

**Grants-in-aid to Universities, Research Institutions & Individual
Researcher under the Scheme of Planning Commission for Supporting
Socio-Economic Research (SER)**

**Guidelines for Preparation, Submission and Processing of
Research Proposals**

**PLANNING COMMISSION
(SOCIO-ECONOMIC RESEARCH DIVISION)
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<<<<<GUIDELINES>>>>>

1. INTRODUCTION- SCHEME FOR SOCIO ECONOMIC RESEARCH (SER):

The Scheme for Socio Economic Research (SER) of the Planning Commission aims at supporting Studies and Investigations in Planning Methodology and is implemented by the Socio Economic Research (SER) Division in the Planning Commission. Under the Scheme, grants-in-aid to Universities / Research Institutions / Individual Researcher are provided for carrying out research studies and organizing seminars/ workshops etc. relevant to the objectives and programmes of the Planning Commission.

The objective of the scheme is to stimulate research on issues of economic/ social development and need assessment which have a direct bearing on plan formulation or implementation of policies, plans and schemes of the government in the process of development planning.

2. RESEARCH ACTIVITIES ELIGIBLE FOR GRANTS-IN-AID:

Grants-in-aid will be given, for the following activities:

- (1). Undertaking Research Studies including granting of permission for publication of the findings/report of such research study;
- (2). Conducting Seminars/Workshops by institutions only; and
- (3). Publication of research work undertaken by Institutions as well as researchers affiliated to Institutions on the basis of merit of the case. The grant will be conditional so as to ensure publication of only quality research reports/work.

3. ELIGIBILITY OF INSTITUTIONS & INDIVIDUAL RESEARCHERS for seeking grants-in-aid under the SER Scheme:

3.1 Grants-in-aid under the Scheme of Socio-Economic Research (SER) are given only to eligible institutions. To be eligible the following criteria must be fulfilled:-

- (i) *An Institution or Organisation set up as an Autonomous Organisation under a specific statute or as a Society registered under Societies Registration Act, 1860 or Indian Trusts Act, 1882 or other statutes; and academic Institutions accredited / affiliated to a University or Deemed University.*
- (ii) *For any Institution other than those covered under (i), the Institution*
 - a) *must qualify to receive annual recurring grants by specific establishments of the Government like UGC, ICSSR etc., or*

(2)

b) must have successfully executed projects* for certain institutions of Central Government which have been established for financing research, like CSIR, ICMR, ICAR or similar Central Government Organization set up primarily for the purpose of funding research work, *or*

c) must have successfully executed a research project* entrusted by any Ministry/Department of the Govt. of India or State Government.

**Successful execution of the research project* is determined by acceptance of the completed project report and the Utilization Certificate (UC) issued by the Central Government Institution/ Ministry/ Department or Office that has released grants-in-aid to the institution for the research project.

NOTE: To qualify for grants-in-aid, under any one of the above criteria, the grantee/institution must have received the grants-in-aid for conducting research during the last three years and submitted the authentic documents, if required, to establish its eligibility and fulfill various conditions for receiving grants-in-aid under the SER Scheme of the Planning Commission.

Or

(iii) An institution can be declared to be eligible after assessment of:

- a). its research output in the field of development planning/ performance in implementation of project under the scheme/ programme entrusted by the Ministry / Department of the Government ;
- b). the competence and availability of its full-time faculty members or its associates; and
- c). infrastructure available with the institution for research work.

3.1.2 The eligibility of an institution will be assessed by SER Division of the Planning Commission. The modalities for assessment of competence of the institution for research will be determined by Planning Commission.

3.2. Any institution, which has been black listed or debarred from receiving any grant from the Government, will not be considered for funding under the SER Scheme.

3.3 *Individual Research Scholars* of repute in specialized field or those affiliated to eligible institutions are also eligible for funding under SER Scheme. Such scholars are required to submit research proposals, including their full bio-data indicating details of teaching or research experience, projects undertaken and completed etc.

3.4 The eligibility criteria for determining whether an individual researcher or an Institution should be considered of national repute shall be decided by Adviser-in-charge (SER) in consultation with Adviser-in-charge of the concerned Subject Division.

4. RESEARCH PROPOSAL for STUDY:

The research study proposals which are relevant to the policies, planning & programme of the Planning Commission in the process of development planning should be submitted in format as per Annexure-1 (A to D). Normally, proposals for evaluation study shall not be considered under the SER Scheme.

4.1 TYPES OF STUDY PROPOSALS – SOLICITED & OTHER:

4.1.1 SOLICITED PROPOSALS:

The Subject Matter Divisions (SMDs) of the Planning Commission shall periodically identify *Thrust Areas / Topics for Research Studies* and inform the SER Division who in turn will invite proposals from eligible Institutions or from individual researchers or researchers affiliated to institutions by putting up a list of such Thrust Areas / Topics for Research Studies on the official web site of the Planning Commission.

i) Research Study Proposals invited by the Planning Commission are treated as *Solicited Proposals*.

ii) A **SOLICITED PROPOSAL** shall be examined in the SER Division in consultation with the Subject Division and placed before the Group of Advisers (GOAs) for sanction of Grants-in-aid for Research Studies. *The subject divisions will indicate how the proposed study will be useful to that Division in the discharge of its functions, and how the findings are proposed to be used after the study is completed.*

4.1.2 **OTHER PROPOSALS:** Proposals submitted suo-motto by an Institution/Researcher on subjects of their specialisations are termed as *Other Proposals*. These proposals should be submitted, directly, to Adviser-in-Charge (SER) for further processing and obtaining comments & views of the concerned Adviser-in-charge of the Subject Matter Division and placed before the Group of Advisers (GOAs) for sanction of grants-in-aid for Research Study. *The subject divisions will indicate how the proposed study will be useful to that Division in the discharge of its functions, and how the findings are proposed to be used after the study is completed.*

The views of the concerned Ministry/Department need not be obtained by the subject Division.

4.2 PROCESSING OF RESEARCH STUDY PROPOSALS AND DECISION:

All research study proposals received by the Planning Commission shall be initially processed by the SER Division with the approval of Adviser-in-charge in accordance with these guidelines; and in consultation with the Adviser-in-charge of the concerned subject division and after obtaining the concurrence of the Additional Secretary and Financial Adviser (AS & FA), Planning Commission shall be placed before the Group of Advisers for sanction of grants-in-aid under the SER Scheme.

Group-of-Advisers (GOAs) for Grants-in-aid for Research:-

- 4.2.1 The Group-of-Advisers, headed by Secretary, Planning Commission or in his/her absence Principal Adviser (Plan Coordination) in the Planning Commission shall consider the research proposals from Eligible Institutions / Researchers for Grants-in-aid under the SER Scheme.
- 4.2.2 The Group of Advisers under the Chairpersonship of Secretary, Planning Commission or Principal Adviser (Plan Coordination) shall normally meet once every quarter of the Financial year to decide the quantum of financial support, duration, objectives, methodology and other parameters concerning the research study for all solicited as well as other proposals processed during the period between two meetings.
- 4.2.3 The proposals approved / rejected by the GOAs shall be put up for consideration of the concerned Member of respective Subject Division.
- 4.2.4 The SER Division shall thereafter issue a detailed sanction specifying terms and conditions for acceptance by the Institute / Researcher for undertaking the research study with the grants-in-aid provided under the SER Scheme
- 4.2.5 A note on Research Study proposals finally approved shall be put up for information of Deputy Chairman, Planning Commission.
- 4.2.6 In priority cases the Secretary, Planning Commission may give formal approval for grants-in-aid for the research proposal on the basis of recommendation of Member-in-Charge of Subject Division and concurrence of AS & FA, Planning Commission. Such proposals shall be placed before GOAs at its next Meeting for information (*Note: Priority Study is defined below para 4.3*).
- 4.2.7 For examination of Research Study Proposals for grants-in-aid or reviewing of progress / draft report/ final report of the study, the concerned SMD shall offer their comments/views within a period not exceeding six weeks.
- 4.2.8 The SMD may ask, if required, for a presentation from the institution on objectives and methodology of the proposed study; about the profile of the institution as well as Project Director in the context of quality and usefulness of the study.
- 4.2.9 A proposal for grants-in-aid can be rejected before being put upto GOAs by the Adviser (SER)/Deputy Adviser or Deputy Secretary (SER), if necessary, in consultation with the Subject Division and under intimation to the Institution on one of the following grounds:
- i. The proposal is not as per the format prescribed in these Guidelines or accompanied by requisite documents;

- ii. Report of an earlier study conducted by the Institution or the Utilization Certificate or any other information sought in connection with the study proposal is pending;
- iii. The subject matter of proposed study is considered not relevant to the Planning Commission or not as per the requirement of the Planning Commission; or/and
- iv. The sample size, area of coverage or methodology proposed is found to be not up to the mark.

4.3 AMOUNT OF FINANCIAL SUPPORT AND TIME LIMIT FOR RESEARCH STUDIES:

4.3.1 Grants-in-Aid for Studies: The ceiling for the **cost for studies** is admissible as indicated below:

- i. In case of small sample size studies, up to **Rs. Eight lakh.**
- ii. In case of medium sample size studies up, to **Rs. Twelve lakh.**
- iii. In case of substantially big sample size studies, considering the significance, usefulness and desirability of the study, assessed by the Adviser -in- charge (SER), up to **Rs. Fifteen lakh.**
- iv. The ceiling of Research Studies undertaken by an *Individual Research Scholar* would be up to **Rs. Three Lakh**

Or

The actual expenditure incurred by the grantee institute/ researcher, whichever is less.

Definitions: - The following standard and norms shall be considered for respective categories of the studies for grants-in-aid, based on average possible sample size of 150 sample units per State/UT:

Small Sample Size Study: Generally covering up to *four States/ Union Territories* (UTs) or one to eight districts from the selected States/UTs *or* total sample size not less than 600 final stage units (respondents).

Medium Sample Size Study: Generally covering up to *eight States / Union Territories* (UTs) or nine to sixteen districts from the selected States/UT *or* total sample size not less than 1200 final stage units (respondents).

Big Sample Size Study: Sample size of the study or coverage of states or districts beyond those of medium sample size study. The decision in this regard would be taken by the Adviser-In-Charge (SER), in consultation with Adviser-in-charge of the concerned Subject Division.

Cost & Duration of the study based on secondary data: would be considered in any of the above categories and specified by the Adviser-In-Charge (SER) for grants-in-aid, in consultation with the Adviser-in-Charge of the concerned Subject Division.

Priority Study: The study proposals on specific recommendation from Prime Minister's Office; Deputy Chairman or Members, Planning Commission shall be considered as Priority studies for Grants-in-aid, based on the cost estimate, duration etc. as per para 4.2.6 of these guidelines.

4.3.2 The Time Limit for completion of any research study in case of (i) Small Sample Size not more than 8 Months (ii) Medium Sample Size not more than 10 Months; and (iii) Big Sample Size not more than 12 Months. The requests for extension in the period for completion of the on-going study may be considered on merit by the Adviser-in-Charge (SER).

4.3.3 *The date of release of first installment by Planning Commission shall be considered as the date of commencement of the research study for consideration of the duration/period of completion of the assigned study. The time taken by Planning Commission in examining a progress report/draft report/final report will not be taken into account in calculating duration of a study.*

4.4 DISBURSEMENT OF AMOUNT FOR RESEARCH STUDIES:

Grants-in-aid for research studies shall be disbursed in three installments as under:

Installment	Percent of Approved Amount	Stage
1st	30	On approval and after receiving the acceptance of Terms and Conditions on Bond* on ten rupees Non-Judicial Stamp duly executed by Head of the Institution, authenticated on each page <i>along with the draft structured / Non-structured questionnaire / Schedules of every level of data / information collection for the study. The questionnaire/Schedule will be reviewed in accordance with these Guidelines for release of First Installment.</i>
2nd	45	After the review of <i>Draft Report or Progress Report</i> containing modified / updated Schedules / Questionnaires and out put in physical terms e.g.: data collected, compiled and table plan/tables prepared etc. of the work done with the brief analysis/report and the receipt of UC (in the prescribed Format*) of the First Installment released for the study, duly signed by the Head of the Institute.
3rd	25	After receipt of desired number of copies of <i>Final Report</i> of the study [<i>Printed and bound (not spiral) in a book form in A5 or A4 size best quality paper</i>], CD –ROM containing complete final report, UC of full amount approved and certified statement of expenditure of amount incurred on the study, duly signed by the Head of the Institute.
Total	100	

* **Specimen of Bond and Utilization Certificate** are at *Annexure-3 and Annexure-4* respectively.

4.5 ASSESSMENT AND REVIEW OF PROGRESS OF STUDIES

4.5.1 Adviser-in-Charge (SER) shall seek advice / views/ comments of the Adviser-in-charge of the concerned Subject Matter Division on *Questionnaire / Progress Report / Draft Report / Completed Study Report*

4.5.2 Assessment regarding acceptability of *Questionnaire / Progress Report / Draft Report / Completed Study Report* shall be made by Adviser-in charge (SER) based on the advice/comments given by the Adviser-in-charge of the concerned SMD or observations of the SMD made on the presentation, if any, given by the Institution/Researcher.

4.5.3 The Institutions / Researchers may be reimbursed for to-and-fro Traveling Allowances (II-AC) only by Rail by the Planning Commission under the SER Scheme for giving presentation in the Planning Commission, if necessary, on Objectives/ Methodology of the Research Study proposal for discussion and consideration of *Proposal / Progress Report / Draft Report / Completed Study Report* under Para 4.5.2 and Para 10 of Guidelines.

4.5.4 A separate object head for Domestic Travel Expenses shall be created under the Major Head “Studies and Investigations in Planning Methodology etc.” for meeting expenditure on Travelling as mentioned above.

5. RESEARCH PROPOSAL for SEMINAR/WORSHOP

- I. The State/ National / International level Seminars /Conferences/ Summit shall be considered for grants-in-aid under the SER Scheme.*
- II. Proposal for seminar/workshop must be submitted strictly in complete format as per **Annexure-2** at least 6 weeks before the date of seminar/workshop for consideration of grants-in-aid under the SER Scheme.*
- III. During a financial year only one proposal from a grantee for conducting a Seminar/Workshop shall be accepted for grants-in-aid. Repeated grants for Seminar/Workshop for years to a grantee institution shall be discouraged and grants for fresh/new institutions would be given preference .*
- IV. Proposals for ex-post facto sanction of grants-in-aid for seminar/workshop shall not be considered under the SER Scheme, except under exceptional circumstances.*
- V. Seminar/Workshop proposal from an individual researcher shall not be admissible for seeking grants-in-aid under the SER Scheme, except under exceptional circumstances.*

5.1 SEMINAR: Purpose of providing grants-in-aid for Seminars/Workshops shall be to stimulate an informed discussion or debate on research themes/topics essential to planning process and development.

5.1.1 **Solicited Proposals:** Advisers-in-Charge of Planning Commission may propose or invite proposals on research themes/topics on which Seminars/Workshops need to be supported under this Scheme.

5.1.2 **Other Proposals:** Proposals submitted suo-motto by Institutions are termed as **Other Proposals**. These proposals should be submitted, directly, to Adviser-in-Charge (SER) for further processing and obtaining comments & views of the concerned Adviser-in-charge of the Subject Matter Division keeping in view provisions of Para 5.1.

5.2 PROCESSING OF SEMINAR/WORKSHOP PROPOSALS & DECISION:

All proposals of Seminars/Workshops received by the Planning Commission shall be initially processed by the SER Division with the approval of Adviser-in-charge in accordance with these guidelines and in consultation with the Adviser-in-charge of the concerned subject matter division.

5.2.1 Adviser-in-Charge of SMDs shall be competent to recommend a proposal for Seminar/Workshop, keeping in view the usefulness of its subject matter and proceedings in work of that Division.

5.2.2 The grants-in-aid shall be sanctioned for organizing Seminar/Workshop after obtaining the concurrence of the AS & FA and approval of the Secretary, Planning Commission under the SER scheme.

5.2.3 The SER Division shall thereafter issue a detailed sanction specifying terms and conditions for acceptance by the Institute for organising the Seminar/Workshop.

5.2.4 A note on Seminar/Workshop finally sanctioned during the period shall be put up for information of GOAs indicating SMD reference, subject matter of the Seminar/Workshop, name of organizing institution, date and amount of grants-in-aid sanctioned etc.

5.3 AMOUNT OF FINANCIAL SUPPORT AND LIMITATION FOR SEMINAR / WORKSHOP:

5.3.1 Grants-in-aid for Seminar / Workshop: The revised limit for Grants-in-aid for a Seminar / Workshop shall be as under:

- (i) up to **Rs. 3.00 lakh** as financial assistance / grants-in-aid for **State Level Seminar** wherein participants come from different districts of the State.
- (ii) up to **Rs. 4.00 lakh** for **National Level Seminar** wherein 25% key participants come from outside the State and ;
- (iii) up to **Rs. 5.00 lakh** for **International Seminar** wherein key participants belong to other countries,

Or

The actual expenditure incurred by the grantee institute, whichever is less.

5.3.2 **National / International Seminar:** The proposals, which are accompanied by authentic document of acceptance or confirmation of participation by key participants along with the subject matter of their papers or lectures to be presented in the seminar/workshop, mentioning the level & size of the seminar shall be considered for categorization as *National or International Seminar* for the purpose of sanction of grants-in-aid. *In the case of International Seminars, the organizers shall be asked to obtain requisite clearances in accordance with guidelines of Ministry of Home Affairs (MHA) [Ref. No. 25022/40/97-F.IV (pt.I) dated 8.5.2002 available at MHA website].*

5.4 DISBURSEMENT OF AMOUNT FOR SEMINAR / WORKSHOP:

Grants-in-aid for Seminar / Workshop shall be disbursed in two installments as under:-

Installment	Percent of Approved Amount	Stage
1 st	60	On Approval- After receiving the acceptance of Terms and Conditions on Bond* on Non-Judicial Stamp Paper of Rs.10/= duly executed by Head of the Institution, authenticated on each page along with the Final Schedule of the Seminar along with confirmation regarding participation of key participants and formal Invitation

to Planning Commission for attending the seminar and in the case of International Seminars, copy of clearance obtained from the nodal / administrative ministry

2nd **40** After receipt of ten Copies of Proceedings of the Seminar/ Workshop; CD, if possible/required, containing complete proceedings of seminar, UC* for the full amount approved and duly certified statement of expenditure on Seminar by the head of the Institution

Total	100
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*** Specimen of Bond and Utilization Certificate are at *Annexure-3 and Annexure-4* respectively.**

6. RESEARCH PROPOSAL for PUBLICATION

The proposal for publication of research work undertaken by an institution or individual affiliated to an institution should be submitted enumerating details about the wide use and application of the publication for scholars engaged in research on development planning.

6.1 GRANTS-IN-AID FOR PUBLICATIONS:

6.1.1 The grants-in-aid for publication of Quality Research Work of an Institution or and individual affiliated to an Institution {Para 2 (3)} shall be sanctioned conditionally* based on its wide use in research and development planning. The Publication grant shall be considered only in those cases, where no grants-in-aid under the SER Scheme have been provided for this research work.

**Conditions for acceptance by institution are mentioned at Annexure-5.*

6.1.2 (a) The amount of grants-in-aid for publication of research work shall be upto **Rs. 2.0 lakhs** to eligible institutions or individual Researchers or Researchers affiliated to eligible institutions. In the case of Institutions of national repute the amount of grant shall be upto **Rs. 3.0 lakhs**.

(b) The grants-in-aid shall be limited to the amount prescribed in the Guidelines or the actual expenditure incurred by the grantee institute, whichever is less.

6.2. PROCESSING OF PROPOSALS for PUBLICATION GRANT:

All proposals for publication grant received by the Planning Commission shall be initially processed by the SER Division with the approval of Adviser-in-Charge in accordance with these guidelines and in consultation with the Adviser-in-charge of the concerned subject division.

6.2.1 Adviser-in-charge of SMDs shall be competent to recommend a proposal for publication grant keeping in view the usefulness of its subject matter to that Division and for wider research.

6.2.2 The grants-in-aid shall be sanctioned for publication under the SER scheme, after obtaining the concurrence of the AS & FA and approval of the Secretary, Planning Commission.

6.2.3 The SER Division shall thereafter issue a detailed sanction specifying terms and conditions for acceptance by the Institute for publication grant

6.2.4 A note on publication grant finally sanctioned during the period shall be put up for information of GOAs indicating SMD reference, subject matter of the publication, name of institution, date and amount of grants-in-aid sanctioned etc.

6.3 DISBURSEMENT OF AMOUNT FOR PUBLICATION GRANT:

Grants-in-aid for publication shall be disbursed in two installments as under:-

Installment	Percent of Approved Amount	Stage
1st	60	On Approval- After receiving the acceptance of Terms and Conditions on Bond* executed on Non-Judicial Stamp Paper of Rs.10/= duly executed by Head of the Institution/Researcher, authenticated on each page along with the Draft Copy or brief of the proposed publication material.
2nd	40	After receipt of desired number of copies of document (book) / publication; CD, if possible/required, containing complete material of the publication, UC* for the full amount approved and duly certified statement of expenditure on publication by the head of the Institution/Researcher.
Total	100	

* **Specimen of Bond and Utilization Certificate are at Annexure-3 and Annexure-4 respectively.**

7. DISSEMINATION & FOLLOW UP ACTION ON COMPLETED RESEARCH:

7.1 The fact that Planning Commission provided financial Support under the Scheme of Socio-Economic Research will be acknowledged on any document produced with its support, whether or not circulated widely, and the disclaimer indicated below will be prominently displayed on such a document.

DISCLAIMER *“The Institution has received the grants-in-aid under the SER Scheme of the Planning Commission to produce the document. Planning Commission is not responsible for findings or opinions expressed in the document prepared. This responsibility rests with the Institution.”*

7.2 The copyright of the published project report of research studies undertaken under the SER Scheme *or* research work published with the help of the Publication Grant shall vest with the Planning Commission.

7.3 Copies of *Final Report* of the study/ *Proceedings of seminar* etc. would be provided to the concerned Subject Matter Division and senior officers in the Planning Commission by the SER Division. SMD may further disseminate the study report etc. to the Ministries/ Departments of Central / State Governments concerned for discussion, use and action in the process of development planning and programmes.

7.3.1 *The findings of a study may be discussed with the Administrative Ministries during the Annual Plan discussion for fine tuning of programmes.*

7.4 PERMISSION FOR PUBLICATION OF FINDINGS/STUDY REPORTS ETC FOR WIDE USE:

7.4.1 Permission for publication of Findings/Report of the Study carried out with the grants-in-aid provided under the SER Scheme {*Para 2 (1)*} shall be granted to the Institution/Researcher, subject to the acceptance of the conditions* of Planning Commission. The request for permission of such publication will be considered only after 6 months of submission of the Final Report of the assigned study. *Request for any financial assistance for bringing out such publication under the SER Scheme will not be entertained*

**Conditions for acceptance by institution/ researcher are mentioned at Annexure-5.*

7.4.2 The Report of the completed study and the proceedings of selected Seminars/ Workshops shall be put on the *web-site* of the Planning Commission for wider dissemination.

8. INSTRUCTIONS FOR SUBMISSION OF RESEARCH PROPOSALS AND CONDITIONS FOR EXECUTION OF RESEARCH :

8.1. Submission of Research Proposal:

8.1.1 *The research proposals for Studies/Seminars/Publications etc. from Institutions / Universities/ Researchers for consideration of Grants-in-aid complete in all respect may directly be addressed to the:*

**Adviser-in-charge
Socio Economic Research Division
Planning Commission
(Government of India)
Yojana Bhavan
Sansad Marg
New Delhi-110 001**

8.1.2 A research proposal (for study as per *Annexure-1* / for Seminar as per *Annexure-2*) for grants-in-aid under the SER Scheme should be submitted by the Head of the Institute or by an officer of the institution empowered to execute legal documents on behalf of the institution along with the following requisite documents required in consonance with General Financial Rules, 2005

1. The Audited Statement of Accounts of the Institute/University of the previous two years.
2. Copy of the Constitution/MOA (Memorandum of Association) and Bye- laws of the Institute/University
3. 'Undertaking' that : "*The Institute/University (name) has not applied for or obtained grant for the same purpose/proposal for conducting study/ seminar on "-----" from any Ministry/ Department of Centre / State Governments. It is solely depending on the grant of Planning Commission*".
4. Copy of the Institution/Society/Trust Registration Certificate.

N.B. Academic Institution affiliated / accredited with a University or a Deemed University will submit their research proposal only through the Registrar of the University; otherwise the proposal will not be admissible for grants-in-aid.

8.1.3. **Individual Research Scholars** of repute in specialized field or those affiliated to eligible institutions should submit research proposals in the prescribed format with their full bio-data indicating details of teaching or research experience, projects undertaken and completed etc. along with the *documents* for seeking grants-in-aid {as per above Para 8.1.2}.

8.2 On-going Study and Submission of Fresh Study Proposal:

No University/ Institution/Individual Researcher/ Principal Researcher or Project Director who has been assigned a research study under the SER Scheme shall be given grant-in-aid for fresh study under the scheme before the lapse of 2 years following the submission of the earlier report. However, in exceptional cases and on the recommendation of the concerned Subject Division, the University/ Institution/ Individual Researcher/Principal Researcher or Project Director with proven track record in the field & sector of the proposed study can be considered for sanction of grant-in-aid for conducting another study in relaxation of the two years period.

8.3 CONDITIONS for Execution of Research:

- 8.3.1 The Institution will have to execute a Bond in favor of the Planning Commission on non-judicial Stamp Paper of Rs. 10/- for receiving grants-in-aid.
- 8.3.2 The Institution will maintain a subsidiary account of grants-in-aid received from the Planning Commission.
- 8.3.3 The Institution or the Director-in-charge of the project will not accept any financial assistance from any other source(s) for the project assigned under the scheme.
- 8.3.4 Institutions will have to bear a part of expenditure from their internal resources. All proposals for financial support will need to be approved by the Planning Commission before the commencement of research study or date of Seminar/Workshop.
- 8.3.5 First and subsequent installments of approved grants-in-aid will be released after perusal and review of requisite documents or report of study or proceedings of seminar etc submitted by the institute.
- 8.3.6 No capital expenditure will be incurred from the grants-in-aid provided for the project.
- 8.3.7 Certificate of expenditure incurred, against approved amount of grants-in-aid on the Planning Commission project, will be issued by Registrar of the University, Head/Secretary of the Society and/or by any officer of the institution empowered to execute legal documents on behalf of the institution.
- 8.3.8 The intimation/information about the preparatory work including selection/ appointment of staff and their training, pilot study, drawing of sample, schedule construction, collection & compilation of data etc. for the study may be sent to the Dy. Secretary/ Dy. Adviser (SER) in accordance with the Budget / Time Frame proposed prior to approval of the study by the Planning Commission to facilitate monitoring of the execution and performance of the assigned study.

- 8.3.9 **Head of the SMD**, Planning Commission will be the ‘**Nodal Officer**’ for monitoring the financial and physical progress of the research study. Hence, a copy of all the correspondence pertaining to the study should also be endorsed to Head of the SMD.
- 8.3.10 Planning Commission, if desired, may carry out site visit for review of field survey/work being carried out by the grantee for the study.
- 8.3.11 Any intimation or Progress/ Draft/ Final Report of research study or Proceedings of Seminar etc. will be submitted to Deputy Adviser / Deputy Secretary (SER Division), Planning Commission by the Project Director / Principal Research Worker or Head of the Institution through the proper channel.
- 8.3.12 The **DISCLAIMER** mentioned at Para 7.1 of Guidelines should be depicted on the final printed version of the Report of the study or any complete research undertaken with the grants-in-aid provided under the SER Scheme.
- 8.3.13 The assignment should be completed within the time stipulated in the agreement. Delay in submission of the report of study / proceedings of seminar etc. beyond the stipulated time will attract penal provisions of the bond executed by the grantee. For factors beyond the control of the Institution in completing the assignment in time, extension of time may be considered, provided the institution is able to furnish adequate justification for the delay.
- 8.3.14 No extra/additional amount would be paid for any escalation in the cost of the study/ assignment beyond the time period stipulated in the letter of approval.
- 8.3.15 The grants-in-aid for the study as accepted by the Institution will include service tax and other taxes, if any, and the liability of payment of the tax will be of the Institution conducting the study.
- 8.3.16 During the period of the assigned research, Planning Commission may modify the TOR (Terms of Reference) and other terms and conditions of the assignment, if necessary, in order to widen its scope /coverage in consultation with the grantee organization without any escalation in cost or duration of the study.
- 8.3.17 *If the progress or performance of the grantee conducting the research study/seminar/publication work is not found to be satisfactory by the Planning Commission, the grants-in-aid sanctioned shall be discontinued, and the amount already paid to the Institution shall be recovered, if considered necessary in accordance with conditions of the Bond executed by the grantee.*

9. OTHER CONDITIONS FOR ACCEPTANCE OF THE GRANTEE FOR UNDERTAKING RESEARCH:

9.1 Planning Commission sanctions the amount of the grant-in-aid in favour of the Institution or University with which the Director/Principal Research Worker of the project is associated / employed. All sanctions of the Planning Commission will be issued in favour of the Institution or University and not to an individual of the Institution/University.

9.1.1 However, *Individual Research Scholars* of repute in a specialized field may be considered eligible for funding under SER Scheme.

9.1.2 Project Director or the Principal Research Worker of the study will be specified by the Planning Commission in the letter of approval.

9.2 The Institution will be required to submit a certificate from the Director/Principal Research Worker-in-charge of the project to the effect that the expenditure has been incurred in accordance with the conditions specified in the letter of approval.

9.3 The persons employed in the project will be treated as the employees of the Institution and not of the Government and the conditions of their service will be governed in accordance with the rules and order of the Institution applicable to such persons. In regard to traveling and daily allowance, the scale appropriate to the respective classes of employees of the above named institution will be applicable to them. Foreign travel is not allowed.

9.4 The Institution shall provide infrastructure facilities, viz., accommodation, furniture, research facilities, library, laboratory, equipment, etc. secretarial & managerial staff and material and secretarial assistance required for the project for which a budget provision may be made by the Institution under "Overheads"

9.4.1 The '**Overhead Cost**' admissible is up to 12% of the total cost, which may accrue to the institute for meeting expenses other than those clearly specified. In exceptional cases Planning Commission may consider a provision of overheads up to Fifteen per cent of the cost of the study.

9.5 Final installment/amount of the total grants-in-aid will be with-held till the Planning Commission receives (i) 15 or desired number of copies of the final report of the research study /proceedings of seminar, (ii) CD-ROM containing the complete report of study/ if possible, of seminar containing complete proceedings (iii) Utilization Certificate for the full amount approved, and (iv) Certified Statement of expenditure on the research project / seminar from the Institution concerned.

9.6 The Institution or the Director/Principal Research Worker of the project will not make available data collected for the project to any other person without the prior approval of the Planning Commission.

9.6.1 The project shall not be used by the Director-in-charge or his associates for the preparation of their Doctoral thesis or for other degrees/diplomas, etc. till the report is published.

9.7 The Institution or the Director-in-charge of the project shall make suitable arrangements for the safe custody of raw data such as filled in schedules, tabulation or working sheets, tapes, CD/Floppies, manuscripts of the reports, etc. relating to the research work for a period of three years after completion of the Research Study. *The Planning Commission may ask at any time for perusal/review of raw or processed data collected for the assigned study under the SER Scheme by the grantee.*

9.8 If the Project Director associated with the project leaves the Institution at any stage after commencement of the study, the project may be continued by appointing a new Project Director by the institute, under intimation to Planning Commission and without causing any hindrance in the progress of the study. Thereafter, if the progress of the work of the study is not found satisfactory by Planning Commission, the study may be discontinued and the amount released till date shall be recovered, (as per Para 4 of the Bond executed) from the Institute/Individual Researcher.

9.9 On the completion of the study, the Institution will have to submit two copies of the draft report for comments and suggestions of Planning Commission and desired number of copies of the final report along with full report on a floppy (3.5”) or a CD-ROM for the use of Planning Commission.

10. TRAVELING EXPENSES TO INSTITUTIONS / RESEARCHERS:

The necessary *Traveling Expenses* (II AC Rail Fare) or the actual fare, whichever is less, may be reimbursed by the Planning Commission under the SER Scheme to Individual Researcher or not more than two representatives of the Institution located outside Delhi:

- 1). For making presentation on the objectives and methodology of the study proposed in the Planning Commission, if desired, before placing of the proposal for GOAs consideration and, also
- 2). For making presentation in the Planning Commission on *Draft Report or Final Report* of the study on completion and submission of the assigned study.

Annexure-1**GUIDELINES for Preparation & Submission of Research Study Proposal under the Scheme of Socio-Economic Research**

A research study proposal on aspects of economic/ social development and need assessment having direct bearing on plan formulation or implementation of policies, plans and schemes is entertained by the Planning Commission for approval and financial support.

2. The Project Director/Principal Research Worker has to work in an honorary capacity. He can draw *TA/DA and out-station expenses* but not any honorarium. Ongoing research studies or those commenced without Planning Commission's prior approval are not considered for being financed. The proposal for grants-in-aid has to conform to Guidelines prescribed by Planning Commission for this scheme. A copy of the Guidelines can be obtained from Deputy Adviser/ Deputy Secretary (SER), Planning Commission. SER Guidelines and Formats are also accessible from the Planning Commission **Web-site: <http://planningcommission.gov.in/>** About us / Divisions / Socio- Economic / Guidelines for Preparation, Submission and Processing of Research Proposals.

The research grants given by Planning Commission are, institution based.

A. Forwarding Form for submission of Research Study Proposal:

1. Name of the Proposal/Project:
2. Study Team Composition:
 - i) Name of the Project Director/Principal Research Worker:
 - ii) Faculty Members/Staff for the Study (Names, address, qualifications and experience in research field):
3. Terms and Conditions of Employment/Association of the Person in item 2 (i) with the Institution.
4. Other activities or personal time granted/proposed to be granted by the Institution to the Project Director / Research Worker till the completion of the proposed Research Work.
5. Name of the Institution:
6. Total Budget of the Study proposed:

7. Duration of the Study proposed:

I am forwarding the research proposal for financial support to Planning Commission (Socio Economic Research Division).

The institution agrees to administer the project, manage, its finances, provide accommodation, furniture and the research facilities such as library, equipment, and secretarial staff, etc. required for project and also provide the material and managerial assistance for the project, *which would be considerable under the proposed 'Overhead' cost.*

It is certified that no similar research proposal has been submitted for funding to any other Government Department.

It is certified that the Project Director/Principal Research Worker, _____ will/is likely to continue with the Institution till the completion of the proposed study. In the instance of the Project Director/Principal Research Worker leaving the institution without completing the study, the Institution undertakes to get the study completed without any additional financial liability on the part of the Planning Commission and within the stipulated time. However, if the Planning Commission desires to transfer the project to some other institution, this Institution will have no objection to the same.

A brief resume of the activities and financial position of the Institution is enclosed.

Bio-data containing brief resume on research activities of the Project Director/Principal Research Worker is enclosed.

**Signature and Seal of the Administration/
Head of the Institution**

B. Format for preparation of Research Study Proposal:

Out line of the Research Study proposed should be drawn as per the following guidelines:

1. **Literature Review on the Subject of the Study with Bibliography:** - *A review of research literature, summarizing the status of research done in the field proposed for the research study may be depicted, so that an assessment of the need for financing further research work can be made.*
2. **Relevance and Need of the Study:-** *A brief, not exceeding 300 words, explaining how the proposed activity will contribute to work of Planning Commission, may be depicted. The relevance of the study may be clearly indicated as to how it will be useful for the Planning Commission.*
3. **Objectives:** The focus and orientation of the study may be indicated and specific objectives spelt out.
4. **Hypothesis to be tested:** The hypotheses to be tested may be listed.
5. **Type and Method:** - The extent to which the proposed study is reflective or empirical may be indicated. It may also be clarified whether it is intended to utilize data already available or whether collection of primary data is aimed at. In the former case, it may be indicated whether the available data are in published form or whether they are still unpublished. Relevant sources of data may also be listed in all cases. Where collection of primary data is aimed at, the approach should be spelt out as to whether it would be a sample survey or a case study.
6. **Reference period / Base year of the proposed study:** - Period / year of the expected field survey and of the secondary data being used for the study may be indicated.
7. **Statistical Design:** - In case fresh survey is to be taken up for primary data, sampling design/ sample size for the study as well as broad content of the schedules and questionnaire may be given.
8. **Major variable for data collection,** cross-classification and analysis and their sources should be indicated. Concepts and definitions to be followed in the study should be defined and important lines of analysis spelt out.
9. **Tabulation arrangements:** - Time phasing of the tabulation programme where primary data are proposed to be collected and also where secondary data are proposed to be utilized may be drawn up.

10. **For case study:** - the number of units proposed to be studied and the method and justification for their selection may be indicated.
11. **Synopsis:** Synopsis of chapter plan of the report may also be given, if possible.
12. **Staffing pattern:** - The supporting staff and the period for which they are required and the remuneration to be paid to each of them may be indicated.
13. **Budget:** - The proposal should indicate the financial requirements broken down under different items (**as per Format prescribed on page- 23**).
14. **Time Frame/Project Duration:** - The time required for completing the Proposed Study and submission of the report may be indicated (**as per Format prescribed on page- 24**).
15. **Bio-Data of the Project Director:** - Broad details of academic qualifications and research experience of the Project Director may be indicated separately.
16. **Brief of the Institution:-** A brief note indicating the activities of the Institution during the last three years, its constitution, research expertise available with it for conducting studies and infrastructure facilities available to conduct research work, should also be appended.

C. FINANCIAL BUDGET for the Study:**ITEMS OF PROPOSED EXPENDITURE:****I. Salaries (Research and other Study Staff Category wise):**

	<u>Job Tasks to be done</u>	<u>Monthly Salary</u>	<u>Duration</u>	<u>Amount (in Rs.)</u>
1.	Project Director			Honorary
				<i>(Only TA/DA & Out-station Expenses are admissible)</i>
2.	Research/Faculty Staff:			
	i.			
	ii.			
3.	Field Staff:			
	i.			
	ii.			
4.	Electronic Data Processing Personnel			_____
		Total (A)		_____

II. Domestic Traveling* and DA :

- i. for field staff:
 - ii. for Project Director (if essential):
- * Admissible only for domestic travel

III. Data Processing including computation &

Computer Work (@The salary of Electronic Data Processing personnel would not be admissible if the data processing is outsourced):

IV. Stationery, printing, photocopying, postage, etc.:**V. Books and Journals (if required):**

VII. Any other (up to Rs.0.50lakh- For **hiring services of technocrats /experts / testing laboratory etc** if required, for the study like Interlocutor/Doctor/ Engineer/Anthropologist/ Psychologist /Pathologist /Laboratory Technician etc. for a fixed duration on consolidated amount or **Holding -Workshop /Seminar / Debate discussion:** For expert advice and suggestions of the group of distinguished scholars /researchers, in case, of revamping and improving the quality of the study, that should specifically be justified in the proposal along with details of participating scholars / researchers /luminaries from the field of the subject concerned. The amount for such proposed seminar may be considered only based on the quantum and size of the seminar/workshop)

Total (B)

Total Cost (A+B)

VIII. *Overheads: -

(* pl. see Para-9.4.1 of the Guidelines)

Total Budget {Total (A+B) + Overheads}:-

D. TIME BUDGET/FRAME for the Study:

<u>Sl. No.</u>	<u>Items</u>	<u>Months</u>	<u>Days</u>
1.	Preparatory work including selection of Staff and their training:		
2.	Pilot Study, if any, required:		
3.	Drawing of sample:		
4.	Schedule Construction-their pre-testing and printing etc.:		
5.	Data Collection:		
6.	Data processing:		
7.	Data Analysis:		
8.	Report Writing, typing, binding, etc.:		

Total Duration: _____

9. *Date from which the research personnel will be in position to commence work in the event of approval of research work by Planning Commission:*

Date:

**Name and Signature of the
Project Director/Principal
Research Worker**

**Name and Signature of the
Head of the Institution
(Official Seal)**

Note: 1. Justification for financial and time budget must be distinctly indicated in the proposal submitted for approval.

2. The project is to be planned in suitable convenient stages and the time required for completion of each stage should be indicated.

Annexure-2**GUIDELINES for Preparation & Submission of Seminar/Workshop Proposal for consideration of Grants-in-aid under the Socio Economic Research Scheme (At least 6 weeks before the date of the event):-**

Purpose of providing grants-in-aid for Seminars/Workshops shall be to stimulate an informed discussion or debate on research themes/topics essential to planning process and development.

The detailed information on items given below may be furnished for consideration of grant-in-aid under the SER scheme:

*A. Venue of Seminar:**B. Date/Tentative Date:*

1. Title/Subject of the Seminar:
2. Brief literature review on the subject along with bibliography:
3. Main objectives of the Seminar:
4. Themes and Sub-themes:
5. Key/Principal Participants/Scholars/Institutions/Organizations (A list with their name, address and their field of experience):
6. Presentation of Papers and their Authors:
7. Association/Collaboration with any Institutions, Universities, Ministries, Government Departments:
8. Experience / Expertise of the Institution in conducting research / seminar / workshop (Furnish available material or details thereof):
9. Programme Details (Seminar):

- | | <u>Date/Time</u> | <u>Paper/Topics of discussion</u> | <u>Author/Participant</u> |
|-----|--|-----------------------------------|---------------------------|
| 10. | Budget for the Seminar- In Format (On next page) | | |

**Name and Signature
of the Head of the Institute
(Official Seal)**

Budget for the Seminar

A).	<u>Item</u>	<u>Detail</u>	<u>Amount</u> (In Rupees)
1.	Honorarium/Hospitality*:		
2.	Boarding & Lodging**: (For Outside Participants)		
3.	Food/Snacks-Tea & Coffee:		
4.	Travel and Transportation**: (Local and outside of the place of the venue)		
5.	Rent for Accommodation to hold the seminar, if any***		
6.	Seminar material viz. Invitations, Banners and Posters**** (Stationery/Printing charges etc.):		
		<u>Total Cost (A)</u>	
7.	Overhead Cost (up to 15%) / Contingencies: (Others - Audio-Video aides/Photography / Communications etc.)		
		<u>Total (B)</u>	
		<u>Total Budget (A+B)</u>	

* May be considered only for principal scholars/ expertise presenting papers.

** May be considered only for outside key/principal scholars/ experts presenting papers.

***May be considered if the accommodation for the seminar is hired and its booking receipt is submitted.

**** May be considered on the size and quantum of Seminar.

B). Other Sources of funding-

1. Own- (Institution / University funding):

2. Others - i). Expected Collection from Registration fee etc.-

ii). From Collaborative Non- Govts Organizations /

Agencies -Name/Address and Amount

(Received /Expected /Sought)

Total (C)

Total Budget (A+B-C)

**Name and Signature
of the Head of the Institute
(Official Seal)**

BOND FORM

Know all me by those present that.....

 Samiti / Sansthan / Institution / An Association
 registered under the Societies / Trust Registration Act (Specify the respective Act) and
 having its office at _____ in the State of
 _____ (hereinafter called the "Obligator") and (I) Sh. son
 of Sh. Resident of
 (II) Sh. son of Sh. Resident
 of (Here in after sureties) are held and firmly
 bound to the **President of India** here in after called the Government in the sum of
 Rs..... (Rupees.....) together with interest thereon at the
 prevailing borrowing rate of the Govt. of India from the date of receipt of the said amount
 by the Obligator up to the date of refund thereon to the Government.

2. Signed this day ofin the year

3. Whereas on the Obligator's request the Government has as per Planning
 Commission letter No.dated.....and here in after referred to as the letter of
 sanction (which forms an integral part of those presents and a copy where of is annexed
 here to Annexure 'A' agreed to make in favor of the Obligator for the purpose of
a grant of Rs.
 (Rupees.....) out of Rs.....
 (Rupees.....) have already been paid to the Obligator (the receipt
 where the obligator do hereby admit and acknowledge two securities in the terms and
 conditions manners contained here in after which the obligator and at its request the
 sureties have agreed to do.

4. Now the conditions of the above written obligator is such that if the obligator
 shall dully fulfill and comply with all its conditions mentioned in the letter of grant then
 the above written bond or obligation shall be void and of no effect, but otherwise it shall
 remain in full force, effect and virtue. These presents further witness that:-

- (a) That decision of the Secretary, Planning Commission, Govt. of India or the
 Administrative Head of the Planning Commission, Govt. of India administratively
 concerned with the matter, on the question whether there has been breach or
 violation on the part of the Obligator or any of the terms and conditions
 mentioned in the letter of sanction, shall be final and binding on the Obligator.
- (b) The liability of the sureties here under shall not be impaired or discharged by
 reason of time being granted by the Govt. or any forbearance, act or omission by
 or on the part of the Government whether with or without the knowledge or
 consent of the sureties in respect or in relation to the obligation or conditions to be
 performed or discharge in the obligation or by reason of the matter or thing

whatsoever, which under the law relating to the sureties shall but for this provision have the effect of so releasing the sureties from such liability, nor shall it be necessary for the Government, to pursue the obligator before using the sureties or either of them the amount due here under.

- (c) The Society / Trust / Institution agrees and undertake to surrender / pay to Govt. the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of grant for purpose other than that of which the grant was intended or the assets, purchased largely from out of "Government Grants". The decision of the Secretary, Planning Commission or the administrative head of the department concerned as regards the monetary value of aforementioned to be surrender / paid to the Govt. will be final and binding on the Society / Trust / Institution.
- (d) The Obligator or the sureties shall in the event of breach or violation of the terms and conditions mentioned in the letter of sanction, refund to the Govt. on demand and without demur the entire amount of Rs. (Rupees) or such part thereof as may be mentioned in the notice demand issued by the Govt. along with the interest thereon at the prevailing borrowing rate of the Govt. of India from the date of receipt of the said amount by the Obligator up to date of refund thereof to the Govt.
- (e) The Govt. has agreed to bear the stamp duty, if any chargeable on these presents.

5. In witness thereof these presents have been executed on behalf of the Obligator and the Sureties the day and year here in above written and accepted for (Name and Designation) on the day and year appearing against his signature.

Signed for and on behalf of

**Signature of Head of Institution with date
(Stamp/Seal)**

in the presence of:

- | | |
|---------------------------------------|----------------------|
| 1.....
(Name & Address of witness) |
(Signature) |
| 2.....
(Name & Address of witness) |
(Signature) |

Accepted for and on behalf of the President of India.

Form of Utilization Certificate

Sl. No.	Sanction Order No. & Date	Amount (In Rs.)
=====	=====	=====

Certified that out of Rs. _____ of Grants-in-Aid sanctioned by Planning Commission during the year in favour “_____” under the Ministry / Department letter number given above and Rs. _____ has been utilized for the purpose of carryout the Research Study / Seminar on “_____” for which it was sanctioned and the balance of Rs. _____ remaining unutilized will be adjusted towards the Grants-in-Aid payable.

2. Certified that we have satisfied ourselves that the conditions on which the Grants-in-Aid was sanctioned have been dully fulfilled and that we have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kind of checks exercised.

**Signature of the Head of the Institution
(Stamp/Seal)**

Place _____

Dated _____

Conditions for Acceptance by Institution/Researcher for Publication of Research Work:

1. Desired number of copies (Maximum twenty copies) of the published *documents* will have to be submitted to the Planning Commission.
2. The institute will clearly acknowledge that the present publication is the outcome of the research work carried out by the institution with the fund provided under the SER Scheme or by the institution with its own funding.
3. **Disclaimer** *“The document/publication has been prepared with the support provided under the SER Scheme of the Planning Commission. Planning Commission is not responsible for findings of or opinions expressed in the document/ publication. This all responsibility rests with the Institution.”*
4. The fact that Planning Commission provided financial support under the Scheme of SER will be acknowledged on any document produced with its support, whether or not circulated widely, and the **Disclaimer at Sr. No. 3** above will be prominently displayed on such a document.
5. Under the SER scheme, the limit for grants to an institution for publication of research document will be admissible as provided in the SER Guidelines.
