



**Research Development and Innovation Programs Implementation  
Guidelines, 2021**

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**University Grants Commission  
Sanothimi, Bhaktapur  
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**Acronyms**

CC	Cluster Committee
Co-I	Co-Investigator
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
RDIPIG	Research Development and Innovation Programs Implementation Guidelines
RI	Research Institution
RIC	Research Integrity Committee
RMC	Research Management Cell
RSC	Research Standing Committee
SHEP	Second Higher Education Project
TBD	To be decided
UGC	University Grants Commission

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## SECTION I: INTRODUCTION AND IMPLEMENTATION ARRANGEMENT

### 1.1 Background

As an apex body of higher education, University Grants Commission (UGC) is responsible for implementing national policies and priorities in Higher Education to allocate funding and promote research by devising and implementing policies. It also monitors various activities of Higher Education Institutions (HEIs) in Nepal. Government of Nepal has approved a new National Education Policy-2019. Currently, it is implementing the 15<sup>th</sup> National Development Plan developed by the National Planning Commission. The Plan has identified ten priority areas for research and development. These areas include energy, transportation, tourism, forest, health, environment, agriculture, urban development and foreign employment and social development. UGC takes National Education Policy-2019 and the 15<sup>th</sup> National Development Plan as the basis for research funding in higher education.

This Research Development and Innovation Programs Implementation Guidelines (RDIPIG) of UGC, (Sixth edition, 2021) is a revised version of the earlier Guideline: The UGC Research Development and Innovation Programs Implementation Guidelines, Fifth Edition, 2019. It covers all quality and research support programs of UGC under National Higher Education Program Framework (2021-2030), including the collaborative research and entrepreneurship program of Nurturing Excellence in Higher Education Project (NEHEP).

This document may be referred to as “Research Development and Innovation Programs Implementation Guidelines” for clarity.

All programs in this document are referred to as the UGC Research Support Programs and the funding allocation (QIPNEHEP) is indicated where relevant. The funding allocations and support provisions may be adjusted by 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 Division and approved by the UGC Board.

### 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 who can use 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. Research Standing Committee (RSC): The committee comprising UGC chairperson, UGC Member secretary, Director of Research division 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 granted 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 undertakes the responsibility of leading the team and the project.
- l. Professional Society (PS): Any registered society of professionals from a specific discipline is a Professional Society.
- m. Ranked Journal: Journal included in Web of Science (Clarivates Analytics), Journal Citation Reports or SCImago Journal Ranking is considered a Ranked Journal.
- n. Research Council (RC): An advisory body within UGC to advice on matters related to research; it also functions as the apex body for research-related activities of 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 complies with necessary departmental actions.
- s. Responsible Conduct of Research: Activities that maintain ethics and integrity of research and its reporting is considered a Responsible Conduct of Research.
- 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 most important roles of the University Grants Commission (UGC), as envisioned in its Act (2050), 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, UGC has been providing several types of grants, including MPhil and PhD fellowships to faculties and young students and postdoctoral fellowships. Faculties of different campuses and universities receive support grants, small research development and innovation research grants, collaborative research grants, and travel grants. In addition, research students receive thesis support grants. UGC also offers various support funds to institutions for organizing trainings, seminars and workshops related to research promotion, as well as grants for establishing and strengthening Research Management Cells (RMC) in the institution. Besides, UGC has been supporting activities related to advancement of research and quality of higher education in the country.

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 UGC, and 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 Research Standing Committee, and various subject area-specific Cluster Committees for effective and efficient management of research activities and funds. It has brought into function, a mechanism and procedure for competitive selection of candidates, to award research grants. The SHEP helped introduce new provisions on faculty research and institutional research awards as well as for the PhD scholarships. It also helped strengthen the thesis support program and capacity development initiatives. It has helped the higher education institutions strengthen their research capacity by supporting the establishment of RMC. The UGC has opened-up the industry and university dialogs, 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 through improving in teaching and learning practices and substantiating research culture in the university education system, and thus, has been making higher education more relevant to national needs and priorities.

Higher Education Reforms Project (HERP 2015-2020) has further helped HEIs to strengthen the research activities. The major objectives of the HERP were systemic/institutional reforms; improving quality, relevance and efficiency of higher education; supporting underprivileged students for equitable access; and promoting research, innovation and academic excellence.

Drawing on the experience and outcomes of the SHEP and HERP, the current Nurturing Excellence in Higher Education Program (NEHEP) 2021-2026 has undertaken four major areas for reform:

- Improved labor-market relevance, entrepreneurship, and collaborative research
- Strengthening Governance and financing of Higher Education
- Widening access to quality Higher Education for disadvantaged students and areas
- Extending digitization of Higher Education

The funding of the NEHEP is based on six important disbursement linked indicators (DLIs). Collaborative research and entrepreneurship program constitutes the sixth DLI. Collaborative research and innovation address the need for a high impact research of the economy.

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

The research funding of UGC aims at promoting research, development and innovation among HEIs, its faculties and students. In doing so, the funding intends to strengthen research infrastructure of HEIs in the country, as envisioned in the National Education Policy-2019. In prioritizing research area and funding process, it draws on the objectives of the National Higher Education Program Framework (2021-2030) and its implemented component UGC's research priority areas i.e., Nurturing Excellence in Higher Education Program (2021-2026), are coherent to the National developmental priorities outlined in the 15<sup>th</sup> National Development Plan (2019-2024).

The UGC research funds are directed to reinforce academic programs and research initiatives so as to capitalize the emerging opportunities on their relevant and appropriate fields and disciplines. Supporting the faculty and institutions financially, along with required expertise and resources, helps campuses/colleges and universities maintain research-based higher education. Moreover, these institutions will be able to prepare trained scholars and researchers competent in policy making, knowledge production, and dissemination of scientific output in the greater interest of the nation and the world community. UGC can further strengthen the research capacity development, inculcation of investigative and inquisitive academic culture in higher education institutions to increase their research outputs with practical implications.

The National Higher Education Program Framework (2021-2030) and the UGC Sustainability Plan for Research Funding in Higher Education (2021-2024), as well as the Strategic Plan of Educational Quality Assurance and Accreditation Council (2021-2030) stress on identifying and developing research areas and innovation, increasing academic programs in the areas of national priorities having potential for excellence in international context. The Fifteenth Plan envisioned innovative human capital for social and economic transformation of country through quality higher education that is made accessible, competitive and research-oriented, with an increased investment in science, technology and research, capacity development, and collaboration between universities, industries and research institutions.

In addition to national research programs envisioned in Sustainability Plan for Research in Higher Education (2021-2024), the NEHEP will enhance collaborative research and innovation with industry partners, building on the achievements of the previous operation. The program will provide additional competitive research funding for selected HEIs, schools, central departments, and centers of excellence (COE) for collaborative research and innovation with priorities on Science and Technology, Engineering and Mathematics (STEM) and interdisciplinary research of practical importance. UGC will also set up a national knowledge-sharing platform for research and innovation, as well as patent management and a system of curbing plagiarism.

#### **1.5 Guiding Principles of Research Funding**

UGC employs the following set of principles in selection of research projects, and afterwards monitoring the progress and evaluation of research outputs. These principles are based on

statement of principles on scientific merit review - 2018 endorsed by Global Research Council on Global Summit on Scientific Merit Review (GRC-GSSMR) held on 2018, and national policies of the Government of Nepal as well as the practices of the UGC.

Table 1.1 Guiding Principles of Research Funding

Guiding Principles	Descriptions
<b>General</b>	
1. Standard of Research	Research is a scientifically designed and planned study is 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 the research and its relevant regulatory issues, training in methods and methodology being applied in the research, and finally validated by peer-reviewed publications made from 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 researchers, 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 qualified supervisors/collaborators.
4. Participation of Student	Involvement of students (Bachelors, Masters, MPhil and PhD) in the research project for conducting their thesis work is preferred. For all research projects funded by UGC, it is suggested to involve students for their theses, and support their academic advancement.
5. Research Output	All research funding shall have targeted outputs. The primary outputs for research grants are students' theses, conference presentations, and publications in peer-reviewed journals and conference proceedings.
6. Timeliness	Each program shall be executed and accomplished within the stipulated timelines. Unjustified delays in progress reporting and completion of project shall attract appropriate level of penalties clauses.
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, and all forms of formal research sharing talks (See Section 1.6.8).
8. National Priority	National priority is <i>a priori</i> appraisal of academic and developmental priorities and one of the indicators for the evaluation of the proposal. Researcher shall explain the proposed project's association to the national priority in layman's language (in non-technical way).
9. Communication	Timely communication with and flow of information to, shall be made through the Research and Scholarship Division, UGC

10. Integrity and Ethics	Maintenance of professional integrity and ethics in responsible conduct of research activities in different subjects (human, animal, plants,), review process, and administration must be maintained. Research misconducts, such as fabrication, falsification, plagiarism, misuse of fund and other harmful activities shall be the subjects of 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 follow 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<sup>1</sup></b>	
1. Quality	Proposals, reports and publications shall be evaluated based on meritocracy, rational legitimacy, academic value and potential technological and societal impact.
2. Expert Assessment	Collectively, reviewers should have the appropriate knowledge and expertise to assess the proposal both at the level of the broad context of the research field(s) to which it contributes and with respect to the specific objectives and methodology. Reviewers should be selected according to a set of criteria defined by UGC. Appropriate review mechanisms that are sensitive and responsive to the purpose and potential impact of interdisciplinary research should be established.
3. Transparency	Decisions will be based on clearly described rules, procedures and assessment criteria that are published in advance. All eligible proposals shall be treated in the same manner. Applicants should receive appropriate feedback on the review of their proposal.
4. Impartiality	Proposals shall be assessed fairly based their merits and scope and strength in the context of other national and international research. It must be ensured that assessments are free from biases. Conflicts of interest will be declared and managed according to defined, published processes. Guidance and training to staff and peer reviewers must be provided on both the definition and the management of conflict of interest and potentially unconscious bias
5. Appropriateness	The peer/merit review process applied shall be appropriate for the research area and call objectives with respect to the size and complexity of the call.
6. Confidentiality	All proposals, including related data, intellectual property and other documents, shall be treated in confidence by

	reviewers and organizations involved in the review process.
7. Integrity and Ethical Considerations	The responsible conduct of research is at the very essence of the scientific process and is intrinsic to society's trust in science. Therefore, ethics and integrity are paramount to the review process as well.
8. Gender, Equality and Diversity	The quality of science depends on the inclusion of the brightest minds in our society, and the quality of the review process will be improved by exploiting the talent and resources offered by reviewers from underrepresented groups such as women, early career researchers, and members of all ethnicities. Wherever possible, participants should track the success rates as a function of gender, ethnicity and time since degree

<sup>1</sup>Based on [https://www.globalresearchcouncil.org/fileadmin//documents/GRC\\_Publications/Statement\\_of\\_Principles\\_on\\_Peer-Merit\\_Review\\_2018.pdf](https://www.globalresearchcouncil.org/fileadmin//documents/GRC_Publications/Statement_of_Principles_on_Peer-Merit_Review_2018.pdf)

## **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 UGC are not allowed to apply for the UGC funding. The UGC board members, members of the Research Council, the Research Standing 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 UGC to settle any dues and arrears are not eligible to apply for the UGC research grant/Fellowships.

### ***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 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 the UGC support, refunding and inclusion of the individual in the UGC Barred List.

### **1.6.6 UGC Barred List**

The UGC Barred List refers to UGC decision to bar an individual, team or institution to receive the 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 students' 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 (Appendices 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 UGC must have an acknowledgement for the funding. The acknowledgement should include the type of grant, the year of award and grant number. For example: (a) This research was funded by University Grants Commission, Nepal (Faculty Research Grant 2077-78....). (b) This research was partially funded by the University Grants Commission Travel Grant 2077-78).

### **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 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 an extension of the timeline 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 six month/one year (depending upon the fellowship or grant) 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 six months/one year granted depending upon the type of grants	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, 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, 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 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. UGC may ask PI to submit research logbooks for the traceability.

#### ***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 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. 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 UGC for the minimum funding. In such a case, UGC assesses the funding need based on the proposal and determines the funding for awarding.

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

UGC allocates numbers (quota) of awards for each program annually based on the projected demand and the budget allocated. 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, UGC may reduce the quota and/or make a call for a second time. In case of excessive applications, UGC may increase the quota upon the availability of funding. While increasing or reducing the quota, UGC shall determine the quota to applications ratio 3:4.

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

All the 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 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.

#### ***1.6.18 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 UGC. In such cases, 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.

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

Except for the UGC PhD Research Support, all the 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).

#### ***1.6.20 Involvement of Students***

All research projects funded by UGC can 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 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.

#### ***1.6.21 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 (listed by Government of Nepal) 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. UGC may draft special provision to encourage such collaborations.

#### ***1.6.22 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, Webometrics Ranking, and Academic Ranking of World Universities (ARWU) are regarded as Recognized Foreign Universities.

#### ***1.6.23 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 Research Standing Committee.

Table 1.3 Broad Classification of the Subject Clusters

	Broad Cluster	Individual Clusters
1	Technical Clusters	<ol style="list-style-type: none"> <li>1. Agriculture and Forestry</li> <li>2. Engineering</li> <li>3. Health Sciences</li> <li>4. Science and Technology</li> </ol>
2	Non-technical Clusters	<ol style="list-style-type: none"> <li>1. Education</li> <li>2. Humanities and Social Sciences</li> <li>3. Management</li> </ol>

### 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

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, UGC has formed three different levels of advisory/technical bodies, the Research Council (RC) as the apex body, the Research Standing Committee (RSC), 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 UGC to coordinate and function as the secretariat to RC, ESC and RIC and implement the research support programs. RD also maintains UGC roster of national and international research experts. The organizational framework for management of research support programs is illustrated in figure 1.

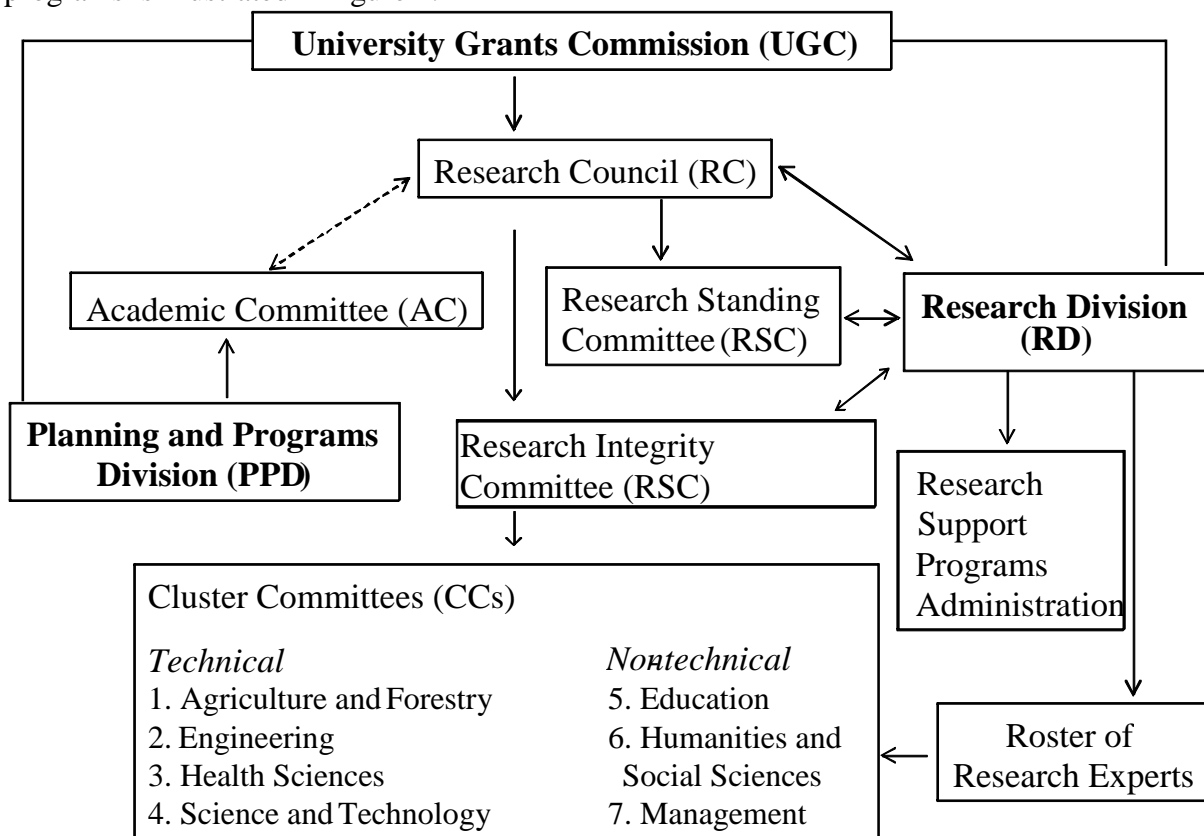


Figure 1: Institutional arrangement for administering research support programs of UGC

**1.9.1 Research Council (RC)**

The Research Council is an apex body for research programs of UGC with mandate to advise and assist 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 UGC in relation to research misconduct.

Table 1.5 The Composition of the Research Council (RC)

	Representation	Membership
1.	Chairperson, UGC	Chairman
2.	Member, National Planning Commission (Education)	Member
3	Rector, Tribhuvan University	Member
4	Secretary, UGC	Member
5	Chairman, Nepal Health Research Council (NHRC)	Member
6.	Representing Professor, Other University (rotationally nominated)	Member
7.	Researcher, National Academy of Science & Technology (NAST)	Member
8.	Academician, Nepal Academy	Member
9.	Researcher, National Agriculture Research Council (NARC)	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

### 1.9.2 Research Standing Committee (RSC)

The primary responsibility of the RSC is to scrutinize the graded proposals submitted by the Cluster Committee in a holistic manner and submit, its recommendations to the Research Council for final selection. The Research Standing Committee also provides necessary feedback to assist the Research Division in policy matters and coordination with relevant organizations and stakeholders. The Research Standing Committee is headed by the Chairperson of the UGC and comprises of UGC secretary, two research scholars from among members of Research Council, 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 research publications. The nominated members shall have a two-year tenure term. The roles and responsibilities of the Research Standing Committee are outlined in Table 1.8.

### 1.9.3 Research Integrity Committee (RIC)

The primary responsibility of the Research Integrity Committee is to assess allegations of research misconduct brought to 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 UGC. The committee consists seven members as below:

- a. Three members - senior academicians (Professor/Associate Professor with PhD Degree)

- b. Member - A person well skilled with anti-plagiarism tools/any research misconducts
- c. One lawyer as a member
- d. One member from quality accrediting agencies (Director of QAA/UGC, Director of Medical Education Accreditation Committee, or Registrar of Professional Councils)
- e. Coordinator- Research Director, UGC

The tenure of the members in respect of points 'a', 'b', 'c', and shall be of two years and of the 'd' and 'e' shall be the ex-officio. The quorum for the meetings shall be 4 out of 7 members (including Coordinator).

#### **1.9.4 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.

#### **1.9.5 Research Division (RD)**

Responsibilities of the Research Division includes assistance to the Research Council and 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 UGC, quality control, quality assurance, monitoring and evaluation. The Research Division also serves as the Secretariat to the Research Council, the Research Standing 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 UGC. All administrative functions of the Research Division are governed by the general policies, rules and regulations of UGC. In carrying out its activities, the Research Division is responsible to both UGC and the RC. The staffing of the Research Division is done according to the plan of UGC and the number and the position of staff members may change as per the overall requirement of the Division.

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.*

#### **1.9.6 Cluster Committee (CC)**

The primary responsibility of the Cluster Committee is to help review grant proposals and their oral presentations following the UGC guidelines and the principles of the Scientific Merit Review-2018. 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.

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 may be proposed by the Research Council and appointed by the UGC.

Research Director of UGC or additional experts with the recommendation of the Cluster Committee Coordinator can be invited to the Cluster Committee meeting and activities, including oral presentation evaluation when needed. The Cluster Committee in consultation with Research Director 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 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 (at least an Associate Professor) and proven track record of research publications in last 10 years.

#### **1.9.7 Roster of Reviewers and Experts (RRE)**

UGC maintains a roster of independent national and international research experts and updates it regularly. The reviewers support 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.

#### **1.9.8 Institutional Review Committee (IRC)**

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 Research Standing 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 Research Standing Committee and the Cluster Committees</li> <li>• Approves the functional activities of the Research Standing 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>• Develops policies, procedures and regulations related to the detection, investigation, and prevention of research misconduct and the responsible conduct of research</li> <li>• Reviews and monitors research misconduct investigations conducted by universities</li> <li>• Recommends research misconduct findings and administrative actions to the Research Council and UGC for decision, subject to appeal;</li> <li>• Provides technical assistance to institutions that respond to allegations of research misconduct</li> <li>• Implements 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>• Conducts 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>• Administers programs for maintaining institutional assurances and responding to allegations of retaliation against whistleblowers</li> </ul>
Research Standing Committee	<ul style="list-style-type: none"> <li>• Advises on policy matter related to research programs</li> <li>• Develops evaluation criteria for research proposal and reports</li> </ul>

(REC)	<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>• Submits 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 Research Standing 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>• Coordinate with the Research Council and the Research Standing Committee, revises The UGC Research Development and Innovation Programs Implementation Guidelines</li> <li>• Manages 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 Research Standing Committee, Research Integrity Committee and the Research Council</li> <li>• Functions as the Secretariat for the Research Standing 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> </ul>



	<ul style="list-style-type: none"> <li>• Looks after Grievance Redressal</li> <li>• Ensures monitoring and evaluation of affairs</li> <li>• Maintains research database</li> <li>• Manages interagency, national and international coordination and communication on research related matters</li> </ul>
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### 1.10 Fund Allocation for Quality Improvement and Research Support Programs for 2021-2022

Funding for the Quality and Research Support Programs of UGC comes from two allocations: an annual budget allocated for *Quality Improvement Programs (QIP)* and the *Nurturing Excellence in Higher Education Project (NEHEP)* currently in operation. The QIP and NEHEP Research Support programs for the year 2021-22 (2078-79) is listed in the Appendix 1.1

### 1.11 Institutional Eligibility for Research Funding

Research funding from 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

	<i>Potential Participant</i>	<i>Eligible for</i>
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 Dialogue, 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 colleges can also participate in selected competitive funding programs. Researchers from the governmental and non-governmental research institution, industries 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 beneficiaries 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
<i>Fellowship and Research Support to Students</i>			
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 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	Any time within the eligible period
<i>Research Grants to Faculty Members and Researchers</i>			
Small RDI Grants	Faculty members from HEIs/research institutions associated with HEIs	Open-competition through proposal evaluation	Annual call
Faculty Research			
Collaborative Research			
Special research/researc	Faculty members from HEIs/research institutions	Open-competition through proposal	As per required

hes in emerging issues	associated with HEIs	evaluation	
Postdoctoral Fellowship	Open	Selection by PI of the UGC funded Collaborative Research Project	Any time
Publication of research articles in Ranked Journals	Faculty Members, UGC Research Fellows, UGC staffs	Evaluation of the application for support	Any time within the eligible period
<i>Institutional Research Infrastructure</i>			
Library Networking	HEIs	Proposal	UGC Call
Research Laboratories	HEIs	Proposal/consultation with HEIs	
Publication of Peer-Reviewed Journals	HEI, Research Institutions, Professional Societies	Consultation/ Competition	

\* See Section 1.6.22 (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, 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 Master, 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 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 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 UGC at least a week before the deadline. Incomplete Application will not be proceeded for evaluation.

## **Evaluation Process**

### *Step I: Coding*

After the closure of proposal submission deadline, the Research Division at 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 UGC.

### *Step II: First selection*

Unless two reviewers' scores deviate 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 deviate 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 scores 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 scores. 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 observed, must be reported to the ESC during the submission of the Score Report and the Merit List. The SC reviews the report and may consider scrutinizing the questionable scores. UGC may provision and undertake additional scheme of evaluation of the proposals based on the recommendation of the Research Standing 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*

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 Research Standing Committee (ESC) for comment and decision.

*Step IV: Initial Decision by the ESC*

EC comments and takes initial decision on the result and forwards it to the ESC for final decision. ESC 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 ESC.

*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*

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 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 UGC. Fellows enrolled in a

university in a foreign country do not have to make the oral presentation at 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 mainly the 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**

UGC is committed to maintain academic excellence while 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 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 of the 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 the guidelines 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 instructions 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, UGC has developed The UGC Policy Regarding Research Misconduct, 2018.

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 UGC for taking in the case.

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

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**

Based on the national priority areas envisioned in National Plans and policies UGC research division manages its research support programs for higher education institutions, faculties and students. The research funding is allocated based on national policy goals and priorities as defined in the Fifteenth National Development Plan, and the National Education Policy-2016. The research priority areas are:

- Poverty Reduction
- Employment generation
- Holistic development of national economy
- Economic and social transformation
- Labour migration
- Foreign investment
- Conservation and development of national heritage
- Innovations
- Promotion of indigenous knowledge and technology
- Conservation and sustainable use of natural resources and environment, including biodiversity
- Agriculture and national resources

- Rising Productivity and employment in agriculture and its diversification and commercialization
- Development of basic education, health, drinking water and sanitation, food and nutrition
- Good governance
- Transportation and other infrastructure
- Water resource Management
- Renewable/Alternate energy
- Small industries and business, medium scale enterprises
- Entrepreneurship development
- Disaster risk reduction and management
- Global warming and climate change and its mitigation
- Public-private-community participation
- Engineering and information and communication technology (ICT)  
Biotechnology, Microbiology, pharmaceuticals, medicine and nanotechnology

#### ***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 a regular program of UGC and an integral part of research funding component of the NEHEP, 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 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.

Only the PhD and MPhil programs complying with the UGC Minimum Standard and Procedure for PhD/MPhil Degrees 2073 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
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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 Proposal to the date of the call	Enrolled in Nepalese or recognized*** foreign university	
		Young	Open		40			
2	PhD Research Support	Faculty	HEI, three years full time teacher		50	40	Enrolled in Nepalese university	
		Young	Open					
3	Partial Support for PhD		Open				Any time 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	35	Within one year from the date of enrollment to the date of the call	Enrolled in a HEI in Nepal
		Young	Open					
5	MPhil Research Support		Open	Previous Year/Sem esters: Technical: 70% or equivalent CGPA Non-technical: 60% or equivalent CGPA		Within one year from the date of acceptance of the Thesis Proposal to the date of the call	Enrolled in full time program in Nepalese or recognized*** foreign university	
6	Masters Research Support		Open			Any time after the acceptance of Thesis Proposal and within 6 months of acceptance of the thesis.	Disability all categories	
7	Masters/MPhil Research Support for Persons with Disability		Open					

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 1.6.22 (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

	<b>Programs</b>	<b>Bases of Selection</b>
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 1.6.15). First of all, half of the total seats are divided equally among seven clusters (each cluster receiving  $1/2 \times 1/7$  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  $1/2 \times 4/7$  and the non-technical broad cluster with 3 individual clusters receives  $1/2 \times 3/7$ ). 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 shall be further divided into subjects. In case of tie in total score, candidate scoring highest in research publication category shall be selected.

## **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. 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 1.6.16) 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 2.2). UGC transfers the approved fund of the research support directly to the host institution (enrolled departments/schools) of 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

	Form/Document	Code	Format
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 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 Appendices 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/Masters 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 any time after the date of the acceptance of their thesis 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 Fellows who have 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 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.

### **2.9.1 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, 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	2.5
2	Faculty Research Grant	Medium	2	2	1.5
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 year in a HEI in Nepal and PhD degree [Faculty must have at least 3-years of service tenure/contract remaining</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</li> </ul>

		during the application period]	
		<ul style="list-style-type: none"> <li>• Two original research articles published in ranked* journals as a major author**</li> </ul>	
2	Faculty Research Grant	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for two years [Faculty must have at least 2-years of service tenure/contract remaining during the application period]</li> <li>• Masters Degree with Thesis</li> <li>• 1 original research article published in peer-reviewed journal as a major author**</li> </ul>	<ul style="list-style-type: none"> <li>• Full time Faculty for 1 year</li> <li>• Masters 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 [Faculty must have at least 1-year of service tenure/contract remaining during the application period]</li> <li>• Master Degree with Thesis</li> <li>• 1 original research article published in peer-reviewed journal/oral or poster presentation at national or international level seminar or conferences.</li> </ul>	<ul style="list-style-type: none"> <li>• Nepali citizen</li> <li>• Full time Faculty for 1 year</li> <li>• Masters 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 Masters Degree is waived for the faculty members from the Community Campuses or Campuses in the remote districts. A faculty member from such institution with Masters 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 the UGC Research Grant award is based on academic credentials 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 1.6.18). 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 1.6.15). First of all, half of the total seats are divided equally among seven clusters (each cluster receiving  $\frac{1}{2} \times \frac{1}{7}$  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  $\frac{1}{2} \times \frac{4}{7}$  and the non-technical broad cluster with 3 individual clusters receives  $\frac{1}{2} \times \frac{3}{7}$ ). 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 (see section 1.15), 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 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 one and half-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 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. Previously awarded UGC Small RDI grantees will be eligible to apply after a two-year gap. However, the faculty members may apply for continuity (longitudinal research) of their already funded research work if the thematic area is different.

### 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 Form		Appendix 3.9
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 shall 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 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 as a lead author).

### 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 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: 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 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 UGC every 6 months until the completion of the tenure.

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

### 3.12.3 Forms and Documents

The following forms and formats 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 the University-Industry collaborative interface and support research, development and innovation sponsored by industries and public sector agencies, 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 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 UGC, universities or governmental agencies are supported under this program. UGC identifies research issues and solicit research proposals on relevant issues from qualified individuals and institutions. UGC may also consider investigator-generated research proposals. Research themes for each year and indicative framework for each theme are developed separately by UGC as a part of the UGC Research Guidelines.

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

Under this program, 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 UGC, upon availability of the fund. The limit of funding per eligible research article is Rs. 75,000.

The applicant is required to submit a completed form (Appendix 3.21) and supporting documents. The application can be submitted any time 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. Technical Innovation, Scientific Investigation and Research Grant

This grant on Technical Innovation, Scientific Investigation Research is a regular program of UGC supported to Universities Research Centers, Institute and Faculty/School of Universities

and Health Academy for conducting impactful researches in priority areas envisioned by Government of Nepal in 15<sup>th</sup> Five-year Plan, National Education Policy-2019 and Science, Technology and Innovation policy-2019. UGC expects researches that analyzes the role of innovation in society, including the connection between technological progresses, job creation, boosting competitiveness and the sustainability of the research. The themes of the proposals for Technical Innovation, Scientific Investigation Researches (Envisioned in 15<sup>th</sup> Five-year Plan) are as follows;

- Energy
- Environment and climate change
- Transportation
- Tourism
- Agriculture
- Education
- Health
- Forestry
- Urban development
- Foreign employment and social development
- Public communication

Eligible higher education institutions may submit maximum of two proposals under different thematic areas. The team composition should be different in each submitted proposals. Preference shall be given to collaborative research proposals. The competency of the team leader to carry out the research project will also be meticulously evaluated. Funding amounts are corresponding with the requirements of the research and the potential for the research to advance and understanding of critical issues. The limit of funding per eligible research proposal is up to Rs.12.5 million. Maximum of four proposals shall be awarded as per competition.

### ***Application Procedure***

Interested higher education institutions should submit application form (**Appendix 3.22**) along with research proposal and other necessary documents to the UGC Secretariat at office hour. The proposal must be endorsed by Vice-Chancellor of respective Universities. Incomplete application will not be entertained. The application fee is Rs. 1000.

### ***Team formation and Eligibility***

<b>Researcher</b>	<b>Eligibility</b>
Principal Investigator (PI)	<ul style="list-style-type: none"> <li>• Nepali Citizen</li> <li>• Full-time faculty for three years</li> <li>• Applicant must have 3-years of service tenure/contract remaining as member of HEIs in Nepal</li> <li>• PhD degree</li> <li>• At least three research articles published in ranked journals/chapters in indexed book as a lead author/corresponding author in last three years</li> <li>• At least one national/international research grants (1-year or more research project period) completed</li> </ul>

Co-investigator (Co-I) [At least -2]	Nepali Citizen <ul style="list-style-type: none"> <li>• Full-time faculty at least for one year</li> <li>• Applicant must have at least 3-years of service tenure/contract remaining as member of HEIs in Nepal</li> <li>• PhD degree</li> <li>• At least one research articles published in ranked journals/chapters in indexed book as a lead author/corresponding author in last five years.</li> </ul>
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### **Selection Process**

- Step I: The Research Division at UGC provides a code against the candidate's name to each received proposal for blind review.
- Step II: UGC assigns two reviewers for each proposal. The reviewers use the specific evaluation form prescribed by UGC (**Appendix 3.23**) to evaluate the research proposal.
- Step III: Evaluation from reviewers is either entertained confidentially through electronic media or is done at the office of UGC.
- Step IV: Unless two reviewer's scores differ by 30% or more, the scores are averaged and those applicants who receive at least 50% average score are selected for oral presentation. In case the reviewer's 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.
- Step V: All candidates securing 50% or more score on their research proposals are invited for oral presentation in the presence of the panel of experts nominated by UGC. The panel of experts use the specific evaluation form prescribed by UGC (**Appendix 3.24**) to evaluate the oral presentation. The mean of the score from the panel of experts is taken as the final score of the oral presentation.
- Step VI: The Research Division will evaluate the applicant's academic and publication record, team formation and collaboration status (**Appendix 3.25**).
- Step VII: A Final Merit List is prepared by the Research Division based on the score from the proposal evaluation, oral presentation evaluation and the evaluation of the applicant's academic and publication record, team formation and collaboration status. The Research Division forwards the prepared merit list to the authority of UGC to take final decision on the selection of the candidates for the award.
- Step VIII: The UGC Research Division announces the awards through the UGC website and invites the candidates and the head of the institutions to sign a formal agreement (**Appendix 3.26**).

### **List of Forms and Documents Used for Collaborative research and Innovation Grant**

	Form/Letter/Announcement	Code	Format
1	Application form	TISR	Appendix 3.22
2	Proposal Evaluation form		Appendix 3.23
3	Oral Presentation Evaluation form		Appendix 3.24
4	Evaluation of research activities of the Principal Investigator and team		Appendix 3.25
5	Agreement		Appendix 3.26
6	Budget		Appendix 3.27

### **3.17 Collaborative and Innovation Research Grant**

The main purpose of this UGC research grant support is to foster collaborative research projects among university/HEIs/ industries/ faculties. This grant will facilitate collaboration between two emerging research groups or one emerging and one established research group within the country, south Asian countries and abroad. The collaborative work can take place within a single field of study or across disciplines. This research grant support targets international scientific collaborations with exchange of researchers, collaborative publications and patent sharing. The exchange must include bi-directional travel of Principal Investigator, RA, postdocs and/or students that plan to work on the scientific collaboration defined in the research proposal. The exchange must occur within a three-year period. Grant will cover the costs of travel, accommodation and research between the two groups. Research teams must include investigators with a commitment to supporting faculty gender equity. Funded grants will contribute to the mission of the Governments 15<sup>th</sup> plans and National Education policy-2019, one of which is advancing equity for women faculty in science and engineering. UGC expects studies to focus on the role of innovation in society, including the connection between technological progresses, job creation, boosting competitiveness and the sustainability of the research and subsequent development.

The collaborative research grant shall generate direct output in the form of research publications and conference proceedings. These should have significant value addition to the global and local knowledgebase towards the advancement of science and technology. These outputs will be the basis for extension of the research grant on successive years and also to guide the UGC for evaluating the applicants for future competitions. The detailed guidelines will be developed by UGC.

### **3.18 Entrepreneurship training and Seed fund grants**

The UGC funding for entrepreneurship support draws on the objectives of the National Higher Education Program (Framework) (2021-2030) and the Nurturing Excellence in Higher Education Program (2021-2026) currently under implementation. The entrepreneurship support focuses on attaining the following:

- Increase the focus of higher education on entrepreneurship and produce educated youths that are relevant to the market needs of the present and near future.
- Drive for a shift in focus on university education from degree-based mindset to enterprise and employment-based mindset.
- Provide knowledge, skills and exposure to students, recent graduates and young faculty members for establishing enterprises that are relevant to the market.
- Promote critical and creative thinking in order to stimulate among students the development of an entrepreneurial culture that can respond to the pressures of globalization. Accordingly, inspire graduates to see and explore more opportunities in the enterprise sector in the domestic market.
- Promote entrepreneurship as a catalyst for sustainable development, inclusive economic growth, social inclusion and climate change adaption.
- Strive for promoting an entrepreneurial environment that requires transforming the entire ecosystem including the roles of national policies, government bodies, HEIs, students, business sector and the community.

The detailed guidelines will be developed by UGC.

### **3.19 Establishment of Incubation Centers at University/HEI**

Incubation Center (IC) established at Universities/HEIs shall be dedicated to promote the culture of innovation and entrepreneurship in HEIs of Nepal. It aims to build and share resources including space and infrastructure, access to business support services, mentoring, training programs to enhance the skills of entrepreneurs and seed funds. Government of Nepal in its development plan and policies has also emphasized entrepreneurship program and introduced the Innovative start-up capital credit flow procedure, 2077 BS to extend start-up capital for innovative enterprises and business operations. Interdisciplinary research and publication on start-ups and entrepreneurship should be promoted by the institutions. This program is in line with national priorities and goals and its focus is to build innovation driven entrepreneurial ecosystem with an objective to foster entrepreneurial spirit at Higher Education Institutions (HEIs) and encouraging students and faculty to create new enterprises. The Establishment of ICs is open for proposals from interested public Universities/HEIs/Health Academies who are ambitious in promotion of innovation and technology-based entrepreneurship at their respective institutions.

The establishment of IC grant will be made to the host institution and executed through the Incubation Center on Universities/HEIs/Health Academies. The selection of HEIs for establishment of IC will be made through a rigorous competitive process using a merit-based, independent, and transparent evaluation and selection process based upon international standards and program objectives.

The major services envisioned at IC:

- a. Generating Innovative idea and facilitation
- b. Providing Training (legal, financial, technical, intellectual property) to graduate students, faculties and other relevant candidates
- c. Advice on business modality
- d. Support Grants/start-ups
- e. Technology support and commercialization program
- f. Linking academia to society

#### **Objectives of the IC**

- a. Supporting the development of an innovation and entrepreneurial ecosystem at universities.
- b. Encouraging students and faculty to create new enterprises.
- c. Developing a linkage between academia and universities

The detailed guidelines will be developed by UGC before the implementation of the program.

### **3.20 Program Monitoring and Evaluation**

All research programs supported by 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.

### **3.21 Additional Funding Provisions**

Limited extra funding may be arranged in the cases of highly technical faculty research and PhD studies requiring additional supports on purchasing technical inputs, including equipment, patent, and software 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.

### **3.22 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**

UGC provides financial support to establish or strengthen Research Laboratory at 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.

### **4.3 Research Laboratory Support (Specialized Laboratory Support)**

The purpose of this program is to strengthen research laboratories in HEIs. Under this program, funding is provided to enhance the research infrastructure of the laboratories to support various academic research activities such as cost for purchase or establishment of equipment / facilities, research materials (e.g. reagents operational kits, etc.), research related licenses or datasets; and cost for maintenance of accessories within the existing laboratories) for assisting the development operation of the equipment / facilities. Specialized laboratories (such as Forensic Science, Nanotechnology, ICT, Agricultural Technology, Infectious Diseases, Herbal Sciences etc.) envisioned in National Periodic Plans and policies shall be given priority.

#### ***Eligibility***

Higher Education Institutions offering Technical discipline will be eligible for the establishment of specialized research laboratory facilities.

#### ***Application procedure***

All applications must be submitted to the UGC Secretariat through the respective higher education institutions **during the call period**. Please provide two printed copies and a digital copy of the proposal. The digital copy should contain all the information as presented in the printed copy. Cover letter and Proposal must be duly signed by head of the institution. The format for the proposal is presented in **Appendix 4.9**.

#### ***Fundamental Proposal Evaluation Criteria***

- Conceptualization of research laboratory model
- Demonstrated academic and research capabilities of the institution
- Accessibility of research laboratory to conduct research works on cost-sharing basis.
- Potential research impacts from both academically and result oriented research outputs
- Appropriate infrastructural facilities.

- Provisions for managing environmental stresses, such as temperature, vibration, wind, dust, and smell
- Adherence and commitment to Good Laboratory Practice (GLP)
- Detailed presentation of proposal and model of research facilities

### ***Selection Process***

- Step I: The Research Division at UGC provides a code to each received proposal for blind review.
- Step II: UGC assigns two reviewers for each proposal. The reviewers use the specific evaluation form prescribed by UGC (**Appendix 4.10**) to evaluate the research proposal.
- Step III: Evaluation from reviewers is either entertained confidentially through electronic media or is done at the office of UGC.
- Step IV: Unless two reviewer's scores differ by 30% or more, the scores are averaged and those proposals which receive at least 50% average score are considered eligible. In case the reviewer's scores differ by 30% or more, the proposals are sent to a third reviewer for evaluation and two closest scores are averaged for the eligibility.
- Step V: Based on the highest score obtained, UGC Research Division announces the awards through UGC website and invites the institutions to sign a formal agreement.

### ***Funding***

Funding amounts are corresponding with the requirements of the research laboratory equipment/chemicals/software and the potential for the research to advance and understanding of critical issues. UGC shall be funding up to 10 million for Wet laboratory and up to 2.5 million for dry laboratory.

#### **4.4 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. 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 Guidelines for awarding support to peer-reviewed journals are in progress.

#### **4.5 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. UGC will develop a procedure for awarding the support.



## 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.

## SECTION VI: APPENDICES

### Appendix 1 Funding

#### Appendix 1.1 Research Support Programs 2078/79

<b>Research Support Programs - 2078/79</b>			
SN	Programs	Programs of 2078-79	
		No. of Events	Range of rates per event (Rs)
1	PhD Fellowship	50	10000/month
2	PhD Research Support	50	200-500
3	Partial Support for PhD	20	20-60
4	MPhil Fellowship	50	8000/month
5	MPhil Research Support	30	20-50
6	Masters Research Support	200	20-50
7	Postdoctoral Fellowship	3	40
8	Small RDI Grants	50	100-200
9	Faculty Research Grants	35	200-400
10	Collaborative Research Grants	7	1500-2000
11	Special Research	2	2000
12	Laboratory Support	maximum up to 6	3000 (Total Budget)
13	Library Support		
14	Research Article Publication Support		Up to 75
15	Support for Journal for Indexing	5	500
16	Support for Masters/MPhil for differently abled person	20	20-50
17	Technical Innovation, scientific investigation Research Grants in priority areas including patent	4	50,000 (Total budget)

## 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. 10000 X 36 months	360,000	Six installments paid to the Fellow
b	Travel grant (conference)	Up to 60,000	Reimbursement
c	Article publication fee	Up to 75,000	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 to the Host Institution (enrolled department/school) and the Host Institution disburses the fund to the Fellow according to scheme agreed upon in the Agreement. (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. 8,000 for 18 months	144,000	Three installments paid to the Fellow
b	Thesis preparation support	20,000	
c	The UGC Support for Publication of Research Article	75,000	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 75,000	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, Study Materials	40,000	Upon submission of a plan, material list 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	Printing	20,000	Paid if request is made along with a copy of approved thesis, provisional certificate, softcopy of a thesis within 6 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	<input type="checkbox"/>	Young	<input type="checkbox"/>	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	<input type="checkbox"/>	e. Education		
	b. Science & Technology	<input type="checkbox"/>	f. Humanities & Social Sciences		
	c. Health Sciences	<input type="checkbox"/>	g. Management		
	d. Engineering	<input type="checkbox"/>			
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)
Name of Co-supervisors (if any)	

**4. Research Infrastructure in Your Institution**

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

**5. 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 2021 (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>

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

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

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

Period	of	Designation	Name and address	Assignments	Permanent/	Full Time/

service			of the institution		Temporary	Part Time
From	To					

**8. 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>

**9. 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

**10. 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 2021 Section 1.15 for the National Priority List

### 11. 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

### 12. 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		

### 13. Documents required (Check 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

**14. 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)

.....  
**Signature**  
**Name: .....**  
**Designation:.....**  
**Date:.....**  
**PhD Co-supervisor (if any)**

**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 Research Development and Innovation Programs Implementation Guidelines 2021, 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: .....

<b>Thumb</b>	
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 chemical
- 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 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]

**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	1	2	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)		

2. Reviewer's comments and recommendations	
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*

This agreement is made on this \_\_\_\_\_ day of \_\_\_\_\_ in the year **2021** 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 10000 X 36 months	360,000	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 (see Appendix 5.5 for the format) 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 75,000	Reimbursement (Conditions apply**)
Part B: The UGC PhD Research Support Grant			
	Research Category*	Amount (Rs.)	Disbursement
	[A] [B] [C]	[Please Type Approved Grant Amount]	1. Nepalese University: The UGC transfers the grant in bulk to the Host Institution and the Host Institution disburses the fund to the Fellow according to estimated research budget  2. Foreign University: PhD Research Support is not provided to Students enrolled in Foreign University

\*Research category:

[A] Wet laboratory based: Rs. 5,00,000

[B] Social survey based: Rs. 3,00,000

[C] Library based or dry laboratory based: Rs. 2,00,000

\*\*As specified in Research Development and Innovation Programs Implementation Guidelines 2021.

### **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 2.7 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 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.
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.
9. Each page of agreement must be duly signed by the Fellow.

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

1. All the terms and conditions mentioned in The UGC Research Development and Innovation Programs Implementation Guidelines 2021 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: Prof. Shankar Prasad Bhandari  
 Designation: Secretary  
 University Grants Commission  
 Date: \_\_\_\_\_

2. PhD Fellow

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

3. On behalf of UGC

Signature: .....  
 Name: .....  
 Designation: Research Director  
 University Grants Commission  
 Date:

4. On behalf of the Host Institution

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

5. 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	<input type="checkbox"/>	Young	<input type="checkbox"/>	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., District:	Issuing	A7. Underprivileged Group:
A8. Permanent Address:		A9. Mailing Address:	
A10. Telephone: • Residence: • Office: • Mobile:	A11. Email:		A 12. 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 2021, 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/Madhese (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	48,000	After submitting receipt/proof of admission, Declaration of 'No Support' from other source
Second Installment	48,000	After submitting the certificate of successful completion of the first semester
Third Installment	48,000	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 2021 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

Affix a  
passport  
size color  
photo

MMR-1

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

M.Phil.	<input type="checkbox"/>	Masters	<input type="checkbox"/>	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 Research Development and Innovation Programs Implementation Guidelines 2021, 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  $\checkmark$  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 2021, 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: .....

Thumb	
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
<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 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 *2019* 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 75,000	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 Research Development and Innovation Programs Implementation Guidelines 2021 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 letter):	
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  if included)**

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

**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 2021, 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 2021, 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	17,00,000
		C	12,50,000
2	Faculty Research Grant	A	4,00,000
		B	3,00,000
		C	2,00,000
3	Small RDI Grant	A	2,00,000
		B	1,50,000
		C	100,000

\* Classes:

Class A: Wet laboratory based research

Class B: Social survey research

Class C: Dry lab based or Library based research

\*\* 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 5% 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**

<b>You are Applying for:</b>		<b>Application Fee (Only for PI)</b>	<b>Filed by the UGC</b>
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:

<b>You are Applying as</b>	<b>Type of the Support Requested:</b>
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**

1. The UGC Collaborative Research Grant (3 Years): Principal Investigator and at least 2 Co-Investigators
2. The UGC Faculty Research Grant (2 Years): Principal Investigator and at least 1 Co-Investigator
3. 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 $\surd$ )	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 $\surd$ , 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 Research Development and Innovation Programs Implementation Guidelines 2021, 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 Research Development and Innovation Programs Implementation Guidelines 2021, 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 cannot 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 2021, 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, Collaborative research and Innovation)

### UGC Collaborative Research Grant for Faculty Members

#### OUTLINE FOR BUDGET ESTIMATE

**Funding limit:** Funding limit for various categories of research and grants.

(Please breakdown the budget estimate in yearly basis)

#### A. Personnel Cost

A1. Faculty members (each faculty member can charge not exceeding 10% of the basic salary per month during the project period based on the research time allocation and contribution)

A2. Postdoctoral Fellow: Maximum up to two years with monthly stipend not exceeding Rs. 40,000

A3. Students (Stipend for each students should not exceed Six Months for Masters and 24 months for PhD). Per month Stipend for masters/MPhil and PhD students should not exceed NRs. 20,000 and 30, 000 respectively)

A4. Collaborators outside universities: The maximum value of total time compensation for each collaborator should not exceed 80% of the total basic salary of a faculty member (PI)

A5. Short term Consultant remuneration should not exceed 10% of (A1+A2+A3+A4)

#### B. Equipment, Consumables and Services

B.1. Research infrastructure (max. 10% of project budget; Computer and Software (specify)

B.2. Equipment and Instruments (specify)

B.3. Special Reagents/Kits/Chemicals (specify)

B.4. Consumables-office supply, communications

B.5. Repair and maintenance cost

B.6. Laboratory upgrading cost sharing

B.7. Service (For e.g. Access to scientific instruments, Subscription to open access journals or publications; organizing trainings/ workshop, patent filling etc.)

B.8. Other (specify, add more items as necessary)

#### C. Travel costs

C.1. Travel Cost covers expenses of project team (faculty and students) related to field work, in project meetings, attending national or international conferences or workshops to present research results from the project

#### D. Facilities and Administrative Cost

G.1. Institutional Overhead Cost (5% of the total budget)

G.2. Project Accounting and Auditing

G.5. Documentation and Publication Cost

G.6. Contingency Cost (not exceeding 2.5% of the total project cost)

### 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 2021, 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>	
<b>Right</b>	<b>Left</b>

**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	<input type="checkbox"/> Pass (40 marks or more)	<input type="checkbox"/> Fail (less than 40 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: [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)			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 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 PI (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 (Inter departmental/Inter-universities)	4	

	Three or more Co-Investigators (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)	6	
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. 40% after the signing of the agreement and submitting revised proposal (if any)</li> <li>2. 30% after the submission of the first Progress Report (Inception Report) to the UGC</li> <li>3. 20% after the submission of the second progress report prior to the final report to the UGC</li> <li>4. 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)</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 2021* 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 Standing 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

2. Principal Investigator

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

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

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

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

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

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:		Rating (Please circle the number OR give your own mark)					SCORE
Indicators		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	0.75	1.5	2.25	3	
b	Abstract ( <i>Summarized very well</i> )	0	0.75	1.5	2.25	3	
c	Background/ Context/ Problem ( <i>Adequate and well-contextualized</i> )	0	0.75	1.5	2.25	3	
d	Literature Review ( <i>Adequate, well-contextualized and carefully selected</i> )	0	0.75	1.5	2.25	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	0.75	1.5	2.25	3	
k	Limitations and Delimitations ( <i>Honestly described and reasonable</i> )	0	0.75	1.5	2.25	3	
l	Ethical and Safety Issues ( <i>Well-addressed, even when not-applicable</i> )	0	0.75	1.5	2.25	3	
m	Gantt Chart	0	0.75	1.5	2.25	3	

	(Well-planned)		7 5		5		
n	Organization, Format (Well-organized, Standard format followed, uniformity)	0	0. 7 5	1.5	2.2 5	3	
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 (Candidate has passion and sufficient knowledge about intellectual property issues)	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		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: ... ..

### 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/Madhese (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 2021, 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.

\_\_\_\_\_  
Name: \_\_\_\_\_  
Commission Sanothimi, Bhaktapur

Signature  
Research Director  
University Grants  
Nepal

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	100,000 - 2,00,000	Follow the procedure for Small RDI grant
2	200,000 - 400,000	Follow the procedure for Faculty Research grant
3	15,00,000 - 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 (___)                      Review Article (___)                      Other (___)
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 3.22. Application Form for the Technical Innovation, Scientific Investigation and Research Grants



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport size  
color photo

#### **Incomplete application will not proceed for evaluation**

[Application fee: Rs. 1000]

<b>You are Applying as</b>	Principal Investigator (PI)	Co-Investigator (Co-I)
----------------------------	-----------------------------	------------------------

#### **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. The role of the Research: Technical Innovation, Scientific Invention <input type="checkbox"/>	
B3. Proposed Budget:	
B4. No. of Investigators:	
B5. Proposed Period of Study:	
Name of Co-Investigator(s)	Current Institution/Department (Indicate on the right with $\surd$ , if the institution is a Community Campus)
1.	
2.	
3.	
4.	

**B6. 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]

**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 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		
4		

3. Academic Research Supervision ( <b>Please attach separate sheet if necessary</b> )				
	Level (PhD/ MPhil/	Title	Completion Year (Viva	Name of Student
1				
2				
3				
4. Research Methodology Training ( <b>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>Title</li> <li>Abstract</li> <li>Background</li> <li>Problem Statement</li> <li>Literature Review and Research Gaps</li> <li>Foundational/Preliminary Work (<i>done by any team member, if any</i>)</li> <li>Theoretical/Conceptual Framework</li> <li>Conjectures/Hypotheses, Research Questions</li> <li>Research Objectives</li> <li>Study Design, Methods, Tools and Data Analysis</li> <li>Expected Findings</li> <li>Innovation, Creativity and Originality</li> </ol>
---

- l. Expected Outputs (Student Training and Publications)  
 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*)  
 s. Sustainability Plan on Research and Innovation for five years

H2. Use the following format for DEVELOPMENT/INNOVATION PROPOSAL

### 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. Documents required (Check if included)

1	Detailed Research Proposal (3 copies + 1 CD)	
2	Copy of Citizenship	
3	Copy of appointment letter and Job Certificate	
4	Copies of Academic Degree (PhD)	
5	Copies of First Page of Research Articles with Abstract and an evidence of Rank/Peer-Reviewed Journal (if any)	
6	Curriculum Vitae	
7	Applications from Co-Investigators	
8	Previous UGC Grant Certification (if any)	

### K. 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
<b>3. From the Institution of a Co-Investigator (If different than above)</b>		
Name: Designation: Institution: Address:	Signature	Official Seal

Note: Add additional rows, if necessary.

**L. Undertaking by the Applicant:**

I hereby declare that I have read The UGC Policy and Procedure against Research Misconduct 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: .....

Thumb	
Right	Left



### Appendix 3.23. Proposal Evaluation Form for Technical Innovation, Scientific Investigation and Research Grants

University Grants Commission  
Sanothimi, Bhaktapur

Applicant's Code: .....

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	
1.	Research Title (Clear, National priority)	0	0.63	1.25	1.87	2.5	
2.	Background, Problem Statement (Adequate, relevant, well-stated)	0	0.63	1.25	1.87	2.5	
3.	Literature Review and Research Gaps (Adequate, relevant and gaps identified)	0	0.63	1.25	1.87	2.5	
4.	Foundational / Preliminary Work (done by the Investigators) (Relevant and strongly supporting to the study)	0	2.5	5	7.5	10	
5.	Theoretical/Conceptual Framework, Conjectures/Hypotheses, Research Questions (Well framed)	0	1.25	2.5	3.75	5	
6.	Research Objectives (Academically interesting, adequate, achievable)	0	1.25	2.5	3.75	5	
7.	Study Design, Methods, Tools and Data analysis (Faultless, advanced, well-suited and skillful)	0	2.5	5	7.5	10	
8.	Expected Findings (Envisioned Clearly and academically significant)	0	2.5	5	7.5	10	
9.	Innovation, creativity and originality	0	2.5	5	7.5	10	







**Appendix 3.24. Research Proposal Oral Presentation Evaluation Form for Technical Innovation, Scientific Investigation and Research Grants**

University Grants Commission  
Sanothimi, Bhaktapur

Applicant's Code: .....

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	Excell		
1	Quality of the Research Proposal (28)						
	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. 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	0.5	1	1.5	2	
2	Competence of the candidate/Team (16)						
	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</i>	0	1	2	3	4	

	<i>familiarity with quality journals, and commitment to students' theses)</i>						
3	Quality of the presentation						
	a. Well-organized	0	0.5	1	1.5	2	
	b. Fluently delivered	0	0.5	1	1.5	2	
	c. Impressive answers during Q/A	0	0.5	1	1.5	2	
Total (out of 50)							
Minimum 25 score is require for the final selection round.							

<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:	
Excellent	<input type="checkbox"/>
Good	<input type="checkbox"/>
Moderate	<input type="checkbox"/>
Poor	<input type="checkbox"/>
D. Your recommendation and Justification for the Grant Award to the Proposed Study :	
Award the Grant	<input type="checkbox"/>
Not Sure	<input type="checkbox"/>
Do Not Award the Grant	<input type="checkbox"/>
Justification for Your Recommendation	
E. Suggestions for the Improvement/Revision of the Proposal: [Use additional Sheets if Needed]	
F. Comment on Proposed Budget and Justification:	
Evaluator's Signature: ... ..	
Evaluator's Full Name: ... ..	
Date: ... ..	

### Appendix 3.25: Evaluation of research activities of the Principal Investigator and team for Technical Innovation, Scientific Investigation and Research Grants

S.N.	Indicators and marks	Maximum Score	Marks Scored
1	Publication Record of the Principal Investigator Patent (5 for each) Article in journal/Proceeding with Q1 and Q2 SJR (5 for each) Article in journal/Proceeding with Q3 or below SJR (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>	10	
2	Publication Record of the Co-Investigators (cumulative) Patent (2 for each) Article in journal/Proceeding with Q1 and Q2 SJR (2.5 for each) Article in journal/Proceeding with Q3 or below SJR (0.5 for each, Maximum marks 5) Research experience/Supervision of academic research (Phd-1 Marks for each,)	5	
4	Broader Collaboration (Inter-university/ International) Three or more Co-Investigators (4)	5	
Subtotal		20	

*Notes: 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.*

## Appendix 3.26. Agreement for Technical Innovation, Scientific Investigation and Research Grants



### UNIVERSITY GRANTS COMMISSION Sanothimi, Bhaktapur, Nepal

#### *Technical Innovation, Scientific Investigation and Research Grant* [Subject to change during the 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 Host Institution]: .....
3. [Name of the Principal Investigator] .....
4. [Name of the Team Members]: .....

(hereafter, referred to as “parties”)

in connection with the **UGC Technical Innovation, Scientific Investigation and Research Grant** awarded to the research team led by the Principal Investigator ..... for the Research proposal entitled .....

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

#### **Terms and Conditions**

##### **F. Right, Duties and Obligation of the UGC**

5. Determine the amount of the grant to be awarded for this Research Grant 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.
6. 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.
7. Periodically monitor the progress. For this, UGC will form a steering committee to guide, monitor and evaluate all the research progress made starting from the inception report until the finalization. Contribution of steering committee must be acknowledged in all publications related to this research.
8. 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.
9. Assist the Host Institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.
10. 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.

## G. Grant Disbursement

11. The **UGC Technical Innovation, Scientific Investigation and Research Grant** Research Budget Estimate prepared based on the budget estimate outline shown in Appendix 3.26 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.
12. 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.
13. 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.
14. 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>Technical Innovation, Scientific Investigation and Research Grant</b>	
<b>A. Research Fund</b> (Transferred to the Host Institution of the Principal Investigator)	
Amount (Rs.)	Installments
	1. 60% after submitting the revised proposal to the UGC and the signing of the agreement 2. 30% after the submission of the Final draft Report to the UGC 4. 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 8 for publication)
<b>B. Institutional Overhead Cost</b> (Paid to the Host Institution of the Principal Investigator)	
Amount (Rs.)	Disbursement
5% of Total Grant	<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>

15. 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.
16. 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.
17. Laboratory equipment, reagents, consumables and software purchased with the Research Support Fund are the property of the Host Institution
18. For any patentable invention, a separate agreement complying with the policies of universities to which the Investigators belong shall be made
19. The Final Report must include the financial report of the research project

## H. Obligation of the Host Institutions

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

- vi. Provide full institutional support to the research team and the research project.
- vii. Assist the Principal Investigator and the Co-Investigators in regard to fulfilling their obligation to supervise thesis students as specified in Article D-1.
- viii. 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).
- ix. Abide by the UGC regulations related to research and academic programs.
- x. Monitor the progress of the project and facilitate any monitoring by the UGC.

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

- vi. Accept the installment of the research grant disbursed by the UGC for the research project.
- vii. Disburse the research grant received from the UGC to the Principal Investigator according to the scheme outlined in the Section B.
- viii. Audit the financial statement of the Research Project as per rules of the Institution.
- ix. 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.

## I. Obligation of the Principal Investigator and Co-Investigators

7. Supervise at least [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. Provide research support to Postdoctoral Scholar
9. Maintain the highest level of academic integrity and research ethics.
10. 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.
11. Accommodate the UGC's reviewers' suggestions on the research proposal and periodic progress reports.
12. **Submit a progress report and make an oral presentation every six months. Progress made will be evaluated by a steering committee formed by UGC.** The progress report should be of 5-10 pages (3,000 to 5,000 words) and include progress in research, academic activities and a financial statement on the spending of the research fund.
13. Make a final oral presentation on research work after the submission of final draft report to the UGC. **All the progress report submitted at UGC will be checked for plagiarism.**
14. **Publish at least two 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.**

**J. Other Conditions**

13. 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.
14. The Principal Investigator 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.
15. 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.
- 16. 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 Steering Committee.**
17. 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.
18. 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).
19. 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.
20. 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.
- 21. The Research must be completed within 2 years from the date of the first installment of the grant is disbursed. Extension for three 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 two years and three 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.**
22. The materials purchased with the research fund are the property of the Institution or the laboratory of the Principal Investigator at the Institution.
23. 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: .....

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

Designation: Secretary

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



University Grants Commission

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

[Official Seal]

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

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

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

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

### 3. On behalf of UGC

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

Name:

Designation: Research Director

Research Division, UGC

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

### 4. Co-Investigator-1

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

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

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

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

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

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

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

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

### 5. Co-Investigator-2

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

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

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

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

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

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

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

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

## Appendix: 3.27 UGC Research Grants Budget Outline

### UGC Research Grant for Faculty Members OUTLINE FOR BUDGET ESTIMATE

**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)

#### **B. Personnel Cost**

- A1. Faculty members (each faculty member can charge not exceeding 10% of the basic salary per month during the project period based on the research time allocation and contribution)
- A2. Postdoctoral Fellow: Maximum up to two years with monthly stipend not exceeding Rs. 40,000
- A3. Students (Stipend for each students should not exceed Six Months for Masters and 24 months for PhD). Per month Stipend for masters/MPhil and PhD students should not exceed NRs. 20,000 and 30, 000 respectively)
- A4. Collaborators outside universities: The maximum value of total time compensation for each collaborator should not exceed 80% of the total basic salary of a faculty member (PI)
- A5. Short term Consultant remuneration should not exceed 10% of (A1+A2+A3+A4)

#### **B. Equipment, Consumables and Services**

- B.1. Research infrastructure (specify)
- B.2. Equipments and Instruments (specify)
- B.3. Special Reagents/Kits/Chemicals (specify)
- B.4. Consumables-office supply, communications
- B.5. Repair and maintenance cost
- B.6. Laboratory upgrading cost sharing
- B.7. Service (For e.g. Access to scientific instruments, Subscription to open access journals or publications; organizing trainings/ workshop, patent filling etc.)
- B.8. Other (specify, add more items as necessary)

#### **C. Travel costs**

- C.1. Travel Cost covers expenses of project team (faculty and students) related to field work, in project meetings, attending national or international conferences or workshops to present research results from the project

#### **D. Facilities and Administrative Cost**

- G.1. Institutional Overhead Cost (5% of the total budget)
- G.2. Project Accounting and Auditing
- G.5. Documentation and Publication Cost
- G.6. Contingency Cost (not exceeding 2.5% of the total project cost)

## Appendix 4 Research Infrastructure Support

### Appendix 4.1 Outline for Proposal of Specialized Research Laboratory

1. Title
2. Background and Rationale
3. Objectives
  - Overall Objectives
  - Specific Objective
4. Capacity building needs with respect to current situation

#### Inventory of equipment and instruments in Specialized Research Laboratory

Instruments/Equipment	Quantity	Use for which analysis	Quality(ages, working condition, etc.	Remarks (Repair, calibration, maintenance)

**Checklist for Equipment, Instruments and Infrastructure**

S.N	Items	Yes	No	Remarks
1.	Availability of essential and specialized equipment			
2.	Inventory of equipment			
3.	Repair and maintenance			
4.	Performance check of equipment			
5.	Traceability of calibration of equipment			
6.	Status of Laboratory supplies			
7.	Environmental stresses (e.g. temperature, vibrations, wind, dust, smell, etc.)			
8.	Safety devices(fume hoods, emergency showers, eye touches, fire extinguishers, fire blanket)			
9.	Layout, size, structural condition, of laboratory buildings			
10.	Availability of available space for bench testing, equipment, administrative activities and general storage			
11.	Secured environmental controlled areas			
12.	Uninterruptible power supply(UPS)			
13.	Means of water supply controlled by static pressure or electricity			
14.	Specialized gas supply schemes (hydrogen, nitrogen, oxygen, helium etc.)			
15.	Validation of new equipment			
16.	Maintenance system and records			
17.	Standard operating Procedure(SOPs)			
18.	Availability of reference materials (Weights, thermometers, pressure gauze etc.)			
19.	Monitoring of environmental conditions			
20.	Trouble shooting orientation to equipment operators			
21.	Good Housekeeping /Store			

5. Proposed modality of "Specialized Research Laboratory "
  - a. Expected beneficiaries
  - b. Innovative features of the laboratory model
6. Strategy for sustainability (at-least five-year operational plan)
7. Operational plan
8. Risk Analysis
9. Detailed Budget
10. Expected Outcome
11. Baseline report of the existing laboratory to be developed/strengthened

**Appendix 4.2. Proposal Evaluation Form**

**The UGC Laboratory Grant for Technical and Scientific  
Investigation and Innovation Research**

University Grants Commission  
Sanothimi, Bhaktapur

Applicant's Code: .....

Title of the Proposed Specialized research laboratory:

S.N.	Indicators	Scoring Criteria					Score
		Poor	Fair	Good	Very good	Excellent	
1.	Background and rationale	1	2	3	4	5	
2.	Objectives	1	2	3	4	5	
3.	SWOC Analysis	1	2	3	5	6	
4.	Identification of capacity building needs	1	2	4	6	8	
5.	Proposed modality of research laboratory	0.5	1	1.5	2	3	
	a. Beneficiaries	0.5	1	1.5	2	3	
	b. Innovative features	1	2	3	4	5	
6.	Sustainability plan	1	2	3	4	5	
7.	Overall operational plan	1	2	3	5	8	
8.	Expected Outcome	1	2	3	4	5	
9.	Infrastructure and Environment	1	3	5	8	10	
10.	Equipment and Instrument management	1	3	5	8	10	
11.	Test methodology	1	2	4	5	7	
12.	Safety devices	1	2	3	4	5	
13.	Calibration	1	2	3	4	5	
14.	Validation of equipment	1	2	3	4	5	
15.	Reference materials	1	2	3	4	5	
	Total score						

**Reviewer's comments and Recommendations:**

A. Major strengths of the proposed Proposal:

B. Major weaknesses of the Proposal:

C. Suggestions for the improvement/Revision of the Proposal:

D. Comment of Proposed Budget and Justification based on the identified equipment:

Reviewer's Signature

Reviewer's Full Name: .....

Reviewer's Institution: .....

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/ 2075-76 /2076-77 / 2077-78 / 2078-79
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 of 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/ 2075-76 / 2076-77 / 2077-78 / 2078-79
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: (5-10 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 / 2076-77 / 2077-78 / 2078-79
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: (5-10 pages)
- b. Problems encountered and solved (if any)
- c. Major research findings as per the objectives
- d. Overview of what remains to be done
- e. Time schedule for the remainder of the research

f. Academic activities (Collaborative approaches, Conference, Training, Workshop, 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:

- a. Front Page
  - Final Report on [Project Title]
  - Project Type [Small RDI/Faculty/Collaborative Research] and Year of Award
  - Research Team
  - Month and Year of Submission
  - Submitted to UGC
- b. Inner Page (same as the Front Page)
- c. Preface
- d. Acknowledgement
- e. Main body
  - Abstract/ Executive Summary
  - Background and Research Gaps
  - Problem Statement
  - Theoretical/Conceptual Framework
  - Research Objectives
  - Study Design, Methods, Tools and Data Analysis
  - Results
  - Discussion
  - Conclusion/Recommendations
  - Statement on Ethical/Safety Issues
  - References/Bibliography
- f. Student training and outcome
- g. Financial Statement / Expenditure Details
- h. List of Scientific Publication from the project

- 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: ... ..

University Grants Commission  
Sanothimi, Bhaktapur

**Appendix 5.11 SRDIG/FRG/CRG Draft Report Oral Presentation Evaluation Form**

Applicant's Name:

Cluster:

Title of the Proposal:

Criteria/Indicator	Status (Please mark respective status)				Comment/Suggestions (Please use additional sheet if necessary)
	Poor	Fair	Good	Excellent	
<b>1 Presentation Skills</b>					
a. Clearly communicates the subject matter					
b. Remains focused on topic					
c. Motivation towards research					
d. Clarity in visual aids					
<b>2 Content/Organization</b>					
a. Clearly describes objectives of the research					
b. Understanding of the methods presented					
c. Well organized and focused logically					
<b>3 Research Dissemination</b>					
a. Enthusiasm in Publication					
b. Enthusiasm in Participations to National/International Seminars/Conferences/Workshops					
<b>4 Clarity in Budgetary Details</b>					
<b>5 Comprehensive Conclusion</b>					
<b>5 Clearly describes the future directions</b>					
<b>6 Overall Performance</b>					

Reviewer's final comment: (Please use additional sheet if necessary)

**Expert Details**

Name of Experts:

Position:

Institution:

Subject of Expertise:

Name of Bank and Branch:

Bank Account:

PAN No.:

Signature:

Date:

## Appendix 6. Priority Areas for Research Funding

Based on the national priority areas envisioned in National Plans and policies UGC research division manages its research support programs for higher education institutions, faculties and students. The research funding is allocated based on national policy goals and priorities as defined in the Fifteenth National Development Plan, and the National Education Policy-2076. The research priority areas are:

- Poverty Reduction
- Employment generation
- Holistic development of national economy
- Economic and social transformation
- Labour migration
- Foreign investment
- Conservation and development of national heritage
- Innovations
- Promotion of indigenous knowledge and technology
- Conservation and sustainable use of natural resources and environment, including biodiversity
- Agriculture and national resources
- Rising Productivity and employment in agriculture and its diversification and commercialization
- Development of basic education, health, drinking water and sanitation, food and nutrition
- Good governance
- Transportation and other infrastructure
- Water resource Management
- Renewable/Alternate energy
- Small industries and business, Medium scale enterprises
- Entrepreneurship development
- Disaster risk reduction and management
- Global warming and climate change and its mitigation
- Public-private-community participation
- Engineering and information and communication technology (ICT)
- Biotechnology, Microbiology, pharmaceuticals, medicine and nanotechnology