook recording all activities and relevant notes on a daily basis (on all active days).
10. Maintain the highest level of academic integrity and research ethics.
11. 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.
12. Accommodate the UGC’s reviewers’ suggestions on the research proposal and periodic progress reports.
13. Submit a progress report every six months. The progress report should be 5-10 pages (3,000-5,000 words) and should include information about progress in research, academic activities along with expenditure details. (See suggested format in Appendix 5.4)
14. Make an oral presentation on the progress of the work at the end of every year (Appendix 5.5).
15. Publish at least one original research article on ranked journal (SCImago Ranked, Index Copernicus Valued, JPPS rated) or two research articles on UGC recognized peer-reviewed journals, based on the proposed research work. Any article published from UGC supported project must acknowledge the UGC funding specifying grant type, year and Award Number
16. **Other Conditions**
17. The Principal Investigator and Co-Investigators declare that the proposed research is original and has not been submitted in full to any funding agency other than the UGC for funding.
18. 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 procedures.
19. All the terms and conditions mentioned in the *UGC Research, Development and Innovation Programs Implementation Guidelines 2019* (Fifth edition)are applicable.
20. Before the agreement, the UGC will provide the research team with the comments by the proposal reviewers, the oral presentation evaluators and information about the grant approved by the UGC. The team is required to revise the research proposal and budget details accordingly.
21. 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.
22. 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.
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 directions 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 or negligence is 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 Research must be completed within 1 year from the date of the first installment of the grant is disbursed. The contract will be effective from the date of release of first installment. Extension for six months may be considered if the research team makes a request, on a justifiable cause, to the UGC. The grant will be closed at the end of the one year and six months. 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. In case of disputes with any issues with this agreement, the UGC reserves the right to give the final decision.

1. On behalf of the UGC 2. Principal Investigator

Signature: .................................. Signature: ..................................

Name: Prof. Shankar Prasad Bhandari Name: .......................................

Position: Secretary Position: ...................................

University Grants Commission Institution: ...............................

Date: .................... Address: ..................................

[Official Seal] Telephone: .............................

Mobile: ..................................

Email: ....................................

3. On behalf of UGC 4. Co-Investigator-1

Signature: ............................. Signature: ..............................

Name: Dr. Pramod Poudel Name: ....................................

Position: Research Director Position: ..................................

Institution: University Grants Commission Institution: ..............................

Address: ............................. Address: .................................

Telephone: ......................... Telephone: ............................

Mobile: .............................. Mobile: .................................

Email: ................................. Email: ....................................

Date: ..................... Date: ....................................

5. Co-Investigator-II (if any)

Signature: ………………………

Name: …………………………..

Position: …………………………

Institution: ……………………….

Email: ………………………………

Mobile: ………………………..

Date: ....................................

5. On behalf of the Host Institution of PI 6. On behalf of the Host Institution of Co-I

Signature: ................................ Signature: .....................................

Name: ...................................... Name: ..........................................

Position: ................................. Position: ......................................

Institution: ............................. Institution: ..................................

Address: ................................ Address: .....................................

Telephone: ............................. Telephone: ................................

Email: .................................... Email: ........................................

Date: .................................... Date: .........................................

[Official Seal] [Official Seal]

### Annex: UGC Small RDI Grant - Budget Estimate

Principal Investigator: ……………………………………………………………………………………………………………………….

Title of Project: ………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………

Award No.: SRDIG-77/78-…………………………

Date of Award: 2078-03-23 (July 07, 2021)

Date of Signing of Agreement by the UGC Secretary: ……………………..

Budget Estimate:

[Select the headings relevant to your project. Delete unused rows.]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| SN | Particulars | Remarks | Total cost (Rs.) | |
| Year I | Year II |
| A | **Special Task Based Remuneration** (≤10%) |  |  |  |
|  | Proposal preparation |  |  |  |
|  | Tools development |  |  |  |
|  | Progress report preparation |  |  |  |
|  | Data analysis |  |  |  |
|  | Research article manuscript preparation |  |  |  |
|  | Special experiment/task (specify) |  |  |  |
| B | **Wet Laboratory Costs** |  |  |  |
|  | Equipment and Instruments (specify) |  |  |  |
|  | Special Reagents/Kits (specify) |  |  |  |
|  | Chemicals |  |  |  |
|  | Consumables |  |  |  |
|  | Service and Repair cost |  |  |  |
|  | Testing service cost |  |  |  |
|  | Other (specify) |  |  |  |
| C | **Dry (Computational) Laboratory Cost** |  |  |  |
|  | High powered computer (specify) |  |  |  |
|  | Special software (specify) |  |  |  |
|  | Special equipment |  |  |  |
| D | **Field Costs** |  |  |  |
|  | Travel cost |  |  |  |
|  | Daily allowance (Investigators, Assistants, Enumerators) | *As per rule* |  |  |
|  | Survey cost (hiring, subjects compensation, refreshment, special need) |  |  |  |
|  | Travel gears |  |  |  |
|  | Other (specify) |  |  |  |
| E | **Office Costs** |  |  |  |
|  | Office equipment |  |  |  |
|  | Personal computer and software |  |  |  |
|  | Office supplies |  |  |  |
|  | Telephone and internet cost |  |  |  |
| F | **Consultant Services** |  |  |  |
|  | Training |  |  |  |
|  | Special Professional Service |  |  |  |
|  | Data Analysis |  |  |  |
| G | **Student Support** |  |  |  |
|  | Thesis Proposal Preparation Cost | Bachelors 1250; Masters/MPhil 2500; PhD 5000 |  |  |
|  | Research Cost (if separate) | As per need |  |  |
|  | Thesis Preparation Cost | Bachelors 5000; Masters/MPhil 10000; PhD 20000 |  |  |
| H | **Facilities and Administrative Cost** |  |  |  |
|  | Institutional Overhead Cost (10%) |  |  |  |
|  | Administrative Travel Cost |  |  |  |
|  | Documentation and Publication Cost |  |  |  |
|  | Miscellaneous (≤ 5%) |  |  |  |
|  | Subtotal | |  |  |
|  | Grand Total | |  | |
|  | UGC Grant Approved | |  | |
|  | Fund from other source [if identified, specify] | |  | |
|  | Fund from other source (not yet identified) | |  | |

………………………………. ………………………………….

Principal Investigator UGC Research Director

(For official use)